

FORM ADV

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

Primary Business Name: T. ROWE PRICE ASSOCIATES, INC.

CRD Number: 105496

Other-Than-Annual Amendment - All Sections

Rev. 10 / 2021

7 / 6 / 2026 10:54:15 AM

**WARNING:** Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an *umbrella registration*, the information in Item 1 should be provided for the *filing adviser* only. General Instruction 5 provides information to assist you with filing an *umbrella registration*.

A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):  
T. ROWE PRICE ASSOCIATES, INC.

B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.  
T. ROWE PRICE ASSOCIATES, INC.

List on Section 1.B. of Schedule D any additional names under which you conduct your advisory business.

(2) If you are using this Form ADV to register more than one investment adviser under an *umbrella registration*, check this box ☐  
  
If you check this box, complete a Schedule R for each relying adviser.

C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.(1)), enter the new name and specify whether the name change is of  
☐ your legal name or ☐ your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: 801-856  
(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:  
(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

| CIK Number |
|------------|
| 80255      |

E. (1) If you have a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system, your CRD number: 105496  
  
If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.  
  
(2) If you have additional CRD Numbers, your additional CRD numbers:  

No Information Filed

F. Principal Office and Place of Business

(1) Address (do not use a P.O. Box):  
Number and Street 1: 1307 POINT STREET  
City: BALTIMORE State: Maryland Country: United States ZIP+4/Postal Code: 21231  
  
If this address is a private residence, check this box: ☐  
  
List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

(2) Days of week that you normally conduct business at your principal office and place of business:  
☒ Monday - Friday ☐ Other:  
Normal business hours at this location:  
8:00 A.M. - 5:00 P.M.

(3) Telephone number at this location:  
410-345-2000

(4) Facsimile number at this location, if any:  
800-225-5132

5

Number and Street 1: \_\_\_\_\_ Number and Street 2: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_ ZIP+4/Postal Code: \_\_\_\_\_

f you are a sole proprietor, state your full residence address, if different from your *principal 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: \_\_\_\_\_

1. Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)? ☒ ☐

Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an *exempt reporting adviser*, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

|                      |        |                           |                    |
|----------------------|--------|---------------------------|--------------------|
| Name:                |        | Other titles, if any:     |                    |
| Telephone number:    |        | Facsimile number, if any: |                    |
| Number and Street 1: |        | Number and Street 2:      |                    |
| City:                | State: | Country:                  | ZIP+4/Postal Code: |

Electronic mail (e-mail) address, if Chief Compliance Officer has one:

(2) If your Chief Compliance Officer is compensated or employed by any *person* other than you, a *related person* or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the *person's* name and IRS Employer Identification Number (if any):

Name:

IRS Employer Identification Number:

K. Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

|                      |        |                           |                    |
|----------------------|--------|---------------------------|--------------------|
| Name:                |        | Titles:                   |                    |
| Telephone number:    |        | Facsimile number, if any: |                    |
| Number and Street 1: |        | Number and Street 2:      |                    |
| City:                | State: | Country:                  | ZIP+4/Postal Code: |

Electronic mail (e-mail) address, if contact person has one:

L. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*? ☐ ☐

If "yes," complete *Section 1.L. of Schedule D.*

M. Are you registered with a *foreign financial regulatory authority*? ☒ ☐

Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete [Section 1.M. of Schedule D](#).

N. Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934? ☐ ☒

O. Did you have \$1 billion or more in assets on the last day of your most recent fiscal year? ☒ Yes ☐ No

If yes, what is the approximate amount of your assets:

☐ \$1 billion to less than \$10 billion

- ☒ \$10 billion to less than \$50 billion
- ☐ \$50 billion or more

*For purposes of Item 1.O. 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 sheet for your most recent fiscal year end.*

P. Provide your *Legal Entity Identifier* if you have one:

7HTL8AEQSEDX602FBU63

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

No Information Filed

## SECTION 1.F. Other Offices

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:    |                    |
| T. ROWE PRICE ASSOCIATES, INC. |          | 4525 PAINTERS MILL ROAD |                    |
| City:                          | State:   | Country:                | ZIP+4/Postal Code: |
| OWINGS MILLS                   | Maryland | United States           | 21117              |

If this address is a private residence, check this box: ☐

Telephone Number: 800-225-5132

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD Branch Number* here:

152189

How many *employees* perform investment advisory functions from this office location?  
4

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 exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

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:   |                    |
| T. ROWE PRICE ASSOCIATES, INC. |          | 2220 BRIARGATE PARKWAY |                    |
| City:                          | State:   | Country:               | ZIP+4/Postal Code: |
| COLORADO SPRINGS               | Colorado | United States          | 80920              |

If this address is a private residence, check this box: ☐

Telephone Number:  
719-278-5600

Facsimile Number, if any:  
800-225-5132

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:  
414985

How many *employees* perform investment advisory functions from this office location?  
3

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 exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

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:  
T. ROWE PRICE ASSOCIATES, INC.

City:  
WASHINGTON

State:  
District of Columbia

Number and Street 2:  
200 MASSACHUSETTS AVE NW

Country:  
United States

ZIP+4/Postal Code:  
20001

If this address is a private residence, check this box: ☐

Telephone Number:  
410-345-2000

Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:  
827126

How many *employees* perform investment advisory functions from this office location?  
19

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 exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

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:



|                                                                                                                                                                                                                                                                                               |            |                            |                    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----------------------------|--------------------|
| T. ROWE PRICE ASSOCIATES, INC.                                                                                                                                                                                                                                                                |            | 333 BUSH STREET, SUITE 400 |                    |
| City:                                                                                                                                                                                                                                                                                         | State:     | Country:                   | ZIP+4/Postal Code: |
| SAN FRANCISCO                                                                                                                                                                                                                                                                                 | California | United States              | 94104              |
| If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                              |            |                            |                    |
| Telephone Number:                                                                                                                                                                                                                                                                             |            | Facsimile Number, if any:  |                    |
| 415-772-9950                                                                                                                                                                                                                                                                                  |            |                            |                    |
| If this office location is also required to be registered with FINRA or a <i>state securities authority</i> as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the <i>CRD</i> Branch Number here: |            |                            |                    |
| 91343                                                                                                                                                                                                                                                                                         |            |                            |                    |
| How many <i>employees</i> perform investment advisory functions from this office location?                                                                                                                                                                                                    |            |                            |                    |
| 14                                                                                                                                                                                                                                                                                            |            |                            |                    |
| Are other business activities conducted at this office location? (check all that apply)                                                                                                                                                                                                       |            |                            |                    |
| <input checked="" type="checkbox"/> (1) Broker-dealer (registered or unregistered)                                                                                                                                                                                                            |            |                            |                    |
| <input type="checkbox"/> (2) Bank (including a separately identifiable department or division of a bank)                                                                                                                                                                                      |            |                            |                    |
| <input type="checkbox"/> (3) Insurance broker or agent                                                                                                                                                                                                                                        |            |                            |                    |
| <input checked="" type="checkbox"/> (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)                                                                                                                                                 |            |                            |                    |
| <input type="checkbox"/> (5) Registered municipal advisor                                                                                                                                                                                                                                     |            |                            |                    |
| <input type="checkbox"/> (6) Accountant or accounting firm                                                                                                                                                                                                                                    |            |                            |                    |
| <input type="checkbox"/> (7) Lawyer or law firm                                                                                                                                                                                                                                               |            |                            |                    |
| Describe any other <i>investment-related</i> business activities conducted from this office location:                                                                                                                                                                                         |            |                            |                    |

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:                |                    |
| T. ROWE PRICE ASSOCIATES, INC.                                                                                                                                                                                                                                                                |          | 1251 AVENUE OF AMERICAS, 35TH FLOOR |                    |
| City:                                                                                                                                                                                                                                                                                         | State:   | Country:                            | ZIP+4/Postal Code: |
| NEW YORK                                                                                                                                                                                                                                                                                      | New York | United States                       | 10020              |
| If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                              |          |                                     |                    |
| Telephone Number:                                                                                                                                                                                                                                                                             |          | Facsimile Number, if any:           |                    |
| 410-345-2000                                                                                                                                                                                                                                                                                  |          |                                     |                    |
| If this office location is also required to be registered with FINRA or a <i>state securities authority</i> as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the <i>CRD</i> Branch Number here: |          |                                     |                    |
| How many <i>employees</i> perform investment advisory functions from this office location?                                                                                                                                                                                                    |          |                                     |                    |
| 20                                                                                                                                                                                                                                                                                            |          |                                     |                    |
| Are other business activities conducted at this office location? (check all that apply)                                                                                                                                                                                                       |          |                                     |                    |
| <input type="checkbox"/> (1) Broker-dealer (registered or unregistered)                                                                                                                                                                                                                       |          |                                     |                    |
| <input type="checkbox"/> (2) Bank (including a separately identifiable department or division of a bank)                                                                                                                                                                                      |          |                                     |                    |
| <input type="checkbox"/> (3) Insurance broker or agent                                                                                                                                                                                                                                        |          |                                     |                    |
| <input checked="" type="checkbox"/> (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)                                                                                                                                                 |          |                                     |                    |
| <input type="checkbox"/> (5) Registered municipal advisor                                                                                                                                                                                                                                     |          |                                     |                    |
| <input type="checkbox"/> (6) Accountant or accounting firm                                                                                                                                                                                                                                    |          |                                     |                    |
| <input type="checkbox"/> (7) Lawyer or law firm                                                                                                                                                                                                                                               |          |                                     |                    |
| Describe any other <i>investment-related</i> business activities conducted from this office location:                                                                                                                                                                                         |          |                                     |                    |

SECTION 1.I. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.I. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.TROWEPRICE.COM

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:  
T. ROWE PRICE ASSOCIATES, INC.

|                                                        |                    |                                                             |                             |
|--------------------------------------------------------|--------------------|-------------------------------------------------------------|-----------------------------|
| Number and Street 1:<br>T. ROWE PRICE ASSOCIATES, INC. |                    | Number and Street 2:<br>1251 AVENUE OF AMERICAS, 35TH FLOOR |                             |
| City:<br>NEW YORK                                      | State:<br>New York | Country:<br>United States                                   | ZIP+4/Postal Code:<br>10020 |

If this address is a private residence, check this box: ☐

|                                   |                           |
|-----------------------------------|---------------------------|
| Telephone Number:<br>410-345-2000 | 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                    |                                                    |                             |
|---------------------------------------|--------------------|----------------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                    | Number and Street 2:<br>8901 SNOWDEN RIVER PARKWAY |                             |
| City:<br>COLUMBIA                     | State:<br>Maryland | Country:<br>United States                          | ZIP+4/Postal Code:<br>21046 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>800-934-3453 | Facsimile number, if any:<br>800-934-5348 |
|-----------------------------------|-------------------------------------------|

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                    |                                              |                             |
|---------------------------------------|--------------------|----------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                    | Number and Street 2:<br>7605 DORSEY RUN ROAD |                             |
| City:<br>JESSUP                       | State:<br>Maryland | Country:<br>United States                    | ZIP+4/Postal Code:<br>20794 |

If this address is a private residence, check this box: ☐

|                   |                           |
|-------------------|---------------------------|
| Telephone Number: | Facsimile number, if any: |
| 800-934-3453      | 800-934-5348              |

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                      |                          |               |                    |
|----------------------|--------------------------|---------------|--------------------|
| Number and Street 1: | Number and Street 2:     |               |                    |
| IRON MOUNTAIN        | 8240 PATUXENT RANGE ROAD |               |                    |
| City:                | State:                   | Country:      | ZIP+4/Postal Code: |
| JESSUP               | Maryland                 | United States | 20794              |

If this address is a private residence, check this box: ☐

|                   |                           |
|-------------------|---------------------------|
| Telephone Number: | Facsimile number, if any: |
| 800-934-3453      | 800-934-5348              |

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
T. ROWE PRICE ASSOCIATES, INC.

|                                |                        |               |                    |
|--------------------------------|------------------------|---------------|--------------------|
| Number and Street 1:           | Number and Street 2:   |               |                    |
| T. ROWE PRICE ASSOCIATES, INC. | 2220 BRIARGATE PARKWAY |               |                    |
| City:                          | State:                 | Country:      | ZIP+4/Postal Code: |
| COLORADO SPRINGS               | Colorado               | United States | 80920              |

If this address is a private residence, check this box: ☐

|                   |                           |
|-------------------|---------------------------|
| Telephone Number: | Facsimile number, if any: |
| 719-278-5600      | 800-225-5132              |

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

Number and Street 1:  
IRON MOUNTAIN

City:  
LAUREL

State:  
Maryland

Number and Street 2:  
9455 WASHINGTON BLVD.

Country:  
United States

ZIP+4/Postal Code:  
20723

If this address is a private residence, check this box: ☐

Telephone Number:  
800-934-3453

Facsimile number, if any:  
800-934-5348

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

Number and Street 1:  
IRON MOUNTAIN

City:  
JESSUP

State:  
Maryland

Number and Street 2:  
10641 IRON BRIDGE ROAD

Country:  
United States

ZIP+4/Postal Code:  
20794

If this address is a private residence, check this box: ☐

Telephone Number:  
800-934-3453

Facsimile number, if any:  
800-934-5348

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
T. ROWE PRICE ASSOCIATES, INC.

Number and Street 1:  
T. ROWE PRICE ASSOCIATES, INC.

City:  
WASHINGTON

State:  
District of Columbia

Number and Street 2:  
200 MASSACHUSETTS AVE, NW

Country:  
United States

ZIP+4/Postal Code:  
20001

If this address is a private residence, check this box: ☐

Telephone Number:  
410-345-2000

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
T. ROWE PRICE ASSOCIATES, INC.

Number and Street 1:  
T. ROWE PRICE ASSOCIATES, INC.

Number and Street 2:  
4525 PAINTERS MILL ROAD

City:  
OWINGS MILLS

State:  
Maryland

Country:  
United States

ZIP+4/Postal Code:  
21117

If this address is a private residence, check this box: ☐

Telephone Number: 800-225-5132  
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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

Number and Street 1:  
IRON MOUNTAIN

Number and Street 2:  
8200 PRESTON COURT

City:  
JESSUP

State:  
Maryland

Country:  
United States

ZIP+4/Postal Code:  
20794

If this address is a private residence, check this box: ☐

Telephone Number: 800-934-3453  
Facsimile number, if any: 800-934-5348

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
BANK OF NEW YORK MELLON

Number and Street 1:  
BANK OF NEW YORK MELLON

Number and Street 2:  
240 GREENWICH STREET

City:  
NEW YORK

State:  
New York

Country:  
United States

ZIP+4/Postal Code:  
10286

If this address is a private residence, check this box: ☐

Telephone Number: 212-495-1784  
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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                    |                                                       |                             |
|---------------------------------------|--------------------|-------------------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                    | Number and Street 2:<br>1780 CROSSROADS DRIVE SUITE B |                             |
| City:<br>ODENTON                      | State:<br>Maryland | Country:<br>United States                             | ZIP+4/Postal Code:<br>21113 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>800-934-3453 | Facsimile number, if any:<br>800-934-5348 |
|-----------------------------------|-------------------------------------------|

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                    |                                           |                             |
|---------------------------------------|--------------------|-------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                    | Number and Street 2:<br>8679 GREENWOOD PL |                             |
| City:<br>SAVAGE                       | State:<br>Maryland | Country:<br>United States                 | ZIP+4/Postal Code:<br>20763 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>800-934-3453 | Facsimile number, if any:<br>800-934-5348 |
|-----------------------------------|-------------------------------------------|

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                        |                                             |                             |
|---------------------------------------|------------------------|---------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                        | Number and Street 2:<br>1134 BRANCHTON ROAD |                             |
| City:<br>BOYERS                       | State:<br>Pennsylvania | Country:<br>United States                   | ZIP+4/Postal Code:<br>16020 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>800-934-3453 | Facsimile number, if any:<br>800-934-5348 |
|-----------------------------------|-------------------------------------------|



- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
INSTITUTIONAL SHAREHOLDER SERVICES

|                                                            |                    |                                                       |                                  |
|------------------------------------------------------------|--------------------|-------------------------------------------------------|----------------------------------|
| Number and Street 1:<br>INSTITUTIONAL SHAREHOLDER SERVICES |                    | Number and Street 2:<br>702 KING FARM BLVD, SUITE 400 |                                  |
| City:<br>ROCKVILLE                                         | State:<br>Maryland | Country:<br>United States                             | ZIP+4/Postal Code:<br>20850-6536 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>301-556-0570 | Facsimile number, if any:<br>301-556-0491 |
|-----------------------------------|-------------------------------------------|

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

|                                       |                    |                                              |                             |
|---------------------------------------|--------------------|----------------------------------------------|-----------------------------|
| Number and Street 1:<br>IRON MOUNTAIN |                    | Number and Street 2:<br>45675 TERMINAL DRIVE |                             |
| City:<br>STERLING                     | State:<br>Virginia | Country:<br>United States                    | ZIP+4/Postal Code:<br>20166 |

If this address is a private residence, check this box: ☐

|                                   |                                           |
|-----------------------------------|-------------------------------------------|
| Telephone Number:<br>800-934-3453 | Facsimile number, if any:<br>800-934-5348 |
|-----------------------------------|-------------------------------------------|

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
T. ROWE PRICE ASSOCIATES, INC.

|                                                        |                      |                                                    |                             |
|--------------------------------------------------------|----------------------|----------------------------------------------------|-----------------------------|
| Number and Street 1:<br>T. ROWE PRICE ASSOCIATES, INC. |                      | Number and Street 2:<br>333 BUSH STREET, SUITE 400 |                             |
| City:<br>SAN FRANCISO                                  | State:<br>California | Country:<br>United States                          | ZIP+4/Postal Code:<br>94104 |

If this address is a private residence, check this box: ☐

Telephone Number:415-772-9950

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
GLOBAL RELAY COMMUNICATIONS, INC.

Number and Street 1:  
GLOBAL RELAY COMMUNICATIONS, INC.

City:  
VANCOUVER

State:

Number and Street 2:  
220 CAMBIE ST., 2ND FLOOR

Country:  
Canada

ZIP+4/Postal Code:  
V6B 2M9

If this address is a private residence, check this box: ☐

Telephone Number:866-484-6630

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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

Number and Street 1:  
IRON MOUNTAIN

City:  
JESSUP

State:  
Maryland

Number and Street 2:  
8275 PATUXENT RANGE ROAD

Country:  
United States

ZIP+4/Postal Code:  
20794

If this address is a private residence, check this box: ☐

Telephone Number:800-934-3453

Facsimile number, if any:800-934-5348

- 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.  
RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:  
IRON MOUNTAIN

Number and Street 1:

Number and Street 2:

IRON MOUNTAIN

4451 GEORGIA PACIFIC BLVD

City:

State:

Country:

ZIP+4/Postal Code:

FREDERICK

Maryland

United States

21704

If this address is a private residence, check this box:

☐

Telephone Number:

Facsimile number, if any:

800-934-3453

800-934-5348

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.

RECORDS WHICH ARE REQUIRED TO BE KEPT IN ACCORDANCE WITH RULE 204 OF THE ADVISERS ACT.

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

List the name and country, in English, of each *foreign financial regulatory authority* with which you are registered. You must complete a separate Schedule D Section 1.M. for each *foreign financial regulatory authority* with whom you are registered.

Name of Country/*Foreign Financial Regulatory Authority*:

Ireland - Central Bank of Ireland

Other:

Name of Country/*Foreign Financial Regulatory Authority*:

Other

Other:

BELGIUM - FINANCIAL SERVICES AND MARKETS AUTHORITY

Item 2 SEC Registration / Reporting

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2.A. only if you are applying for SEC registration or submitting an *annual updating amendment* to your SEC registration. If you are filing an *umbrella registration*, the information in Item 2 should be provided for the *filing adviser* only.

A. To register (or remain registered) with the SEC, you must check **at least one** of the Items 2.A.(1) through 2.A.(12), below. If you are submitting an *annual updating amendment* to your SEC registration 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 to each of these items.

You (the adviser):

☒ (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 *annual updating amendment* and is 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:

(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

(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.

(3) Reserved

☐ (4) have your *principal office and place of business* **outside the United States**;

☒ (5) are **an investment adviser (or subadviser) to an investment company** registered under the Investment Company Act of 1940;

- ☐

(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;
- ☐

(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);
- ☐

(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 office and place of business* is the same as the registered adviser;  
  
*If you check this box, complete [Section 2.A.\(8\) of Schedule D](#).*
- ☐

(9) 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.\(9\) of Schedule D](#).*
- ☐

(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](#).*
- ☐

(11) are an **Internet adviser** relying on rule 203A-2(e);  
  
*If you check this box, complete [Section 2.A.\(11\) of Schedule D](#).*
- ☐

(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](#).*
- ☐

(13) are **no longer eligible** to remain registered with the SEC.

**State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers**

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).

Jurisdictions

|                                        |                                        |                                        |                                        |
|----------------------------------------|----------------------------------------|----------------------------------------|----------------------------------------|
| <input checked="" type="checkbox"/> AL | <input checked="" type="checkbox"/> IL | <input checked="" type="checkbox"/> NE | <input checked="" type="checkbox"/> SC |
| <input checked="" type="checkbox"/> AK | <input checked="" type="checkbox"/> IN | <input checked="" type="checkbox"/> NV | <input checked="" type="checkbox"/> SD |
| <input checked="" type="checkbox"/> AZ | <input checked="" type="checkbox"/> IA | <input checked="" type="checkbox"/> NH | <input checked="" type="checkbox"/> TN |
| <input checked="" type="checkbox"/> AR | <input checked="" type="checkbox"/> KS | <input checked="" type="checkbox"/> NJ | <input checked="" type="checkbox"/> TX |
| <input checked="" type="checkbox"/> CA | <input checked="" type="checkbox"/> KY | <input checked="" type="checkbox"/> NM | <input checked="" type="checkbox"/> UT |
| <input checked="" type="checkbox"/> CO | <input checked="" type="checkbox"/> LA | <input checked="" type="checkbox"/> NY | <input checked="" type="checkbox"/> VT |
| <input checked="" type="checkbox"/> CT | <input checked="" type="checkbox"/> ME | <input checked="" type="checkbox"/> NC | <input checked="" type="checkbox"/> VI |
| <input checked="" type="checkbox"/> DE | <input checked="" type="checkbox"/> MD | <input checked="" type="checkbox"/> ND | <input checked="" type="checkbox"/> VA |
| <input checked="" type="checkbox"/> DC | <input checked="" type="checkbox"/> MA | <input checked="" type="checkbox"/> OH | <input checked="" type="checkbox"/> WA |
| <input checked="" type="checkbox"/> FL | <input checked="" type="checkbox"/> MI | <input checked="" type="checkbox"/> OK | <input checked="" type="checkbox"/> WV |
| <input checked="" type="checkbox"/> GA | <input checked="" type="checkbox"/> MN | <input checked="" type="checkbox"/> OR | <input checked="" type="checkbox"/> WI |
| <input type="checkbox"/> GU            | <input checked="" type="checkbox"/> MS | <input checked="" type="checkbox"/> PA | <input checked="" type="checkbox"/> WY |
| <input checked="" type="checkbox"/> HI | <input checked="" type="checkbox"/> MO | <input checked="" type="checkbox"/> PR |                                        |
| <input checked="" type="checkbox"/> ID | <input checked="" type="checkbox"/> MT | <input checked="" type="checkbox"/> RI |                                        |

*If you are amending your registration to stop your notice filings or reports from going to a state that currently receives them and you do not want to pay that state's notice filing or report filing fee for the coming year, your amendment must be filed before the end of the year (December 31).*

**SECTION 2.A.(8) Related Adviser**

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you *control*, are *controlled* by, or are 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 that of the registered adviser, provide the following information:

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser

-

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 *state securities authority* 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 *state securities authorities* of those states.

If you are submitting your *annual updating amendment*, 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.(11) Internet Adviser

If you are relying on rule 203A-2(e), the Internet adviser exemption from the prohibition on registration, you are required to make a representation about your eligibility for SEC registration. By checking the appropriate box, you will be deemed to have made the required representation.

If you are applying for registration as an investment adviser with the SEC or changing your existing Item 2 response regarding your eligibility for SEC registration, you must make this representation:

☐ I will provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

If you are filing an annual updating amendment to your existing registration and are continuing to rely on the Internet adviser exemption for SEC registration, you must make this representation:

☐ I have provided and will continue to provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

SECTION 2.A.(12) SEC Exemptive Order

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number:

803-

Date of *order*:

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

☐ Sole Proprietorship

☐ Limited Liability Partnership (LLP)

☐ Partnership

☐ Limited Liability Company (LLC)

☐ 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?

StateCountryMarylandUnited 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](#).

Item 4 Successions

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](#).

SECTION 4 Successions

No Information Filed

Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

Responses 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](#). provides additional guidance to newly formed advisers for completing this Item 5.

Employees

If 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 should 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.

3760

B. 

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

545

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

253

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

39

(4) Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives for an investment adviser other than you?

0

(5) Approximately how many of the employees 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.

Clients

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?

83

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

4%

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 proprietorships.

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.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 <i>Client(s)</i> | (2) Fewer than 5 <i>Clients</i>     | (3) Amount of Regulatory Assets under Management |
|-----------------------------------------------------------------------------------------------------|--------------------------------|-------------------------------------|--------------------------------------------------|
| (a) Individuals (other than <i>high net worth individuals</i> )                                     | 181                            | <input type="checkbox"/>            | \$ 0                                             |
| (b) <i>High net worth individuals</i>                                                               | 680                            | <input type="checkbox"/>            | \$ 5,138,428,857                                 |
| (c) Banking or thrift institutions                                                                  |                                | <input checked="" type="checkbox"/> | \$ 348,554,965                                   |
| (d) Investment companies                                                                            | 355                            |                                     | \$ 1,182,598,559,774                             |
| (e) Business development companies                                                                  | 0                              |                                     | \$ 0                                             |
| (f) Pooled investment vehicles (other than investment companies and business development companies) | 379                            |                                     | \$ 797,526,867,381                               |
| (g) Pension and profit sharing plans (but not the plan participants or government pension plans)    | 214                            | <input type="checkbox"/>            | \$ 68,533,088,297                                |
| (h) Charitable organizations                                                                        | 76                             | <input type="checkbox"/>            | \$ 1,849,051,320                                 |
| (i) State or municipal <i>government entities</i> (including government pension plans)              | 92                             | <input type="checkbox"/>            | \$ 53,871,472,084                                |
| (j) Other investment advisers                                                                       |                                | <input checked="" type="checkbox"/> | \$ 95,736,574                                    |
| (k) Insurance companies                                                                             | 56                             | <input type="checkbox"/>            | \$ 30,472,048,038                                |
| (l) Sovereign wealth funds and foreign official institutions                                        | 12                             | <input type="checkbox"/>            | \$ 26,205,484,195                                |
| (m) Corporations or other businesses not listed above                                               | 88                             | <input type="checkbox"/>            | \$ 13,585,415,644                                |
| (n) Other: SMA PROGRAM CLIENTS                                                                      | 4754                           | <input type="checkbox"/>            | \$ 16,227,880,340                                |

Compensation Arrangements

E. You are compensated for your investment advisory services by (check all that apply):

- ☒ (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*
- ☐ (7) Other (specify):

Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

Regulatory Assets Under Management

Yes No

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) \$ 2,196,452,587,469 | (d) 6,889                |
| Non-Discretionary: | (b) \$ 0                 | (e) 0                    |
| Total:             | (c) \$ 2,196,452,587,469 | (f) 6,889                |

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



\$ 108,246,430,576

## Advisory Activities

- ☐ (1) Financial planning services
- ☒ (2) Portfolio management for individuals and/or small businesses
- ☒ (3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940)
- ☒ (4) Portfolio management for pooled investment vehicles (other than investment companies)
- ☒ (5) Portfolio management for businesses (other than small businesses) or institutional *clients* (other than registered investment companies and other pooled investment vehicles)
- ☐ (6) Pension consulting services
- ☒ (7) Selection of other advisers (including *private fund* managers)
- ☐ (8) Publication of periodicals or newsletters
- ☐ (9) Security ratings or pricing services
- ☐ (10) Market timing services
- ☐ (11) Educational seminars/workshops
- ☐ (12) Other(specify):

- ☐ 0
- ☐ 1 - 10
- ☐ 11 - 25
- ☐ 26 - 50
- ☐ 51 - 100
- ☐ 101 - 250
- ☐ 251 - 500
- ☐ More than 500

Yes No



(1) Do you have regulatory assets under management attributable to *clients* other than those listed in Item 5.D.(3)(d)-(f) (separately managed account *clients*)?

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? ☒ Yes ☐ No

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

(3) Do you engage in derivative transactions on behalf of any of the separately managed account *clients* that you advise? ☒ Yes ☐ No

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

(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?

If yes, complete **Section 5.K.(3) of Schedule D** for each custodian.

## L. Marketing Activities

|                                                   | Yes | No |
|---------------------------------------------------|-----|----|
| (1) Do any of your <i>advertisements</i> include: |     |    |

(a) Performance results? ⊙ ⊙

(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?

(c) *Testimonials* (other than those that satisfy rule 206(4)-1(b)(4)(ii))?

(d) *Endorsements* (other than those that satisfy rule 206(4)-1(b)(4)(ii))?

(e) *Third-party ratings?* ☒ ☐

(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 *testimonials*, *endorsements*, or *third-party ratings*?  

(3) Do any of your *advertisements* include *hypothetical performance* ? ☒ ☐

(4) Do any of your *advertisements* include *predecessor performance* ? ☒ ☐

## SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

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 - 01944

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 |
|------------|-------------------------------------------------------------|
| S000007682 | \$ 49,041,206,465                                           |

SEC File Number  
811 - 02224

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 |
|------------|-------------------------------------------------------------|
| S000011482 | \$ 5,567,259,141                                            |
| S000011485 | \$ 31,338,085,789                                           |
| S000011489 | \$ 13,804,234,806                                           |
|            |                                                             |

SEC File Number  
811 - 03364

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 |
|------------|-------------------------------------------------------------|
| S000023733 | \$ 13,804,234,806                                           |
| S000023734 | \$ 5,567,259,141                                            |

SEC File Number  
811 - 03459

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 |
|------------|-------------------------------------------------------------|
| S000006732 | \$ 46,291,886,918                                           |
| S000006734 | \$ 3,091,746,764                                            |

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 |
|------------|-------------------------------------------------------------|
| S000006529 | \$ 518,936,865                                              |

SEC File Number  
811 - 03738

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 |
|------------|-------------------------------------------------------------|
| S000008006 | \$ 0                                                        |

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 |
|------------|-------------------------------------------------------------|
| S000000042 | \$ 5,567,259,141                                            |
| S000000049 | \$ 528,121,777                                              |
| S000000056 | \$ 31,338,085,789                                           |
| S000018233 | \$ 598,379,807                                              |

SEC File Number  
811 - 04146

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 |
|------------|-------------------------------------------------------------|
| S000008217 | \$ 31,338,085,789                                           |
| S000008228 | \$ 5,567,259,141                                            |
| S000008239 | \$ 2,025,233,090                                            |
| S000008289 | \$ 9,755,580,737                                            |
| S000008316 | \$ 528,121,777                                              |
| S000008340 | \$ 182,028,150                                              |
| S000021933 | \$ 3,091,746,764                                            |

SEC File Number  
811 - 04279

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 |
|------------|-------------------------------------------------------------|
| S000045241 | \$ 41,440,882,623                                           |

SEC File Number  
811 - 04419

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 |
|------------|-------------------------------------------------------------|
| S000007915 | \$ 518,936,865                                              |

SEC File Number  
811 - 05141

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000007766 | \$ 598,379,807                                                     |
| S000026020 | \$ 0                                                               |
| S000095644 | \$ 3,091,746,764                                                   |

SEC File Number  
811 - 05186

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000001984 | \$ 49,041,206,465                                                  |

SEC File Number  
811 - 05629

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000005759 | \$ 3,091,746,764                                                   |
| S000005760 | \$ 5,567,259,141                                                   |

SEC File Number  
811 - 06136

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000010531 | \$ 49,041,206,465                                                  |

SEC File Number  
811 - 07075

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002101 | \$ 988,138,873                                                     |

SEC File Number  
811 - 07143

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 |
|------------|-------------------------------------------------------------|
| S000002077 | \$ 5,567,259,141                                            |
| S000002078 | \$ 5,163,834,555                                            |
| S000002079 | \$ 856,436,056                                              |
| S000002080 | \$ 13,804,234,806                                           |
| S000002081 | \$ 31,338,085,789                                           |
| S000002082 | \$ 45,395,325,107                                           |
| S000002083 | \$ 2,025,233,090                                            |

SEC File Number  
811 - 07145

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 |
|------------|-------------------------------------------------------------|
| S000002100 | \$ 18,538,945,362                                           |

SEC File Number  
811 - 07153

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 |
|------------|-------------------------------------------------------------|
| S000002129 | \$ 598,379,807                                              |
| S000002130 | \$ 0                                                        |

SEC File Number  
811 - 07173

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 |
|------------|-------------------------------------------------------------|
| S000002137 | \$ 856,436,056                                              |
| S000002138 | \$ 101,162,080                                              |
| S000002139 | \$ 1,014,329,739                                            |

SEC File Number  
811 - 07209

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 |
|------------|-------------------------------------------------------------|
| S000002125 | \$ 41,440,882,623                                           |

SEC File Number  
811 - 07225

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 |
|------------|-------------------------------------------------------------|
| S000002071 | \$ 56,210,826,603                                           |

SEC File Number  
811 - 07238

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 |
|------------|-------------------------------------------------------------|
| S000052512 | \$ 0                                                        |
| S000059204 | \$ 101,162,080                                              |
| S000059205 | \$ 0                                                        |

SEC File Number  
811 - 07353

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 |
|------------|-------------------------------------------------------------|
| S000002128 | \$ 9,972,407,103                                            |

SEC File Number  
811 - 07381

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 |
|------------|-------------------------------------------------------------|
| S000002088 | \$ 2,025,233,090                                            |
|            |                                                             |

SEC File Number  
811 - 07572

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 |
|------------|-------------------------------------------------------------|
| S000007077 | \$ 49,041,206,465                                           |
|            |                                                             |

SEC File Number  
811 - 07605

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 |
|------------|-------------------------------------------------------------|
| S000002103 | \$ 9,755,580,737                                            |
|            |                                                             |

SEC File Number  
811 - 07639

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 |
|------------|-------------------------------------------------------------|
| S000002093 | \$ 0                                                        |
| S000002095 | \$ 0                                                        |
| S000002096 | \$ 31,338,085,789                                           |
| S000080479 | \$ 56,210,826,603                                           |

SEC File Number  
811 - 07725

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 |
|------------|-------------------------------------------------------------|
| S000008036 | \$ 217,060,594                                              |
| S000008037 | \$ 9,755,580,737                                            |
| S000008039 | \$ 21,746,717,644                                           |



SEC File Number  
811 - 07749

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 |
|------------|-------------------------------------------------------------|
| S000002084 | \$ 0                                                        |

SEC File Number  
811 - 07923

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 |
|------------|-------------------------------------------------------------|
| S000039723 | \$ 0                                                        |

SEC File Number  
811 - 07953

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 |
|------------|-------------------------------------------------------------|
| S000009173 | \$ 46,291,886,918                                           |
| S000044691 | \$ 49,041,206,465                                           |
| S000062644 | \$ 2,025,233,090                                            |

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 |
|------------|-------------------------------------------------------------|
| S000002802 | \$ 217,060,594                                              |
| S000015972 | \$ 217,060,594                                              |
| S000015975 | \$ 46,291,886,918                                           |
| S000016762 | \$ 0                                                        |
| S000016763 | \$ 0                                                        |
| S000016764 | \$ 0                                                        |
| S000016765 | \$ 0                                                        |
| S000031810 | \$ 0                                                        |
| S000068395 | \$ 0                                                        |

SEC File Number  
811 - 08203

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 |
|------------|-------------------------------------------------------------|
| S000002074 | \$ 518,936,865                                              |
| S000052903 | \$ 0                                                        |
| S000052904 | \$ 403,544,479                                              |
| S000052905 | \$ 0                                                        |

SEC File Number  
811 - 08207

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 |
|------------|-------------------------------------------------------------|
| S000002160 | \$ 0                                                        |

SEC File Number  
811 - 08274

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 |
|------------|-------------------------------------------------------------|
| S000003658 | \$ 31,338,085,789                                           |
| S000003664 | \$ 13,804,234,806                                           |

SEC File Number  
811 - 08279

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 |
|------------|-------------------------------------------------------------|
| S000002153 | \$ 0                                                        |
| S000002154 | \$ 0                                                        |
| S000070551 | \$ 0                                                        |

SEC File Number  
811 - 08319

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 |
|------------|-------------------------------------------------------------|
| S000007608 | \$ 217,060,594                                              |
| S000007609 | \$ 46,291,886,918                                           |

SEC File Number  
811 - 08371

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 |
|------------|-------------------------------------------------------------|
| S000002107 | \$ 5,097,092,204                                            |

SEC File Number  
811 - 08894

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 |
|------------|-------------------------------------------------------------|
| S000001749 | \$ 46,291,886,918                                           |
| S000001750 | \$ 13,804,234,806                                           |
| S000001751 | \$ 41,440,882,623                                           |
| S000010707 | \$ 598,379,807                                              |
| S000010709 | \$ 9,663,731,469                                            |
| S000044437 | \$ 0                                                        |
| S000052994 | \$ 432,282,256                                              |
| S000086556 | \$ 0                                                        |

SEC File Number  
811 - 09491

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 |
|------------|-------------------------------------------------------------|
| S000009963 | \$ 3,091,746,764                                            |

SEC File Number  
811 - 09995

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 |
|------------|-------------------------------------------------------------|
| S000002085 | \$ 4,574,179,533                                            |

SEC File Number  
811 - 10063

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 |
|------------|-------------------------------------------------------------|
| S000002099 | \$ 0                                                        |

SEC File Number  
811 - 10093

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 |
|------------|-------------------------------------------------------------|
| S000002166 | \$ 4,442,867,737                                            |

SEC File Number  
811 - 10183

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 |
|------------|-------------------------------------------------------------|
| S000011088 | \$ 57,477,267,920                                           |
| S000011103 | \$ 13,804,234,806                                           |

SEC File Number  
811 - 1710

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 |
|------------|-------------------------------------------------------------|
| S000002105 | \$ 8,817,443,267                                            |

SEC File Number  
811 - 21055

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002134 | \$ 6,873,306,530                                                   |
| S000020717 | \$ 1,767,328,351                                                   |
| S000040861 | \$ 0                                                               |

SEC File Number  
811 - 21149

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002109 | \$ 1,512,130,683                                                   |
| S000002110 | \$ 33,899,152,920                                                  |
| S000002111 | \$ 10,365,013,834                                                  |
| S000002112 | \$ 38,552,797,842                                                  |
| S000002113 | \$ 41,911,472,049                                                  |
| S000002114 | \$ 1,014,329,739                                                   |
| S000002115 | \$ 996,446,661                                                     |
| S000002116 | \$ 2,844,417,060                                                   |
| S000002117 | \$ 20,824,191,957                                                  |
| S000002118 | \$ 37,567,785,035                                                  |
| S000014996 | \$ 31,880,798,899                                                  |
| S000014997 | \$ 22,475,787,268                                                  |
| S000041772 | \$ 21,761,893                                                      |
| S000041773 | \$ 441,124,657                                                     |
| S000041774 | \$ 327,938,662                                                     |
| S000041775 | \$ 37,584,877                                                      |
| S000041776 | \$ 73,747,354                                                      |
| S000041777 | \$ 188,140,714                                                     |
| S000041778 | \$ 446,863,078                                                     |
| S000041779 | \$ 662,916,523                                                     |
| S000041780 | \$ 670,256,356                                                     |
| S000041781 | \$ 558,154,003                                                     |
| S000041782 | \$ 508,006,627                                                     |
| S000045512 | \$ 13,154,164,483                                                  |
| S000045513 | \$ 144,806,158                                                     |
| S000050878 | \$ 996,446,661                                                     |
| S000050883 | \$ 1,512,130,683                                                   |
| S000057717 | \$ 10,365,013,834                                                  |
| S000068997 | \$ 3,870,748,992                                                   |
| S000068999 | \$ 53,840,482                                                      |
| S000069897 | \$ 372,087,046                                                     |
| S000069898 | \$ 7,301,502,995                                                   |
| S000069899 | \$ 5,372,892,458                                                   |
| S000069900 | \$ 3,337,010,278                                                   |
| S000069901 | \$ 1,175,902,627                                                   |
| S000069902 | \$ 472,981,315                                                     |
| S000069903 | \$ 937,401,971                                                     |
|            |                                                                    |

|            |                   |
|------------|-------------------|
| S000069904 | \$ 2,505,141,965  |
| S000069905 | \$ 5,009,213,919  |
| S000069906 | \$ 8,887,849,389  |
| S000069907 | \$ 8,588,037,472  |
| S000069908 | \$ 9,376,863,550  |
| S000069909 | \$ 7,813,054,740  |
| S000083543 | \$ 20,824,191,957 |
| S000091907 | \$ 34,365,532     |
| S000091908 | \$ 9,684,616      |
| S000091909 | \$ 64,049         |
|            |                   |

SEC File Number  
811 - 21185

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 |
|------------|-------------------------------------------------------------|
| S000002133 | \$ 0                                                        |

SEC File Number  
811 - 21454

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 |
|------------|-------------------------------------------------------------|
| S000002073 | \$ 217,060,594                                              |

SEC File Number  
811 - 21779

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 |
|------------|-------------------------------------------------------------|
| S000003311 | \$ 31,338,085,789                                           |
| S000003317 | \$ 5,567,259,141                                            |
| S000024677 | \$ 9,755,580,737                                            |
| S000030799 | \$ 3,091,746,764                                            |

SEC File Number  
811 - 21919

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 |
|------------|-------------------------------------------------------------|
| S000013369 | \$ 11,122,398,190                                           |

SEC File Number  
811 - 21991

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 |
|------------|-------------------------------------------------------------|
| S000029151 | \$ 6,873,306,530                                            |
| S000029152 | \$ 21,746,717,644                                           |
| S000030092 | \$ 8,866,007,197                                            |
| S000035122 | \$ 598,379,807                                              |
| S000060103 | \$ 0                                                        |
| S000069094 | \$ 56,210,826,603                                           |
| S000072234 | \$ 641,038,642                                              |
| S000098163 | \$ 0                                                        |

SEC File Number  
811 - 22127

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 |
|------------|-------------------------------------------------------------|
| S000019859 | \$ 23,619,548,144                                           |
| S000028696 | \$ 11,185,381,001                                           |

SEC File Number  
811 - 2215

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 |
|------------|-------------------------------------------------------------|
| S000002121 | \$ 6,172,183,172                                            |

SEC File Number  
811 - 22218

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 |
|------------|-------------------------------------------------------------|
| S000024038 | \$ 5,286,881,605                                            |

SEC File Number  
811 - 22243

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 |
|------------|-------------------------------------------------------------|
| S000024524 | \$ 211,924,535                                              |

SEC File Number  
811 - 22293

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 |
|------------|-------------------------------------------------------------|
| S000026126 | \$ 23,619,548,144                                           |

SEC File Number  
811 - 22410

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 |
|------------|-------------------------------------------------------------|
| S000029428 | \$ 8,817,443,267                                            |

SEC File Number  
811 - 22557

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 |
|------------|-------------------------------------------------------------|
| S000033565 | \$ 1,767,328,351                                            |

SEC File Number  
811 - 22613



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 |
|------------|-------------------------------------------------------------|
| S000041933 | \$ 3,091,746,764                                            |

SEC File Number  
811 - 22620

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 |
|------------|-------------------------------------------------------------|
| S000036336 | \$ 0                                                        |
| S000036338 | \$ 1,767,328,351                                            |
| S000036341 | \$ 0                                                        |

SEC File Number  
811 - 22781

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 |
|------------|-------------------------------------------------------------|
| S000049146 | \$ 49,041,206,465                                           |

SEC File Number  
811 - 22810

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 |
|------------|-------------------------------------------------------------|
| S000040952 | \$ 21,746,717,644                                           |

SEC File Number  
811 - 22811

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 |
|------------|-------------------------------------------------------------|
| S000048334 | \$ 49,041,206,465                                           |
| S000048335 | \$ 5,567,259,141                                            |
| S000079794 | \$ 0                                                        |

SEC File Number  
811 - 22939

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 |
|------------|-------------------------------------------------------------|
| S000045403 | \$ 0                                                        |

SEC File Number  
811 - 22968

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 |
|------------|-------------------------------------------------------------|
| S000046222 | \$ 0                                                        |

SEC File Number  
811 - 23180

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 |
|------------|-------------------------------------------------------------|
| S000055582 | \$ 0                                                        |

SEC File Number  
811 - 23207

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 |
|------------|-------------------------------------------------------------|
| S000056103 | \$ 18,538,945,362                                           |

SEC File Number  
811 - 23235

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 |
|-----------|-------------------------------------------------------------|
|-----------|-------------------------------------------------------------|

|            |      |
|------------|------|
| S000057731 | \$ 0 |
|            |      |

SEC File Number  
811 - 23261

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 |
|------------|-------------------------------------------------------------|
| S000058608 | \$ 0                                                        |

SEC File Number  
811 - 23325

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 |
|------------|-------------------------------------------------------------|
| S000086732 | \$ 1,767,328,351                                            |

SEC File Number  
811 - 23494

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 |
|------------|-------------------------------------------------------------|
| S000067974 | \$ 31,338,085,789                                           |
| S000067975 | \$ 0                                                        |
| S000067976 | \$ 5,567,259,141                                            |
| S000067977 | \$ 46,291,886,918                                           |
| S000071604 | \$ 56,210,826,603                                           |
| S000072797 | \$ 4,442,867,737                                            |
| S000072798 | \$ 0                                                        |
| S000072799 | \$ 0                                                        |
| S000077050 | \$ 0                                                        |
| S000077051 | \$ 432,282,256                                              |
| S000079834 | \$ 0                                                        |
| S000079835 | \$ 0                                                        |
| S000079836 | \$ 0                                                        |
| S000079837 | \$ 0                                                        |
| S000079838 | \$ 0                                                        |
| S000089785 | \$ 0                                                        |
| S000089786 | \$ 8,572,483,849                                            |
| S000092021 | \$ 0                                                        |
| S000092022 | \$ 0                                                        |
| S000092023 | \$ 0                                                        |
| S000092024 | \$ 0                                                        |
| S000095883 | \$ 0                                                        |

|            |                |
|------------|----------------|
| S000095884 | \$ 0           |
| S000095886 | \$ 0           |
| S000095887 | \$ 0           |
| S000095888 | \$ 641,038,642 |
| S000095890 | \$ 0           |

SEC File Number  
811 - 23718

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 |
|------------|-------------------------------------------------------------|
| S000073793 | \$ 0                                                        |

SEC File Number  
811 - 2396

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 |
|------------|-------------------------------------------------------------|
| S000002136 | \$ 18,582,917,449                                           |

SEC File Number  
811 - 2603

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 |
|------------|-------------------------------------------------------------|
| S000002140 | \$ 0                                                        |

SEC File Number  
811 - 2684

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 |
|------------|-------------------------------------------------------------|
| S000002163 | \$ 641,038,642                                              |

SEC File Number  
811 - 2958

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000001487 | \$ 18,538,945,362                                                  |
| S000001488 | \$ 0                                                               |
| S000001489 | \$ 0                                                               |
| S000001490 | \$ 4,241,581,735                                                   |
| S000001491 | \$ 1,523,301,156                                                   |
| S000001492 | \$ 22,551,865                                                      |
| S000001493 | \$ 947,313,965                                                     |
| S000001494 | \$ 295,511,457                                                     |
| S000001495 | \$ 0                                                               |
| S000001496 | \$ 8,866,007,197                                                   |
| S000001497 | \$ 0                                                               |
| S000001498 | \$ 25,532,103,916                                                  |
| S000014995 | \$ 21,746,717,644                                                  |
| S000018747 | \$ 0                                                               |
| S000023645 | \$ 8,825,325,962                                                   |
| S000032784 | \$ 334,876,446                                                     |
| S000037100 | \$ 573,917,634                                                     |
| S000042685 | \$ 0                                                               |
| S000045439 | \$ 116,468,509                                                     |
| S000046336 | \$ 0                                                               |
| S000047982 | \$ 693,762,599                                                     |
| S000047983 | \$ 5,800,892,863                                                   |
| S000050390 | \$ 9,663,731,469                                                   |
| S000053738 | \$ 0                                                               |
| S000058280 | \$ 8,509,634,624                                                   |
| S000063538 | \$ 864,860,542                                                     |
| S000066812 | \$ 296,504,918                                                     |
| S000070716 | \$ 86,614,110                                                      |

SEC File Number  
811 - 3055

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002161 | \$ 0                                                               |

SEC File Number  
811 - 3872

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002165 | \$ 0                                                               |

SEC File Number  
811 - 3894

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 |
|------------|-------------------------------------------------------------|
| S000002141 | \$ 598,379,807                                              |
| S000039055 | \$ 0                                                        |
| S000069612 | \$ 0                                                        |

SEC File Number  
811 - 4119

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 |
|------------|-------------------------------------------------------------|
| S000002132 | \$ 6,873,306,530                                            |
| S000057617 | \$ 432,282,256                                              |

SEC File Number  
811 - 4163

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 |
|------------|-------------------------------------------------------------|
| S000002162 | \$ 0                                                        |

SEC File Number  
811 - 4358

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 |
|------------|-------------------------------------------------------------|
| S000002104 | \$ 5,163,834,555                                            |

SEC File Number  
811 - 4400

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 |
|------------|-------------------------------------------------------------|
| S000002076 | \$ 5,567,259,141                                            |

SEC File Number  
811 - 4441

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 |
|------------|-------------------------------------------------------------|
| S000002131 | \$ 0                                                        |

SEC File Number  
811 - 4519

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 |
|------------|-------------------------------------------------------------|
| S000002070 | \$ 3,091,746,764                                            |

SEC File Number  
811 - 4521

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 |
|------------|-------------------------------------------------------------|
| S000002143 | \$ 0                                                        |
| S000002144 | \$ 0                                                        |
| S000002145 | \$ 0                                                        |
| S000002146 | \$ 0                                                        |
| S000002147 | \$ 0                                                        |
| S000002149 | \$ 0                                                        |
| S000002150 | \$ 0                                                        |
| S000059424 | \$ 0                                                        |

SEC File Number  
811 - 4998

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002122 | \$ 0                                                               |
| S000002123 | \$ 0                                                               |
| S000002124 | \$ 0                                                               |
|            |                                                                    |

SEC File Number  
811 - 5299

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002119 | \$ 182,028,150                                                     |

SEC File Number  
811 - 579

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002087 | \$ 46,291,886,918                                                  |

SEC File Number  
811 - 5833

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002098 | \$ 0                                                               |
| S000014469 | \$ 4,241,581,735                                                   |
| S000029530 | \$ 0                                                               |
| S000037806 | \$ 0                                                               |

SEC File Number  
811 - 5860

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  | <i>Parallel Managed Account</i> Regulatory assets under management |
|------------|--------------------------------------------------------------------|
| S000002167 | \$ 0                                                               |
| S000002168 | \$ 6,180,337,668                                                   |
| S000002169 | \$ 18,825,153,771                                                  |



SEC File Number  
811 - 5986

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 |
|------------|-------------------------------------------------------------|
| S000002089 | \$ 45,395,325,107                                           |
| S000002090 | \$ 0                                                        |
| S000002091 | \$ 0                                                        |
| S000051326 | \$ 0                                                        |
| S000051327 | \$ 0                                                        |
| S000069930 | \$ 11,122,398,190                                           |

SEC File Number  
811 - 6275

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 |
|------------|-------------------------------------------------------------|
| S000002068 | \$ 4,061,564,539                                            |

SEC File Number  
811 - 6665

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 |
|------------|-------------------------------------------------------------|
| S000002102 | \$ 13,804,234,806                                           |

SEC File Number  
811 - 696

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 |
|------------|-------------------------------------------------------------|
| S000002120 | \$ 5,258,350,954                                            |

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 |
|------------|-------------------------------------------------------------|
| S000002075 | \$ 0                                                        |

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 |
|------------|-------------------------------------------------------------|
| S000002069 | \$ 31,181,921,060                                           |

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 |
|------------|-------------------------------------------------------------|
| S000002151 | \$ 3,892,277,407                                            |

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 |
|------------|-------------------------------------------------------------|
| S000002156 | \$ 1,099,422,383                                            |
| S000002157 | \$ 641,038,642                                              |

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 |
|------------|-------------------------------------------------------------|
| S000002106 | \$ 7,235,440,270                                            |

SECTION 5.I.(2) Wrap Fee Programs

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its *sponsor*. You must complete a separate Schedule D Section 5.I.(2) for each *wrap fee program* for which you are a portfolio manager.

Name of *Wrap Fee Program*  
ACCESS PROGRAM AND STRATEGIC WEALTH PORTFOLIO PROGRAM

Name of *Sponsor*  
UBS FINANCIAL SERVICES INC.

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 7163

*Sponsor's* CRD Number (if any):  
8174

Name of *Wrap Fee Program*  
BAIRD RECOMMENDED MANAGERS

Name of *Sponsor*  
ROBERT W. BAIRD & CO. INCORPORATED

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 7571

*Sponsor's* CRD Number (if any):  
8158

Name of *Wrap Fee Program*  
GLOBAL MANAGER STRATEGIES SEPARATE ACCOUNT PROGRAM

Name of *Sponsor*  
GOLDMAN SACHS & CO. LLC

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 16048

*Sponsor's* CRD Number (if any):  
361

Name of *Wrap Fee Program*  
MANAGED ACCOUNT PROGRAM

Name of *Sponsor*  
RBC CAPITAL MARKETS, LLC

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 13059

*Sponsor's* CRD Number (if any):  
31194

Name of *Wrap Fee Program*  
MANAGED ACCOUNT SELECT PROGRAM AND MANAGED ACCOUNT ACCESS PROGRAM

Name of *Sponsor*  
CHARLES SCHWAB & CO., INC.

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 29938

*Sponsor's CRD* Number (if any):  
5393

Name of *Wrap Fee Program*  
MANAGED DIVERSIFIED PORTFOLIOS

Name of *Sponsor*  
WELLS FARGO BANK, NATIONAL ASSOCIATION

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
-

*Sponsor's CRD* Number (if any):

Name of *Wrap Fee Program*  
MANAGER ACCESS SELECT PROGRAM, MANAGER SELECT PROGRAM AND MODEL WEALTH PORTFOLIOS PROGRAM

Name of *Sponsor*  
LPL FINANCIAL LLC

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 10970

*Sponsor's CRD* Number (if any):  
6413

Name of *Wrap Fee Program*  
PORTFOLIO MANAGER PROGRAM AND STRATEGIC INVESTMENT SERVICES PROGRAM (STRATIS)

Name of *Sponsor*  
J.P. MORGAN SECURITIES LLC

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 3702

*Sponsor's CRD* Number (if any):  
79

Name of *Wrap Fee Program*  
PRIVATE ADVISOR NETWORK PROGRAM

Name of *Sponsor*  
WELLS FARGO ADVISORS

*Sponsor's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):  
801 - 37967

*Sponsor's CRD* Number (if any):

|                                                                                                                                                                                                                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19616                                                                                                                                                                                                                                                                                                                     |
| <div><div>Name of <i>Wrap Fee Program</i></div><div>PRIVATE ADVISOR NETWORK PROGRAM</div><div>Name of <i>Sponsor</i></div><div>WELLS FARGO ADVISORS</div><div>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</div><div>801 - 37967</div><div>Sponsor's CRD Number (if any):</div><div>19616</div></div> |
| <div><div>Name of <i>Wrap Fee Program</i></div><div>SELECT UMA</div><div>Name of <i>Sponsor</i></div><div>MORGAN STANLEY</div><div>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</div><div>801 - 70103</div><div>Sponsor's CRD Number (if any):</div><div>149777</div></div>                           |
| <div><div>Name of <i>Wrap Fee Program</i></div><div>SEPARATELY MANAGED ACCOUNT</div><div>Name of <i>Sponsor</i></div><div>ENVESTNET PMC</div><div>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</div><div>801 - 57260</div><div>Sponsor's CRD Number (if any):</div><div>111694</div></div>            |

**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                                                                                              | 55 %        | 54 %        |
|                                                                                                       | (ii) Non Exchange-Traded Equity Securities                                                                                         | 0 %         | 0 %         |
|                                                                                                       | (iii) U.S. Government/Agency Bonds                                                                                                 | 6 %         | 6 %         |
|                                                                                                       | (iv) U.S. State and Local Bonds                                                                                                    | 1 %         | 1 %         |
|                                                                                                       | (v) Sovereign Bonds                                                                                                                | 2 %         | 2 %         |
|                                                                                                       | (vi) Investment Grade Corporate Bonds                                                                                              | 8 %         | 9 %         |
|                                                                                                       | (vii) Non-Investment Grade Corporate Bonds                                                                                         | 10 %        | 10 %        |
|                                                                                                       | (viii) Derivatives                                                                                                                 | 4 %         | 7 %         |
|                                                                                                       | (ix) Securities Issued by Registered Investment Companies or Business Development Companies                                        | 1 %         | 1 %         |
|                                                                                                       | (x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies) | 0 %         | 0 %         |
|                                                                                                       | (xi) Cash and Cash Equivalents                                                                                                     | 7 %         | 6 %         |
| (xii) Other                                                                                           | 4 %                                                                                                                                | 4 %         |             |
| Generally describe any assets included in "Other"                                                     |                                                                                                                                    |             |             |
| SECURITIES THAT COULD NOT BE CAPTURED IN THE DESIGNATED ASSET TYPES BASED ON OUR SYSTEM CONFIGURATION |                                                                                                                                    |             |             |
|                                                                                                       |                                                                                                                                    |             |             |
| (b)                                                                                                   | 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 Borrowingsand 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

| 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 %          | \$ 169,502,292,557                     | \$ 73,690,829  | 0.08 %                       | 0 %                             | 0 %                   | 0 %                   | 0 %                      | 0 %                  |
| 10-149 %                | \$ 7,843,259,215                       | \$ 336,392     | 41.8 %                       | 59.66 %                         | 5.07 %                | 0.02 %                | 0 %                      | 0.26 %               |
| 150 % or more           | \$ 1,581,602,156                       | \$ 413,061     | 146.51 %                     | 200.56 %                        | 49.2 %                | 4.73 %                | 0 %                      | 24.72 %              |

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 %          | \$ 195,655,605,262                     | \$ 35,253,558  | 0.01 %                       | 0 %                             | 0 %                   | 0 %                   | 0 %                      | 0 %                  |
| 10-149 %                | \$ 5,035,185,431                       | \$ 1,735,113   | 24.62 %                      | 4.24 %                          | 3.72 %                | 0 %                   | 0 %                      | 0 %                  |
| 150 % or more           | \$ 6,282,359,078                       | \$ 0           | 270.84 %                     | 182.86 %                        | 12.91 %               | 0.68 %                | 0 %                      | 8.35 %               |

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.

- (a)

Legal name of custodian:  
THE BANK OF NEW YORK MELLON CORPORATION
- (b)

Primary business name of custodian:  
THE BANK OF NEW YORK MELLON CORPORATION
- (c)

The location(s) of the custodian's office(s) responsible for *custody* of the assets :  

City:State:Country:

|     |                                                                                                                                                                  |          |               |     |                                                        |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------------|-----|--------------------------------------------------------|
|     | NEW YORK                                                                                                                                                         | New York | United States |     |                                                        |
|     |                                                                                                                                                                  |          |               | Yes | No                                                     |
| (d) | Is the custodian a <i>related person</i> of your firm?                                                                                                           |          |               |     | <input type="radio"/> <input checked="" type="radio"/> |
| (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 <i>legal entity identifier</i> (if any) |          |               |     |                                                        |
| (g) | What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?                                     |          |               |     |                                                        |
|     | \$ 29,901,207,814                                                                                                                                                |          |               |     |                                                        |

|     |                                                                                                                                                                  |          |               |     |                                                        |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------------|-----|--------------------------------------------------------|
| (a) | Legal name of custodian:                                                                                                                                         |          |               |     |                                                        |
|     | NORTHERN TRUST CORPORATION                                                                                                                                       |          |               |     |                                                        |
| (b) | Primary business name of custodian:                                                                                                                              |          |               |     |                                                        |
|     | NORTHERN TRUST CORPORATION                                                                                                                                       |          |               |     |                                                        |
| (c) | The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :                                                                      |          |               |     |                                                        |
|     | City:                                                                                                                                                            | State:   | Country:      |     |                                                        |
|     | CHICAGO                                                                                                                                                          | Illinois | United States |     |                                                        |
|     |                                                                                                                                                                  |          |               | Yes | No                                                     |
| (d) | Is the custodian a <i>related person</i> of your firm?                                                                                                           |          |               |     | <input type="radio"/> <input checked="" type="radio"/> |
| (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 <i>legal entity identifier</i> (if any) |          |               |     |                                                        |
| (g) | What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?                                     |          |               |     |                                                        |
|     | \$ 36,677,008,248                                                                                                                                                |          |               |     |                                                        |

|     |                                                                                                                                                                  |               |               |     |                                                        |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---------------|-----|--------------------------------------------------------|
| (a) | Legal name of custodian:                                                                                                                                         |               |               |     |                                                        |
|     | STATE STREET BANK & TRUST COMPANY                                                                                                                                |               |               |     |                                                        |
| (b) | Primary business name of custodian:                                                                                                                              |               |               |     |                                                        |
|     | STATE STREET BANK & TRUST COMPANY                                                                                                                                |               |               |     |                                                        |
| (c) | The location(s) of the custodian's office(s) responsible for <i>custody</i> of the assets :                                                                      |               |               |     |                                                        |
|     | City:                                                                                                                                                            | State:        | Country:      |     |                                                        |
|     | BOSTON                                                                                                                                                           | Massachusetts | United States |     |                                                        |
|     |                                                                                                                                                                  |               |               | Yes | No                                                     |
| (d) | Is the custodian a <i>related person</i> of your firm?                                                                                                           |               |               |     | <input type="radio"/> <input checked="" type="radio"/> |
| (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 <i>legal entity identifier</i> (if any) |               |               |     |                                                        |
| (g) | What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?                                     |               |               |     |                                                        |
|     | \$ 91,021,913,860                                                                                                                                                |               |               |     |                                                        |

|                                                                                   |                                                                                                           |
|-----------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| 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):              |                                                                                                           |
| <input type="checkbox"/>                                                          | (1) broker-dealer (registered or unregistered)                                                            |
| <input type="checkbox"/>                                                          | (2) registered representative of a broker-dealer                                                          |
| <input checked="" type="checkbox"/>                                               | (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
| <input type="checkbox"/>                                                          | (4) futures commission merchant                                                                           |
| <input type="checkbox"/>                                                          | (5) real estate broker, dealer, or agent                                                                  |
| <input type="checkbox"/>                                                          | (6) insurance broker or agent                                                                             |
| <input type="checkbox"/>                                                          | (7) bank (including a separately identifiable department or division of a bank)                           |
| <input type="checkbox"/>                                                          | (8) trust company                                                                                         |
| <input type="checkbox"/>                                                          | (9) registered municipal advisor                                                                          |
| <input type="checkbox"/>                                                          | (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](#).

|                                                                                                                                                                         | Yes                   | No                               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?                                                    | <input type="radio"/> | <input checked="" type="radio"/> |
| (2) If yes, is this other business your primary business?                                                                                                               | <input type="radio"/> | <input type="radio"/>            |
| If "yes," describe this other business on <a href="#">Section 6.B.(2) of Schedule D</a> , 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> ?                                                             | <input type="radio"/> | <input checked="" type="radio"/> |
| If "yes," describe this other business on <a href="#">Section 6.B.(3) of Schedule D</a> , and if you engage in this business under a different name, provide that name. |                       |                                  |

SECTION 6.A. Names of Your Other Businesses

No Information Filed

SECTION 6.B.(2) Description of Primary Business

Describe your primary business (not your investment advisory business):

If you engage in that business under a different name, provide that name:

SECTION 6.B.(3) Description of Other Products and Services

Describe 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 you engage in that business under a different name, provide that name:

Item 7 Financial Industry Affiliations

In 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 your *clients*.

A. 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* and any *person* that is under common control with you.

You have a *related person* that is a (check all that apply):

☒

(1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)

☒

(2) other investment adviser (including financial planners)

☐

(3) registered municipal advisor

☐

(4) registered security-based swap dealer

☐

(5) major security-based swap participant

☒

(6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐

(7) futures commission merchant

☐

(8) banking or thrift institution

☒

(9) trust company

☐

(10) accountant or accounting firm

☐

(11) lawyer or law firm

☐

(12) insurance company or agency

☐

(13) pension consultant

☐

(14) real estate broker or dealer

☐

(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

☒

(16) sponsor, general partner, managing member (or equivalent) of 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 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.*

Complete a separate Schedule D Section 7.A. for each *related person* listed in Item 7.A.

- [illegible]

11. Do you 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*:  
OHA DELAWARE CUSTOMIZED CREDIT FUND-F GENPAR, LLP

2. Primary Business Name of *Related Person*:  
OHA DELAWARE CUSTOMIZED CREDIT FUND-F GENPAR, LLP

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  
(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*?

(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*?

(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?

(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*?

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

1.

Legal Name of *Related Person*:

OHA DIVERSIFIED CREDIT STRATEGIES (PARALLEL II) GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA DIVERSIFIED CREDIT STRATEGIES (PARALLEL II) GENPAR, LLP

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

(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

7.

Are you and the *related person* under common *control*?

Yes

No

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 *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

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?

Yes

No

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

Yes

No

11.

Do you and the *related person* share any *supervised persons*?

Yes

No

12.

Do you and the *related person* share the same physical location?

Yes

No

1.

Legal Name of *Related Person*:

OHA DIVERSIFIED CREDIT STRATEGIES TRACTOR FUND GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA DIVERSIFIED CREDIT STRATEGIES TRACTOR FUND GENPAR, LLP

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

(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?

☐ ☒

(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?

☐ ☐

(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?

☐ ☒

(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?

☐ ☒

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

☐ ☒

1. Legal Name of Related Person:

OHA ENHANCED CREDIT STRATEGIES GENPAR, LLP

2. Primary Business Name of Related Person:

OHA ENHANCED CREDIT STRATEGIES GENPAR, LLP

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
- (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*?

☐ ☐

(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*?

○ ○

(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?



(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?



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



1. Legal Name of *Related Person*:

OHA FINLANDIA CREDIT FUND GENPAR, LLP

2. Primary Business Name of *Related Person*:

OHA FINLANDIA CREDIT FUND GENPAR, LLP

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

(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?

☐

☒

(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?

☐

☐

(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?

☐

☒

(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?

☐

☒

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

☐

☒

1. Legal Name of Related Person:

OHA KC CUSTOMIZED CREDIT GENPAR, LLP

2. Primary Business Name of Related Person:

OHA KC CUSTOMIZED CREDIT GENPAR, LLP

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) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |

|     |                                                                               |                                                                                                       |
|-----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1.  | Legal Name of <i>Related Person</i> :                                         | OHA MPS SSD GENPAR, LLP                                                                               |
| 2.  | Primary Business Name of <i>Related Person</i> :                              | OHA MPS SSD GENPAR, LLP                                                                               |
| 3.  | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | -<br>or<br>Other                                                                                      |
| 4.  | <i>Related Person's</i>                                                       |                                                                                                       |
|     | (a) <i>CRD</i> Number (if any):                                               |                                                                                                       |
|     | (b) <i>CIK</i> Number(s) (if any):                                            | No Information Filed                                                                                  |
| 5.  | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
| (a) | <input type="checkbox"/>                                                      | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
| (b) | <input checked="" type="checkbox"/>                                           | other investment adviser (including financial planners)                                               |
| (c) | <input type="checkbox"/>                                                      | registered municipal advisor                                                                          |
| (d) | <input type="checkbox"/>                                                      | registered security-based swap dealer                                                                 |
| (e) | <input type="checkbox"/>                                                      | major security-based swap participant                                                                 |
| (f) | <input checked="" type="checkbox"/>                                           | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
| (g) | <input type="checkbox"/>                                                      | futures commission merchant                                                                           |
| (h) | <input type="checkbox"/>                                                      | banking or thrift institution                                                                         |
| (i) | <input type="checkbox"/>                                                      | trust company                                                                                         |
| (j) | <input type="checkbox"/>                                                      | accountant or accounting firm                                                                         |
| (k) | <input type="checkbox"/>                                                      | lawyer or law firm                                                                                    |



- Yes No



assets:

Number and Street 2:

State:

Country:

ZIP+4/Postal Code:

Yes No



ed.

No Information Filed



OHA STRATEGIC CREDIT II GENPAR, LLP

OHA STRATEGIC CREDIT II GENPAR, LLP

—

or

Other

(a) CRD Number (if any):

No Information Filed

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer

(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

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*?

(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*?

(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:

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 *related person* is an investment adviser, is it exempt from registration?

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA STRUCTURE PRODUCTS D GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA STRUCTURE PRODUCTS D GENPAR, LLP

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

(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*?

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



- Yes No

- 

- Yes No

YesNo

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:  
OHA CLO ENHANCED EQUITY GENPAR, LLP

2.

Primary Business Name of *Related Person*:  
OHA CLO ENHANCED EQUITY GENPAR, LLP

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

(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*?

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 *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: ☐

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.

(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.

|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                  |                                  |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|
| 1.  | Legal Name of <i>Related Person</i> :<br>OHA CLO STRATEGIES FUND GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                  |                                  |
| 2.  | Primary Business Name of <i>Related Person</i> :<br>OHA CLO STRATEGIES FUND GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                  |                                  |
| 3.  | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)<br>-<br>or<br>Other                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                  |                                  |
| 4.  | <i>Related Person's</i><br>(a) CRD Number (if any):<br><br>(b) CIK Number(s) (if any):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | No Information Filed             |                                  |
| 5.  | <i>Related Person is:</i> (check all that apply)<br>(a) <input type="checkbox"/> broker-dealer, municipal securities dealer, or government securities broker or dealer<br>(b) <input checked="" type="checkbox"/> other investment adviser (including financial planners)<br>(c) <input type="checkbox"/> registered municipal advisor<br>(d) <input type="checkbox"/> registered security-based swap dealer<br>(e) <input type="checkbox"/> major security-based swap participant<br>(f) <input checked="" type="checkbox"/> commodity pool operator or commodity trading advisor (whether registered or exempt from registration)<br>(g) <input type="checkbox"/> futures commission merchant<br>(h) <input type="checkbox"/> banking or thrift institution<br>(i) <input type="checkbox"/> trust company<br>(j) <input type="checkbox"/> accountant or accounting firm<br>(k) <input type="checkbox"/> lawyer or law firm<br>(l) <input type="checkbox"/> insurance company or agency<br>(m) <input type="checkbox"/> pension consultant<br>(n) <input type="checkbox"/> real estate broker or dealer<br>(o) <input type="checkbox"/> sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles<br>(p) <input checked="" type="checkbox"/> 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> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?<br>(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> ?<br>(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:<br>Number and Street 1: _____ Number and Street 2: _____<br>City: _____ State: _____ Country: _____ ZIP+4/Postal Code: _____<br>If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                      |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?<br>(b) If the answer is yes, under what exemption?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input type="radio"/>            | <input checked="" type="radio"/> |
| 10. | (a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?<br>(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.<br>No Information Filed                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                  |                                  |
| 11. | Do you and the <i>related person</i> share any <i>supervised persons</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/>            | <input checked="" type="radio"/> |

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
-  
or  
Other

- (a) CRD Number (if any):
- (b) CIK Number(s) (if any):

No Information Filed

- (p) ☒ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes No

- ZIP+4/Postal Code:

Yes No

- (b) If the answer is yes, under what exemption?

- No Information Filed

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

- OHA DELAWARE CUSTOMIZED CREDIT FUND GENPAR, LLP

- OHA DELAWARE CUSTOMIZED CREDIT FUND GENPAR, LLP



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  
(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?  
(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?  
(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?  
(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?  

☐ ☒

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

☐ ☒

1. Legal Name of Related Person:  
OHA FD CUSTOM CREDIT GENPAR, LLP

2. Primary Business Name of Related Person:  
OHA FD CUSTOM CREDIT GENPAR, LLP

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
-  
or  
Other

1. Legal Name of Related Person:  
OHA FD CUSTOM CREDIT GENPAR, LLP

2. Primary Business Name of Related Person:  
OHA FD CUSTOM CREDIT GENPAR, LLP

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

(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

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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 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 ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA BCSS SSD GENPAR II, LLP

2. Primary Business Name of Related Person:

OHA BCSS SSD GENPAR II, LLP

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

(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

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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:City:State:If this address is a private residence, check this box: ☐

Number and Street 2:Country:ZIP+4/Postal Code:

Yes

No

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 ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA BCSS SSD GENPAR, LLP

2. Primary Business Name of Related Person:

OHA BCSS SSD GENPAR, LLP

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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | major security-based swap participant                                                                 |                                  |                                  |
| (f) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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:                         |                                  |
|     | State:                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | ZIP+4/Postal Code:               |                                  |
|     | If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                                                                                               |  |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1. | Legal Name of <i>Related Person</i> :                                                                                                         |  |
|    | OHA-CDP ESCF GENPAR, LLP                                                                                                                      |  |
| 2. | Primary Business Name of <i>Related Person</i> :                                                                                              |  |
|    | OHA-CDP ESCF GENPAR, LLP                                                                                                                      |  |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)                                                                 |  |
|    | -                                                                                                                                             |  |
|    | or                                                                                                                                            |  |
|    | Other                                                                                                                                         |  |
| 4. | <i>Related Person's</i>                                                                                                                       |  |
|    | (a) <i>CRD</i> Number (if any):                                                                                                               |  |
|    | (b) <i>CIK</i> Number(s) (if any):                                                                                                            |  |
|    | No Information Filed                                                                                                                          |  |
| 5. | <i>Related Person</i> is: (check all that apply)                                                                                              |  |
|    | (a) <input type="checkbox"/> broker-dealer, municipal securities dealer, or government securities broker or dealer                            |  |
|    | (b) <input checked="" type="checkbox"/> other investment adviser (including financial planners)                                               |  |
|    | (c) <input type="checkbox"/> registered municipal advisor                                                                                     |  |
|    | (d) <input type="checkbox"/> registered security-based swap dealer                                                                            |  |
|    | (e) <input type="checkbox"/> major security-based swap participant                                                                            |  |
|    | (f) <input checked="" type="checkbox"/> commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |  |
|    | (g) <input type="checkbox"/> futures commission merchant                                                                                      |  |
|    | (h) <input type="checkbox"/> banking or thrift institution                                                                                    |  |
|    | (i) <input type="checkbox"/> trust company                                                                                                    |  |
|    | (j) <input type="checkbox"/> accountant or accounting firm                                                                                    |  |

- Yes No

Yes No

No Information Filed

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*?

(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*?

(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 *related person* is an investment adviser, is it exempt from registration?

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:  
OHA PRIVATE CREDIT ADVISORS LLC

2.

Primary Business Name of *Related Person*:  
OHA PRIVATE CREDIT ADVISORS LLC

3.

*Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
801 - 126340  
or  
Other

4.

*Related Person's*  

(a)

*CRD* Number (if any):  
319664

(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

(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*?

8.

(a)

Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?



If this address is a private residence, check this box: ☐

YesNo

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:  
OHA EUROPEAN CREDIT OPPORTUNITIES FUND GENPAR, S.A.R.L

2.

Primary Business Name of *Related Person*:  
OHA EUROPEAN CREDIT OPPORTUNITIES FUND 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):

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

(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*?

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 *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: ☐

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA STRUCTURED PRODUCTS IV (EVERGREEN) GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA STRUCTURED PRODUCTS IV (EVERGREEN) GENPAR, LLP

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

(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*?

(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*?

(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?

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA KC CUSTOMIZED CREDIT II GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA KC CUSTOMIZED CREDIT II GENPAR, LLP

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

(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

7.

Are you and the *related person* under common *control*?

Yes

No

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 *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:

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 *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

Yes

No

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*?

Yes

No

12.

Do you and the *related person* share the same physical location?

Yes

No

1.

Legal Name of *Related Person*:

TIDEWATER BL GENPAR, LLP

2.

Primary Business Name of *Related Person*:



TIDEWATER BL GENPAR, LLP

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

(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

7.

Are you and the related person under common control?

Yes

No

8.

(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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 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 ?

Yes

No

(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?

Yes

No

12.

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

Yes

No

1.

Legal Name of Related Person:

OHA ARTESIAN CUSTOMIZED CREDIT FUND I GENPAR, LLP

2.

Primary Business Name of Related Person:

OHA ARTESIAN CUSTOMIZED CREDIT FUND I GENPAR, LLP

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

(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?

Yes

No

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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?

Yes

No

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

T. ROWE PRICE (CANADA) INC.

2. Primary Business Name of Related Person:

T. ROWE PRICE (CANADA), INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 39638

or

Other

4. Related Person's

(a) CRD Number (if any):

107290

(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

(p) ☒ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

YesNo

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*?

☐☒

(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*?

☐☐

(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:City:State:If this address is a private residence, check this box: ☐

Number and Street 2:Country:ZIP+4/Postal Code:

YesNo

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. (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     |
|----------------------------------------------------------------------------|
| 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 - Nova Scotia Securities Commission                                 |
| Canada - Ontario Securities Commission                                     |
| Canada - Prince Edward Island, Securities Office                           |
| Canada - Quebec, Financial Markets Authority                               |
| Canada - Saskatchewan Financial Services Commission                        |

11. Do you 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*:

OHA LIQUID MAC GENPAR, LLP
2. Primary Business Name of *Related Person*:

OHA LIQUID MAC GENPAR, LLP
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

(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

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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 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 ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA SEQUOIA CUSTOMIZED CREDIT GENPAR LLP

2. Primary Business Name of Related Person:

OHA SEQUOIA CUSTOMIZED CREDIT GENPAR LLP

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

(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

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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: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 related person is an investment adviser, is it exempt from registration?

Yes

No

(b) If the answer is yes, under what exemption?

Yes

No

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:  
OHA WASATCH CUSTOMIZED CREDIT GENPAR, LLP

2. Primary Business Name of Related Person:  
OHA WASATCH CUSTOMIZED CREDIT GENPAR, LLP

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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | major security-based swap participant                                                                 |                                  |                                  |
| (f) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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:                         |                                  |
|     | State:                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | ZIP+4/Postal Code:               |                                  |
|     | If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                               |                                                                                                       |
|----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1. | Legal Name of <i>Related Person</i> :                                         | OHA OSIRIS CREDIT OPPORTUNITIES GENPAR, LLP                                                           |
| 2. | Primary Business Name of <i>Related Person</i> :                              | OHA OSIRIS CREDIT OPPORTUNITIES GENPAR, LLP                                                           |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | -                                                                                                     |
|    | or                                                                            |                                                                                                       |
|    | Other                                                                         |                                                                                                       |
| 4. | <i>Related Person's</i>                                                       |                                                                                                       |
|    | (a) <i>CRD</i> Number (if any):                                               |                                                                                                       |
|    | (b) <i>CIK</i> Number(s) (if any):                                            | No Information Filed                                                                                  |
| 5. | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
|    | (a) <input type="checkbox"/>                                                  | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
|    | (b) <input checked="" type="checkbox"/>                                       | other investment adviser (including financial planners)                                               |
|    | (c) <input type="checkbox"/>                                                  | registered municipal advisor                                                                          |
|    | (d) <input type="checkbox"/>                                                  | registered security-based swap dealer                                                                 |
|    | (e) <input type="checkbox"/>                                                  | major security-based swap participant                                                                 |
|    | (f) <input checked="" type="checkbox"/>                                       | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
|    | (g) <input type="checkbox"/>                                                  | futures commission merchant                                                                           |
|    | (h) <input type="checkbox"/>                                                  | banking or thrift institution                                                                         |
|    | (i) <input type="checkbox"/>                                                  | trust company                                                                                         |
|    | (j) <input type="checkbox"/>                                                  | accountant or accounting firm                                                                         |



- Yes No



assets:

Number and Street 2:

State:

ZIP+4/Postal Code:

Yes No



ed.



OHA PRIVATE CREDIT ADVISORS II, L.P.

OHA PRIVATE CREDIT ADVISORS II, L.P.

801 - 126341

or

Other

(a) *CRD* Number (if any):

322289

(b) CIK Number(s) (if any):

No Information Filed

(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







If this address is a private residence, check this box: ☐

YesNo

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:  
OHA TKY CUSTOMIZED CREDIT IV GENPAR, LLP

2.

Primary Business Name of *Related Person*:  
OHA TKY CUSTOMIZED CREDIT IV GENPAR, LLP

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

(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*?

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 *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: ☐

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA LDN CUSTOMISED CREDIT MASTER GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA LDN CUSTOMISED CREDIT MASTER GENPAR, LLP

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

(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*?

(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*?

(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?

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA TKY CUSTOMIZED CREDIT II GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA TKY CUSTOMIZED CREDIT II GENPAR, LLP

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

(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

7.

Are you and the *related person* under common *control*?

Yes

No

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 *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:

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 *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

Yes

No

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*?

Yes

No

12.

Do you and the *related person* share the same physical location?

Yes

No

1.

Legal Name of *Related Person*:

OHA TKY CUSTOMIZED CREDIT III GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA

TKY

CUSTOMIZED CREDIT III

GENPAR, LLP

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  
(p) ☒ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6.

Do you control or are you controlled by the related person?

YesNo

7.

Are you and the related person under common control?

YesNo

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 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: ☐

YesNo

9.

(a) If the related person is an investment adviser, is it exempt from registration?  
(b) If the answer is yes, under what exemption?

YesNo

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

YesNo

11.

Do you and the related person share any supervised persons?

YesNo

12.

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

YesNo

1.

Legal Name of Related Person:  
T. ROWE PRICE TRUST COMPANY

2.

Primary Business Name of Related Person:  
T. ROWE PRICE 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

(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

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?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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?

Yes

No

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA GLOBAL DIRECTOR, LLC

2. Primary Business Name of Related Person:

OHA GLOBAL DIRECTOR, 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

(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

7. Are you and the *related person* under common *control*?

Yes

No

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

Yes

No

(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*?

Yes

No

(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 *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* ?

Yes

No

(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*?

Yes

No

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

Yes

No

1. Legal Name of *Related Person*:

OHA HT LEV LOAN GENPAR, LLP

2. Primary Business Name of *Related Person*:

OHA HT LEV LOAN GENPAR, LLP

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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | major security-based swap participant                                                                 |                                  |                                  |
| (f) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |

|     |                                                                               |                                                                                                       |
|-----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1.  | Legal Name of <i>Related Person</i> :                                         | OHA CA CUSTOMIZED CREDIT GENPAR, LLP                                                                  |
| 2.  | Primary Business Name of <i>Related Person</i> :                              | OHA CA CUSTOMIZED CREDIT GENPAR, LLP                                                                  |
| 3.  | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | -                                                                                                     |
|     | or                                                                            |                                                                                                       |
|     | Other                                                                         |                                                                                                       |
| 4.  | <i>Related Person's</i>                                                       |                                                                                                       |
|     | (a) CRD Number (if any):                                                      |                                                                                                       |
|     | (b) CIK Number(s) (if any):                                                   | No Information Filed                                                                                  |
| 5.  | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
| (a) | <input type="checkbox"/>                                                      | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
| (b) | <input checked="" type="checkbox"/>                                           | other investment adviser (including financial planners)                                               |
| (c) | <input type="checkbox"/>                                                      | registered municipal advisor                                                                          |
| (d) | <input type="checkbox"/>                                                      | registered security-based swap dealer                                                                 |
| (e) | <input type="checkbox"/>                                                      | major security-based swap participant                                                                 |
| (f) | <input checked="" type="checkbox"/>                                           | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
| (g) | <input type="checkbox"/>                                                      | futures commission merchant                                                                           |
| (h) | <input type="checkbox"/>                                                      | banking or thrift institution                                                                         |
| (i) | <input type="checkbox"/>                                                      | trust company                                                                                         |
| (j) | <input type="checkbox"/>                                                      | accountant or accounting firm                                                                         |



(k)

(l)

(m)

(n)

(o)

(p)

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 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*?

(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*?

(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?

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

OHA DYNAMIC CREDIT ORCA GENPAR, LLP

2.

Primary Business Name of *Related Person*:

OHA DYNAMIC CREDIT ORCA GENPAR, LLP

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

(p)

☒

sponsor, general partner, managing member (or equivalent) of pooled investment vehicles





If this address is a private residence, check this box: ☐

YesNo

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.

(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*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:  
T. ROWE PRICE (LUXEMBOURG) MANAGEMENT S.À R.L.

2.

Primary Business Name of *Related Person*:  
T. ROWE PRICE (LUXEMBOURG) MANAGEMENT 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)

☐

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

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*?

(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*?

(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 *related person* is an investment adviser, is it exempt from registration?

(b)

If the answer is yes, under what exemption?

FOREIGN PRIVATE ADVISER



11. Do you 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*:  
T. ROWE PRICE INTERNATIONAL LTD

2. Primary Business Name of *Related Person*:  
T. ROWE PRICE INTERNATIONAL LTD

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
801 - 61894  
or  
Other

4. *Related Person's*  
(a) *CRD* Number (if any):  
126032  
(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  
(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

7. Are you and the *related person* under common *control*?

Yes

No

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

Yes

No

(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*?

Yes

No

(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:

City:

State:

Country:

Number and Street 2:

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?

Yes

No

(b) If the answer is yes, under what exemption?

Yes

No

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

Yes

No

(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         |
|--------------------------------------------------------------------------------|
| Dubai - Dubai Financial Services Authority                                     |
| Ireland - Central Bank of Ireland                                              |
| Other - BELGIUM - FINANCIAL SERVICES AND MARKETS AUTHORITY                     |
| South Africa - Financial Services Board                                        |
| South Korea - Financial Supervisory Commission / Financial Supervisory Service |



|                                                                                                                                                                                                                                                                                                                                                                                                                      |                                     |                                                                                                       |                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------|-------------------------------------|
| 1. Legal Name of <i>Related Person</i> :                                                                                                                                                                                                                                                                                                                                                                             |                                     |                                                                                                       |                                     |
| OHA REAL ASSET OPPORTUNITIES FUND I GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                      |                                     |                                                                                                       |                                     |
| 2. Primary Business Name of <i>Related Person</i> :                                                                                                                                                                                                                                                                                                                                                                  |                                     |                                                                                                       |                                     |
| OHA REAL ASSET OPPORTUNITIES FUND I GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                      |                                     |                                                                                                       |                                     |
| 3. <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)                                                                                                                                                                                                                                                                                                                                     |                                     |                                                                                                       |                                     |
| -                                                                                                                                                                                                                                                                                                                                                                                                                    |                                     |                                                                                                       |                                     |
| or                                                                                                                                                                                                                                                                                                                                                                                                                   |                                     |                                                                                                       |                                     |
| Other                                                                                                                                                                                                                                                                                                                                                                                                                |                                     |                                                                                                       |                                     |
| 4. <i>Related Person's</i>                                                                                                                                                                                                                                                                                                                                                                                           |                                     |                                                                                                       |                                     |
| (a) CRD Number (if any):                                                                                                                                                                                                                                                                                                                                                                                             |                                     |                                                                                                       |                                     |
| (b) CIK Number(s) (if any):                                                                                                                                                                                                                                                                                                                                                                                          |                                     |                                                                                                       |                                     |
|                                                                                                                                                                                                                                                                                                                                                                                                                      |                                     | No Information Filed                                                                                  |                                     |
| 5. <i>Related Person</i> is: (check all that apply)                                                                                                                                                                                                                                                                                                                                                                  |                                     |                                                                                                       |                                     |
| (a)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |                                     |
| (b)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input checked="" type="checkbox"/> | other investment adviser (including financial planners)                                               |                                     |
| (c)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | registered municipal advisor                                                                          |                                     |
| (d)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | registered security-based swap dealer                                                                 |                                     |
| (e)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | major security-based swap participant                                                                 |                                     |
| (f)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input checked="" type="checkbox"/> | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                     |
| (g)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | futures commission merchant                                                                           |                                     |
| (h)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | banking or thrift institution                                                                         |                                     |
| (i)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | trust company                                                                                         |                                     |
| (j)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | accountant or accounting firm                                                                         |                                     |
| (k)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | lawyer or law firm                                                                                    |                                     |
| (l)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | insurance company or agency                                                                           |                                     |
| (m)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | pension consultant                                                                                    |                                     |
| (n)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | real estate broker or dealer                                                                          |                                     |
| (o)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                     |
| (p)                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | sponsor, general partner, managing member (or equivalent) of pooled investment vehicles               |                                     |
| 6. Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?                                                                                                                                                                                                                                                                                                                                 |                                     | Yes <input type="radio"/>                                                                             | No <input type="radio"/>            |
| 7. Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                               |                                     | Yes <input type="radio"/>                                                                             | No <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                      |                                     | Yes <input type="radio"/>                                                                             | No <input checked="" type="radio"/> |
| (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> ? |                                     | Yes <input type="radio"/>                                                                             | No <input type="radio"/>            |
| (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: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                     |                                                                                                       |                                     |
| 9. (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                        |                                     | Yes <input type="radio"/>                                                                             | No <input checked="" type="radio"/> |
| (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> ?                                                                                                                                                                                                                                                                                                               |                                     | Yes <input type="radio"/>                                                                             | No <input checked="" type="radio"/> |
| (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> ?                                                                                                                                                                                                                                                                                                                                       |                                     | Yes <input type="radio"/>                                                                             | No <input checked="" type="radio"/> |
| 12. Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                           |                                     | Yes <input type="radio"/>                                                                             | No <input checked="" type="radio"/> |





-  
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

(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?

Yes

No

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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?

Yes

No

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA CREDIT OPPORTUNITIES CA (C) GENPAR, LLP

2. Primary Business Name of Related Person:

OHA CREDIT OPPORTUNITIES CA (C) GENPAR, LLP

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

(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

7. Are you and the *related person* under common *control*?

Yes

No

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

Yes

No

(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*?

Yes

No

(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 *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* ?

Yes

No

(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*?

Yes

No

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

Yes

No

1. Legal Name of *Related Person*:

OHA CENTRE STREET GENPAR, LLC

2. Primary Business Name of *Related Person*:

OHA CENTRE STREET 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) ☐ 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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                  |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                         |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                  |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                        |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles |                                  |                                  |
| (p) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                     | <input type="radio"/>            | <input type="radio"/>            |
|     | (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:                         |                                  |
|     | State:                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                     | ZIP+4/Postal Code:               |                                  |
|     | If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                     |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                     | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                               |                                                                                                       |
|----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1. | Legal Name of <i>Related Person</i> :                                         | OAK HILL ADVISORS, L.P.                                                                               |
| 2. | Primary Business Name of <i>Related Person</i> :                              | OAK HILL ADVISORS, L.P.                                                                               |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | 801 - 62894                                                                                           |
|    | or                                                                            |                                                                                                       |
|    | Other                                                                         |                                                                                                       |
| 4. | <i>Related Person's</i>                                                       |                                                                                                       |
|    | (a) <i>CRD</i> Number (if any):                                               | 125352                                                                                                |
|    | (b) CIK Number(s) (if any):                                                   | No Information Filed                                                                                  |
| 5. | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
|    | (a) <input type="checkbox"/>                                                  | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
|    | (b) <input checked="" type="checkbox"/>                                       | other investment adviser (including financial planners)                                               |
|    | (c) <input type="checkbox"/>                                                  | registered municipal advisor                                                                          |
|    | (d) <input type="checkbox"/>                                                  | registered security-based swap dealer                                                                 |
|    | (e) <input type="checkbox"/>                                                  | major security-based swap participant                                                                 |
|    | (f) <input checked="" type="checkbox"/>                                       | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
|    | (g) <input type="checkbox"/>                                                  | futures commission merchant                                                                           |
|    | (h) <input type="checkbox"/>                                                  | banking or thrift institution                                                                         |
|    | (i) <input type="checkbox"/>                                                  | trust company                                                                                         |
|    | (j) <input type="checkbox"/>                                                  | accountant or accounting firm                                                                         |
|    | (k) <input type="checkbox"/>                                                  | lawyer or law firm                                                                                    |
|    | (l) <input type="checkbox"/>                                                  | insurance company or agency                                                                           |
|    | (m) <input type="checkbox"/>                                                  | pension consultant                                                                                    |
|    | (n) <input type="checkbox"/>                                                  | real estate broker or dealer                                                                          |
|    | (o) <input type="checkbox"/>                                                  | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |
|    | (p) <input type="checkbox"/>                                                  | 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> ?                                                                                                                                                                                                                                                                                                                                    |     |                      |     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |     |                      |     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |     |                      |     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |     |                      |     | <input type="radio"/>            | <input type="radio"/>            |
|     | (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: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |     |                      |     |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |     |                      | Yes | No                               |                                  |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |     |                      |     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |     |                      |     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |     |                      |     | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |     |                      |     | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                                                                                               |  |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1. | Legal Name of <i>Related Person</i> :                                                                                                         |  |
|    | OHA STRUCTURED PRODUCTS E GENPAR, LLP                                                                                                         |  |
| 2. | Primary Business Name of <i>Related Person</i> :                                                                                              |  |
|    | OHA STRUCTURED PRODUCTS E GENPAR, LLP                                                                                                         |  |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)                                                                 |  |
|    | -                                                                                                                                             |  |
|    | or                                                                                                                                            |  |
|    | Other                                                                                                                                         |  |
| 4. | <i>Related Person's</i>                                                                                                                       |  |
|    | (a) <i>CRD</i> Number (if any):                                                                                                               |  |
|    | (b) <i>CIK</i> Number(s) (if any):                                                                                                            |  |
|    | No Information Filed                                                                                                                          |  |
| 5. | <i>Related Person</i> is: (check all that apply)                                                                                              |  |
|    | (a) <input type="checkbox"/> broker-dealer, municipal securities dealer, or government securities broker or dealer                            |  |
|    | (b) <input checked="" type="checkbox"/> other investment adviser (including financial planners)                                               |  |
|    | (c) <input type="checkbox"/> registered municipal advisor                                                                                     |  |
|    | (d) <input type="checkbox"/> registered security-based swap dealer                                                                            |  |
|    | (e) <input type="checkbox"/> major security-based swap participant                                                                            |  |
|    | (f) <input checked="" type="checkbox"/> commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |  |
|    | (g) <input type="checkbox"/> futures commission merchant                                                                                      |  |
|    | (h) <input type="checkbox"/> banking or thrift institution                                                                                    |  |
|    | (i) <input type="checkbox"/> trust company                                                                                                    |  |
|    | (j) <input type="checkbox"/> accountant or accounting firm                                                                                    |  |
|    | (k) <input type="checkbox"/> lawyer or law firm                                                                                               |  |
|    | (l) <input type="checkbox"/> insurance company or agency                                                                                      |  |
|    | (m) <input type="checkbox"/> pension consultant                                                                                               |  |
|    | (n) <input type="checkbox"/> real estate broker or dealer                                                                                     |  |
|    | (o) <input type="checkbox"/> sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles              |  |
|    | (p) <input type="checkbox"/> 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> ?                                                                            |     |  |    | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7. | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                          |     |  |    | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ? |     |  |    | <input type="radio"/>            | <input checked="" type="radio"/> |







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.

(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*?

☐

☒

12.

Do you and the *related person* share the same physical location?

☐

☒

1.

Legal Name of *Related Person*:

OAK HILL ADVISORS (EUROPE) LLP

2.

Primary Business Name of *Related Person*:

OAK HILL ADVISORS (EUROPE) LLP

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):

296098

(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

(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*?

☒

☐

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 *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

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.

(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 |
|------------------------------------------------------------------------|
| United Kingdom - Financial Conduct Authority                           |

11. Do you 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*:  
T. ROWE PRICE AUSTRALIA LIMITED

2. Primary Business Name of *Related Person*:  
T. ROWE PRICE AUSTRALIA LIMITED

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
801 - 112672  
or  
Other

4. *Related Person's*  
(a) *CRD* Number (if any):  
290594  
(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  
(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*?

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 *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: ☐

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. (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 |
|------------------------------------------------------------------------|
| Australia - Australian Securities and Investments Commission           |

11. Do you 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*:  
OHA LEGATO LOAN GENPAR, LLP

2. Primary Business Name of *Related Person*:  
OHA LEGATO LOAN GENPAR, LLP

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  
(p) ☒ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

YesNo

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*?  
(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*?  
(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: ☐

YesNo

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. (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*?  
☐☒

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

1. Legal Name of *Related Person*:

T.ROWE PRICE HONG KONG LIMITED

2. Primary Business Name of *Related Person*:  
T.ROWE PRICE HONG KONG LIMITED

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
801 - 72035  
or  
Other

4. *Related Person's*  
(a) *CRD* Number (if any):  
155827  
(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  
(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*?

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 *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: ☐

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. (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 |
|------------------------------------------------------------------------|
| Hong Kong - Securities and Futures Commission                          |
| Ireland - Central Bank of Ireland                                      |

11. Do you 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*:  
T. ROWE PRICE SINGAPORE PRIVATE LTD

2. Primary Business Name of *Related Person*:  
T. ROWE PRICE SINGAPORE PRIVATE LTD

3.

Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 72034

or

Other

4.

Related Person's

(a) CRD Number (if any):

155831

(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

(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

7.

Are you and the related person under common control?

Yes

No

8.

(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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 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 ?

Yes

No

(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

Singapore - Monetary Authority of Singapore

11.

Do you and the related person share any supervised persons?

Yes

No

12.

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

Yes

No

1.

Legal Name of Related Person:

OHA TACTICAL INVESTMENT GENPAR, LLP

2.

Primary Business Name of Related Person:

OHA TACTICAL INVESTMENT GENPAR, LLP

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

(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

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(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?

Yes

No

(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 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 ?

Yes

No

(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?

Yes

No

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

Yes

No

1. Legal Name of Related Person:

OHA DIVERSIFIED CREDIT STRATEGIES GENPAR, LLP

2. Primary Business Name of Related Person:

OHA DIVERSIFIED CREDIT STRATEGIES GENPAR, LLP

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

(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?

☐

☒

(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?

☐

☐

(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:

City:

State:

If this address is a private residence, check this box: ☐

Number and Street 2:

Country:

ZIP+4/Postal Code:

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. (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?

☐

☒

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

☐

☒

1. Legal Name of Related Person:

OHA CREDIT CADENZA GENPAR, LLP

2. Primary Business Name of Related Person:

OHA CREDIT CADENZA GENPAR, LLP

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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | registered security-based swap dealer                                                                 |                                  |                                  |
| (e) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | major security-based swap participant                                                                 |                                  |                                  |
| (f) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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:                         |
|     | If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       | ZIP+4/Postal Code:               |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                               |                                                                                                       |
|----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1. | Legal Name of <i>Related Person</i> :                                         | OHA CLO ENHANCED EQUITY II GENPAR, LLP                                                                |
| 2. | Primary Business Name of <i>Related Person</i> :                              | OHA CLO ENHANCED EQUITY II GENPAR, LLP                                                                |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | -                                                                                                     |
|    | or                                                                            |                                                                                                       |
|    | Other                                                                         |                                                                                                       |
| 4. | <i>Related Person's</i>                                                       |                                                                                                       |
|    | (a) <i>CRD</i> Number (if any):                                               |                                                                                                       |
|    | (b) <i>CIK</i> Number(s) (if any):                                            | No Information Filed                                                                                  |
| 5. | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
|    | (a) <input type="checkbox"/>                                                  | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
|    | (b) <input checked="" type="checkbox"/>                                       | other investment adviser (including financial planners)                                               |
|    | (c) <input type="checkbox"/>                                                  | registered municipal advisor                                                                          |
|    | (d) <input type="checkbox"/>                                                  | registered security-based swap dealer                                                                 |
|    | (e) <input type="checkbox"/>                                                  | major security-based swap participant                                                                 |
|    | (f) <input checked="" type="checkbox"/>                                       | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
|    | (g) <input type="checkbox"/>                                                  | futures commission merchant                                                                           |
|    | (h) <input type="checkbox"/>                                                  | banking or thrift institution                                                                         |
|    | (i) <input type="checkbox"/>                                                  | trust company                                                                                         |

- Yes No



assets:

Number and Street 2:

State:

ZIP+4/Postal Code:

Yes No



d.

No Information Filed



OHA MANAGEMENT (LUXEMBOURG) S.A.R.L.

OHA MANAGEMENT (LUXEMBOURG) S.A.R.L.

—

or

Other

(a) *CRD* Number (if any):

No Information Filed

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer

(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



8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*? ☐ Yes ☒ No

(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*? ☐ Yes ☒ No

(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 *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* ? ☐ Yes ☒ No

(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*? ☐ Yes ☒ No

12. Do you and the *related person* share the same physical location? ☐ Yes ☒ No

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                         |                                                                                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|------------------------------------------------------------------------------------|
| 1. Legal Name of <i>Related Person</i> :<br>OHA AD DISLOCATION CREDIT GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                         |                                                                                    |
| 2. Primary Business Name of <i>Related Person</i> :<br>OHA AD DISLOCATION CREDIT GENPAR, LLP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                         |                                                                                    |
| 3. <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)<br>-<br>or<br>Other                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                         |                                                                                    |
| 4. <i>Related Person's</i><br>(a) CRD Number (if any):<br><br>(b) CIK Number(s) (if any):<br><br>No Information Filed                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                         |                                                                                    |
| 5. <i>Related Person is</i> : (check all that apply)<br>(a) <input type="checkbox"/> broker-dealer, municipal securities dealer, or government securities broker or dealer<br>(b) <input checked="" type="checkbox"/> other investment adviser (including financial planners)<br>(c) <input type="checkbox"/> registered municipal advisor<br>(d) <input type="checkbox"/> registered security-based swap dealer<br>(e) <input type="checkbox"/> major security-based swap participant<br>(f) <input checked="" type="checkbox"/> commodity pool operator or commodity trading advisor (whether registered or exempt from registration)<br>(g) <input type="checkbox"/> futures commission merchant<br>(h) <input type="checkbox"/> banking or thrift institution<br>(i) <input type="checkbox"/> trust company<br>(j) <input type="checkbox"/> accountant or accounting firm<br>(k) <input type="checkbox"/> lawyer or law firm<br>(l) <input type="checkbox"/> insurance company or agency<br>(m) <input type="checkbox"/> pension consultant<br>(n) <input type="checkbox"/> real estate broker or dealer<br>(o) <input type="checkbox"/> sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles<br>(p) <input type="checkbox"/> sponsor, general partner, managing member (or equivalent) of pooled investment vehicles |                                                                         |                                                                                    |
| 6. Do you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <input checked="" type="radio"/>                                        | <input type="radio"/>                                                              |
| 7. Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input checked="" type="radio"/>                                        | <input type="radio"/>                                                              |
| 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> ?<br>(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> ?<br>(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:<br>Number and Street 1:<br>Number and Street 2:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <input type="radio"/><br><input type="radio"/><br><input type="radio"/> | <input checked="" type="radio"/><br><input type="radio"/><br><input type="radio"/> |

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

YesNo

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. (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*?

YesNo

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

YesNo

1. Legal Name of *Related Person*:  
OHA SENIOR PRIVATE LENDING (R) GENPAR, LLP

2. Primary Business Name of *Related Person*:  
OHA SENIOR PRIVATE LENDING (R) GENPAR, LLP

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  
(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*?

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 *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: ☐

9. (a) If the *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

YesNo

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*?

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

1. Legal Name of *Related Person*:

OHA SENIOR PRIVATE LENDING GENPAR, LLP

2. Primary Business Name of *Related Person*:

OHA SENIOR PRIVATE LENDING GENPAR, LLP

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

(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*?

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 *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: ☐

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. (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*?

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







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
- (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?

☐ ☒

- (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?

☐ ☐

- (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?

☒ ☐

- (b) If the answer is yes, under what exemption?
- PARTICIPATING AFFILIATE

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

Australia - Australian Securities and Investments Commission

Isle of Man - Financial Supervision Commission

11. Do you 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:

OHA CREDIT SOLUTIONS II GENPAR, LLP

2. Primary Business Name of Related Person:

OHA CREDIT SOLUTIONS II GENPAR, LLP

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

(p)☒sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

YesNo

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?

(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?

(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:City:State:Country:If this address is a private residence, check this box: ☐

Number and Street 2:ZIP+4/Postal Code:

YesNo

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. 

(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?

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

1. Legal Name of Related Person:

T. ROWE PRICE JAPAN, INC.

2. Primary Business Name of Related Person:

T. ROWE PRICE JAPAN, INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 112671

or

Other

4. Related Person's

(a)CRD Number (if any):

290585

(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

(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?

(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?

(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:

City:

State:

If this address is a private residence, check this box: ☐

Number and Street 2:

Country:

ZIP+4/Postal Code:

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. (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

Japan - Financial Services Agency

11. Do you 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:

T. ROWE PRICE ADVISORY SERVICES, INC.

2. Primary Business Name of Related Person:

T. ROWE PRICE ADVISORY SERVICES, INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 58098

or

Other

4. Related Person's

(a) CRD Number (if any):

108958

(b) CIK Number(s) (if any):

CIK Number

2056953

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) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | registered municipal advisor                                                                          |                                  |                                  |
| (d) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | registered security-based swap dealer                                                                 |                                  |                                  |
| (e) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | major security-based swap participant                                                                 |                                  |                                  |
| (f) | <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                  | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |                                  |                                  |
| (g) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | futures commission merchant                                                                           |                                  |                                  |
| (h) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | banking or thrift institution                                                                         |                                  |                                  |
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                         |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                         |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                    |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                           |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                    |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                          |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles   |                                  |                                  |
| (p) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                       | <input type="radio"/>            | <input type="radio"/>            |
|     | (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: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                       | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                       | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                       | <input checked="" type="radio"/> | <input type="radio"/>            |

|    |                                                                               |                                                                                                       |
|----|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| 1. | Legal Name of <i>Related Person</i> :                                         | OHA ALOHA EUROPEAN CREDIT FUND GENPAR, LLP                                                            |
| 2. | Primary Business Name of <i>Related Person</i> :                              | OHA ALOHA EUROPEAN CREDIT FUND GENPAR, LLP                                                            |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) | -<br>or<br>Other                                                                                      |
| 4. | <i>Related Person's</i>                                                       |                                                                                                       |
|    | (a) <i>CRD</i> Number (if any):                                               |                                                                                                       |
|    | (b) CIK Number(s) (if any):                                                   | No Information Filed                                                                                  |
| 5. | <i>Related Person</i> is: (check all that apply)                              |                                                                                                       |
|    | (a) <input type="checkbox"/>                                                  | broker-dealer, municipal securities dealer, or government securities broker or dealer                 |
|    | (b) <input checked="" type="checkbox"/>                                       | other investment adviser (including financial planners)                                               |
|    | (c) <input type="checkbox"/>                                                  | registered municipal advisor                                                                          |
|    | (d) <input type="checkbox"/>                                                  | registered security-based swap dealer                                                                 |
|    | (e) <input type="checkbox"/>                                                  | major security-based swap participant                                                                 |
|    | (f) <input checked="" type="checkbox"/>                                       | commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
|    | (g) <input type="checkbox"/>                                                  | futures commission merchant                                                                           |
|    | (h) <input type="checkbox"/>                                                  | banking or thrift institution                                                                         |

|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                     |                                  |                                  |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|
| (i) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | trust company                                                                                       |                                  |                                  |
| (j) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | accountant or accounting firm                                                                       |                                  |                                  |
| (k) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | lawyer or law firm                                                                                  |                                  |                                  |
| (l) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | insurance company or agency                                                                         |                                  |                                  |
| (m) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | pension consultant                                                                                  |                                  |                                  |
| (n) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | real estate broker or dealer                                                                        |                                  |                                  |
| (o) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles |                                  |                                  |
| (p) | <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                             | 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> ?                                                                                                                                                                                                                                                                                                                                    |                                                                                                     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 7.  | Are you and the <i>related person</i> under common <i>control</i> ?                                                                                                                                                                                                                                                                                                                                                  |                                                                                                     | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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> ?                                                                                                                                                                                                                                                         |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ? |                                                                                                     | <input type="radio"/>            | <input type="radio"/>            |
|     | (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:                         |                                  |
|     | State:                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                     | ZIP+4/Postal Code:               |                                  |
|     | If this address is a private residence, check this box: <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                     |                                                                                                     |                                  |                                  |
|     |                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                     | Yes                              | No                               |
| 9.  | (a) If the <i>related person</i> is an investment adviser, is it exempt from registration?                                                                                                                                                                                                                                                                                                                           |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                   |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
|     | (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> ?                                                                                                                                                                                                                                                                                                                                           |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
| 12. | Do you and the <i>related person</i> share the same physical location?                                                                                                                                                                                                                                                                                                                                               |                                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |

|    |                                                                                                                                    |  |  |
|----|------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 1. | Legal Name of <i>Related Person</i> :                                                                                              |  |  |
|    | T. ROWE PRICE INVESTMENT SERVICES, INC.                                                                                            |  |  |
| 2. | Primary Business Name of <i>Related Person</i> :                                                                                   |  |  |
|    | T. ROWE PRICE INVESTMENT SERVICES, INC.                                                                                            |  |  |
| 3. | <i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)                                                      |  |  |
|    | 8 - 25130                                                                                                                          |  |  |
|    | or                                                                                                                                 |  |  |
|    | Other                                                                                                                              |  |  |
| 4. | <i>Related Person's</i>                                                                                                            |  |  |
|    | (a) <i>CRD</i> Number (if any):                                                                                                    |  |  |
|    | 8348                                                                                                                               |  |  |
|    | (b) <i>CIK</i> Number(s) (if any):                                                                                                 |  |  |
|    | No Information Filed                                                                                                               |  |  |
| 5. | <i>Related Person</i> is: (check all that apply)                                                                                   |  |  |
|    | (a) <input checked="" type="checkbox"/> broker-dealer, municipal securities dealer, or government securities broker or dealer      |  |  |
|    | (b) <input type="checkbox"/> other investment adviser (including financial planners)                                               |  |  |
|    | (c) <input type="checkbox"/> registered municipal advisor                                                                          |  |  |
|    | (d) <input type="checkbox"/> registered security-based swap dealer                                                                 |  |  |
|    | (e) <input type="checkbox"/> major security-based swap participant                                                                 |  |  |
|    | (f) <input type="checkbox"/> commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |  |  |
|    | (g) <input type="checkbox"/> futures commission merchant                                                                           |  |  |
|    | (h) <input type="checkbox"/> banking or thrift institution                                                                         |  |  |
|    | (i) <input type="checkbox"/> trust company                                                                                         |  |  |
|    | (j) <input type="checkbox"/> accountant or accounting firm                                                                         |  |  |
|    | (k) <input type="checkbox"/> lawyer or law firm                                                                                    |  |  |
|    | (l) <input type="checkbox"/> insurance company or agency                                                                           |  |  |
|    | (m) <input type="checkbox"/> pension consultant                                                                                    |  |  |
|    | (n) <input type="checkbox"/> real estate broker or dealer                                                                          |  |  |







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 *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:

City:

If this address is a private residence, check this box: ☐

Number and Street 2:

Country:

ZIP+4/Postal Code:

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.

(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 |
|------------------------------------------------------------------------|
| Ireland - Central Bank of Ireland                                      |
| Isle of Man - Financial Supervision Commission                         |

11.

Do you 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*:

OHA HY GENPAR LLP

2.

Primary Business Name of *Related Person*:

OHA HY GENPAR LLP

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

(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*?

(b)

If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the

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: <input type="checkbox"/> |        |                      |                    |

YesNo

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.

(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

United Kingdom - Financial Conduct Authority

11.

Do you 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*:  
OHA CLO ENHANCED EQUITY III GENPAR, LLP

2.

Primary Business Name of *Related Person*:  
OHA CLO ENHANCED EQUITY III GENPAR, LLP

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

(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*?

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 *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:

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 *related person* is an investment adviser, is it exempt from registration?

(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*?

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

Item 7 Private Fund Reporting

YesNo

B. Are you an adviser to any *private fund*?

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 next sentence and in Instruction 6 of the [Instructions to Part 1A](#). If you are registered or applying for registration with the SEC or reporting as an SEC exempt reporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such *private fund* in Section 7.B.(1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that *private fund*. You must, instead, complete [Section 7.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 alphabetical 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 code or designation in place of the fund's name.

SECTION 7.B.(1) Private Fund Reporting

Funds per Page:15Total Funds: 7

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the *private fund*:

5820

(b) *Private fund* identification number:

(include the "805-" prefix also)

805-7043796619

2. Under the laws of what state or country is the *private fund* organized:

State:

Wyoming

Country:

United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

No Information Filed

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

YesNo

6. (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

YesNo

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

|                      |  |
|----------------------|--|
| 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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this *private fund* a "fund of funds"?

YesNo

☐☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐☐

9. During your last fiscal year, did the *private fund* 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.)?

YesNo

☐☒

10. What type of fund is the *private fund*?

☐ hedge fund☐ liquidity fund☒ private equity fund☐ real estate fund☐ securitized asset fund☐ venture capital fund☐ Other *private fund*:

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

\$ 1,363,027

Ownership

12. Minimum investment commitment required of an investor in the *private fund*:

\$ 100,000

NOTE: Report the amount routinely required of investors who are not your *related persons* (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:

13

14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:

0%

15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:

10%

(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 *qualified clients*?

YesNo

☒☐

16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:

0%

Your Advisory Services

YesNo

17. (a) Are you a subadviser to this *private fund*?

☒☐

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to question 17.(a) is "no," leave this question blank.

| Name of adviser to private fund | SEC file number | CRD number |
|---------------------------------|-----------------|------------|
| GATES CAPITAL PARTNERS, LLC     |                 |            |

YesNo

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the *private fund*?

☐☒

(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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

YesNo

19. Are your *clients* solicited to invest in the *private fund*?

☐☒

NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.

20. Approximately what percentage of your *clients* has invested in the *private fund*?

1%

Private Offering

YesNo

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

☒☐

22. If yes, provide the *private fund's* Form D file number (if any):

| Form D file number |
|--------------------|
| 021-150568         |

B. SERVICE PROVIDERS

Auditors

YesNo

23. (a) (1) Are the *private fund's* 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?

☒☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PLANTE MORAN

(c) The location of the auditing firm's office responsible for the *private fund's* audit (city, state and country):

|        |          |               |
|--------|----------|---------------|
| City:  | State:   | Country:      |
| DENVER | Colorado | United States |

YesNo

(d) Is the auditing firm an *independent public accountant*?

☒☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

☒☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

6581

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

☒☐

YesNo

(g) Are the *private fund's* audited financial statements for the most recently completed fiscal year distributed to the *private fund's* investors?

☒☐

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?

☒ 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 available.

Prime Broker

Yes No

24. (a) Does the *private fund* use one or more prime brokers?

☐ ☒

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

Yes No

25. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

Yes No

26. (a) Does the *private fund* use an administrator other than your firm?

☐ ☒

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

Yes No

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 similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the *private fund*:

M1782

(b) *Private fund* identification number:

(include the "805-" prefix also)

805-1443849596



2. Under the laws of what state or country is the *private fund* organized:

State:

Country:

Delaware

United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

No Information Filed

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

Yes No

6. (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

Yes No

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes No

8. (a) Is this *private fund* a "fund of funds"?

☐ ☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐ ☐

Yes No

9. During your last fiscal year, did the *private fund* 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.)?

☐ ☒

10. What type of fund is the *private fund*?

☐ hedge fund

☐ liquidity fund

☐ private equity fund

☐ real estate fund

☐ securitized asset fund

☐ venture capital fund

☒ Other *private fund*:

FAMILY OFFICE INVESTMENT VEHICLE

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

Ownership

12. Minimum investment commitment required of an investor in the *private fund*:  
\$ 50,000  
NOTE: Report the amount routinely required of investors who are not your *related persons* (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:  
169
14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:  
0%
15. (a) What is the approximate percentage of the *private fund* 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 *qualified clients*?

Yes No
16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:  
0%

Your Advisory Services

17. (a) Are you a subadviser to this *private fund*?

Yes No
- (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed
18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the *private fund*?

Yes No
- (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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed
19. Are your *clients* solicited to invest in the *private fund*?

Yes No

NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.
20. Approximately what percentage of your *clients* has invested in the *private fund*?  
0%

Private Offering

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No
22. If yes, provide the *private fund's* Form D file number (if any):

| Form D file number |
|--------------------|
| 021-300792         |

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the *private fund's* financial statements subject to an annual audit?

Yes No
- (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No
- If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSE COOPERS LLP

(c) The location of the auditing firm's office responsible for the *private fund*'s audit (city, state and country):

City:

State:

Country:

COLUMBUS

Ohio

United States

(d) Is the auditing firm an *independent public accountant*?

Yes

No

☒

☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes

No

☒

☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes

No

☒

☐

(g) Are the *private fund*'s audited financial statements for the most recently completed fiscal year distributed to the *private fund*'s investors?

Yes

No

☒

☐

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?

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 available.

Prime Broker

24. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the *private fund* use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes

No

☒

☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

JPMORGAN CHASE & CO.

(c) Primary business name of custodian:

JPMORGAN CHASE & CO.

(d) The location of the custodian's office responsible for *custody* of the *private fund*'s assets (city, state and country):

City:

State:

Country:

NEW YORK

New York

United States

(e) Is the custodian a *related person* of your firm?

Yes

No

☐

☒

(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 *legal entity identifier* (if any)

Administrator

26. (a) Does the *private fund* use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:  
JEFFREY MANAGEMENT COMPANY

(c) Location of administrator (city, state and country):  
City: State: Country:  
COLUMBUS Ohio United States

(d) Is the administrator a *related person* of your firm?

(e) Does the administrator prepare and send investor account statements to the *private fund's* investors?  
☒ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) *private fund's* investors? If investor account statements are not sent to the (rest of the) *private fund's* investors, respond "not applicable."

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

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

Yes No

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the *Private Fund*

1. (a) Name of the *private fund*:  
M2072

(b) *Private fund* identification number:

(include the "805-" prefix also)  
805-3239772484

2. Under the laws of what state or country is the *private fund* organized:

State:Wyoming

Country:United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

No Information Filed

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

YesNo

☐☒

(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?

YesNo

☐☒

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this *private fund* a "fund of funds"?

YesNo

☐☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐☐

9. During your last fiscal year, did the *private fund* 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.)?

YesNo

☐☒

10. What type of fund is the *private fund*?

☐ hedge fund☐ liquidity fund☒ private equity fund☐ real estate fund☐ securitized asset fund☐ venture capital fund☐ Other *private fund*:

11. Current gross asset value of the *private fund*:  
\$ 1,335,169

Ownership

12. Minimum investment commitment required of an investor in the *private fund*:  
\$ 100,000  
NOTE: Report the amount routinely required of investors who are not your *related persons* (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:  
13

14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:  
0%

15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:  
10%

(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 *qualified clients*?  

Yes

No

16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:  
0%

Your Advisory Services

17. (a) Are you a subadviser to this *private fund*?  

Yes

No

  
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to question 17.(a) is "no," leave this question blank.

| Name of adviser to private fund | SEC file number | CRD number |
|---------------------------------|-----------------|------------|
| GATES CAPITAL PARTNERS, LLC     |                 |            |

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the *private fund*?  

Yes

No

  
(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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

|                      |
|----------------------|
| No Information Filed |
|----------------------|

19. Are your *clients* solicited to invest in the *private fund*?  

Yes

No

  
NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.

20. Approximately what percentage of your *clients* has invested in the *private fund*?  
1%

Private Offering

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  

Yes

No

22. If yes, provide the *private fund's* Form D file number (if any):

| Form D file number |
|--------------------|
| 021-215118         |

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the *private fund's* financial statements subject to an annual audit?  

Yes

No

  
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?  

Yes

No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:  
PLANTE MORAN

(c) The location of the auditing firm's office responsible for the *private fund*'s audit (city, state and country):  
City: State: Country:  
DENVER Colorado United States

(d) Is the auditing firm an *independent public accountant*? Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board? Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:  
6581

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? Yes No

(g) Are the *private fund*'s audited financial statements for the most recently completed fiscal year distributed to the *private fund*'s investors? Yes No

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?  
☒ 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 available.

Prime Broker

24. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the *private fund* use any custodians (including the prime brokers listed above) to hold some or all of its assets? Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

26. (a) Does the *private fund* use an administrator other than your firm? Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed



27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

YesNo

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 similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the *Private Fund*

1. (a) Name of the *private fund*:

M2072.2

(b) *Private fund* identification number:

(include the "805-" prefix also)

805-1549844126

2. Under the laws of what state or country is the *private fund* organized:

State:Country:

WyomingUnited States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

No Information Filed

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

6. (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)

for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

|                      |
|----------------------|
| 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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this *private fund* a "fund of funds"?

Yes No

☐ ☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐ ☐

9. During your last fiscal year, did the *private fund* 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.)?

Yes No

☐ ☒

10. What type of fund is the *private fund*?

☐ hedge fund ☐ liquidity fund ☒ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☐ Other *private fund*:

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

\$ 0

Ownership

12. Minimum investment commitment required of an investor in the *private fund*:

\$ 100,000

NOTE: Report the amount routinely required of investors who are not your *related persons* (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:

20

14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:

0%

15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:

10%

(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 *qualified clients*?

Yes No

☒ ☐

16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:

0%

Your Advisory Services

17. (a) Are you a subadviser to this *private fund*?

Yes No

☒ ☐

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to question 17.(a) is "no," leave this question blank.

| Name of adviser to private fund | SEC file number | CRD number |
|---------------------------------|-----------------|------------|
| GATES CAPITAL PARTNERS, LLC     |                 |            |

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the *private fund*?

Yes No

☐ ☒

(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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your *clients* solicited to invest in the *private fund*?

Yes No

☐ ☒

NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.

20. Approximately what percentage of your *clients* has invested in the *private fund*?  
1%

Private Offering

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

☒ ☐

22. If yes, provide the *private fund's* Form D file number (if any):

| Form D file number |
|--------------------|
| 021-1718504        |

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the *private fund's* financial statements subject to an annual audit?

Yes No

☒ ☐

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

☒ ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:  
PLANTE MORAN

(c) The location of the auditing firm's office responsible for the *private fund's* audit (city, state and country):  
City: DENVER      State: Colorado      Country: United States

(d) Is the auditing firm an *independent public accountant*?

Yes No

☒ ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

☒ ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:  
6581

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

☒ ☐

(g) Are the *private fund's* audited financial statements for the most recently completed fiscal year distributed to the *private fund's* investors?

Yes No

☒ ☐

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?

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 available.

Prime Broker

24. (a) Does the *private fund* 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 *private fund* uses. If the *private*

*fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

|                      |
|----------------------|
|                      |
| No Information Filed |

Custodian

Yes No

25. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

|                      |
|----------------------|
|                      |
| No Information Filed |

Administrator

Yes No

26. (a) Does the *private fund* use an administrator other than your firm?
- ☐

☒
- If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

|                      |
|----------------------|
|                      |
| No Information Filed |

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?
- 0%
- Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

Yes No

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 similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

|                      |
|----------------------|
|                      |
| No Information Filed |

A. PRIVATE FUND

Information About the *Private Fund*

1. (a) Name of the *private fund*:
- M2606
- (b) *Private fund* identification number:
- (include the "805-" prefix also)
- 805-9712546656
2. Under the laws of what state or country is the *private fund* organized:
- State:

Delaware

Country:

United States
3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):
- |                      |
|----------------------|
| No Information Filed |
|----------------------|

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

Yes No

☐ ☒

(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?

Yes No

☐ ☒

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this *private fund* a "fund of funds"?

Yes No

☐ ☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐ ☐

9. During your last fiscal year, did the *private fund* 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.)?

Yes No

☐ ☒

10. What type of fund is the *private fund*?

☐ hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☒ Other *private fund*:

FAMILY OFFICE INVESTMENT VEHICLE

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

\$ 1,048,571

**Ownership**

12. Minimum investment commitment required of an investor in the *private fund*:

\$ 0

NOTE: Report the amount routinely required of investors who are not your *related persons* (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:

183
14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:

0%
15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:

0%

Yes

No

(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 *qualified clients*?
16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:

0%

Your Advisory Services

17. (a) Are you a subadviser to this *private fund*?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to 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*?

(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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

Yes

No

19. Are your *clients* solicited to invest in the *private fund*?

NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.

20. Approximately what percentage of your *clients* has invested in the *private fund*?

0%

Private Offering

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the *private fund's* Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the *private fund's* 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?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSE COOPERS LLP

(c) The location of the auditing firm's office responsible for the *private fund's* audit (city, state and country):

City:

State:

Country:

|                                                                                                                                                              |      |               |                                  |                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---------------|----------------------------------|-----------------------|
| COLUMBUS                                                                                                                                                     | Ohio | United States |                                  |                       |
|                                                                                                                                                              |      |               | Yes                              | No                    |
| (d) Is the auditing firm an <i>independent public accountant</i> ?                                                                                           |      |               | <input checked="" type="radio"/> | <input type="radio"/> |
| (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?                                                                      |      |               | <input checked="" type="radio"/> | <input type="radio"/> |
| If yes, Public Company Accounting Oversight Board-Assigned Number:<br>238                                                                                    |      |               |                                  |                       |
| (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? |      |               | <input checked="" type="radio"/> | <input type="radio"/> |

|                                                                                                                                                                    |  |  |                                  |                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|----------------------------------|-----------------------|
|                                                                                                                                                                    |  |  | Yes                              | No                    |
| (g) Are the <i>private fund</i> 's audited financial statements for the most recently completed fiscal year distributed to the <i>private fund</i> 's investors?   |  |  | <input checked="" type="radio"/> | <input type="radio"/> |
| (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 opinions? |  |  |                                  |                       |
| <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> 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 available.                 |  |  |                                  |                       |

Prime Broker

|                                                                                                                                                                                                                                                                                     |  |  |                       |                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|-----------------------|----------------------------------|
|                                                                                                                                                                                                                                                                                     |  |  | Yes                   | No                               |
| 24. (a) Does the <i>private fund</i> use one or more prime brokers?                                                                                                                                                                                                                 |  |  | <input type="radio"/> | <input checked="" type="radio"/> |
| 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>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. |  |  |                       |                                  |
| No Information Filed                                                                                                                                                                                                                                                                |  |  |                       |                                  |

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?                                                                                                                                      |  |  | <input checked="" type="radio"/> | <input type="radio"/>            |
| 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. |  |  |                                  |                                  |
| 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>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  |  |  |                                  |                                  |
| (b) Legal name of custodian:<br>JPMORGAN CHASE & CO.                                                                                                                                                                                                                       |  |  |                                  |                                  |
| (c) Primary business name of custodian:<br>JPMORGAN CHASE & CO.                                                                                                                                                                                                            |  |  |                                  |                                  |
| (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country):<br>City: NEW YORK      State: New York      Country: United States                                                               |  |  |                                  |                                  |
|                                                                                                                                                                                                                                                                            |  |  | Yes                              | No                               |
| (e) Is the custodian a <i>related person</i> of your firm?                                                                                                                                                                                                                 |  |  | <input type="radio"/>            | <input checked="" type="radio"/> |
| (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):<br>-<br>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 entity identifier</i> (if any)                                                                                                       |  |  |                                  |                                  |



Administrator

Yes No

26. (a) Does the *private fund* use an administrator other than your firm?
- If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

JEFFREY MANAGEMENT COMPANY

(c) Location of administrator (city, state and country):

City:

COLUMBUS

State:

Ohio

Country:

United States

Yes No

(d) Is the administrator a *related person* of your firm?

(e) Does the administrator prepare and send investor account statements to the *private fund's* investors?

☒ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) *private fund's* investors? If investor account statements are not sent to the (rest of the) *private fund's* investors, respond "not applicable."

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?
- 0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

Yes No

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 similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the *Private Fund*

1. (a) Name of the *private fund*:

T. ROWE PRICE OHA SPECIAL EQUITY OPPORTUNITY FUND, L.P.

(b) *Private fund* identification number:

(include the "805-" prefix also)

805-6368697657

2. Under the laws of what state or country is the *private fund* organized:

State:

Delaware

Country:

United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

(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 *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

5. List the name and country, in English, of each *foreign financial regulatory authority* with which the *private fund* is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

Yes No

(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?

Yes No

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this *private fund* a "fund of funds"?

Yes No

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

Yes No

9. During your last fiscal year, did the *private fund* 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.)?

Yes No

10. What type of fund is the *private fund*?

☐ hedge fund

☐ liquidity fund

☐ private equity fund

☐ real estate fund

☐ securitized asset fund

☒ venture capital fund

☐ Other *private fund*:

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

\$ 11,496,613

Ownership

12. Minimum investment commitment required of an investor in the *private fund*:

\$ 250,000

NOTE: Report the amount routinely required of investors who are not your *related persons* (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

14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:

0%

15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:

0%

Yes No

(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 *qualified clients*?

☐ ☐

16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:

0%

**Your Advisory Services**

Yes No

17. (a) Are you a subadviser to this *private fund*?

☐ ☒

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to 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*?

☐ ☒

(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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

Yes No

19. Are your *clients* solicited to invest in the *private fund*?

☐ ☒

NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.

20. Approximately what percentage of your *clients* has invested in the *private fund*?

0%

**Private Offering**

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?

☒ ☐

22. If yes, provide the *private fund's* Form D file number (if any):

| Form D file number |
|--------------------|
| 021-549361         |

B. SERVICE PROVIDERS

**Auditors**

Yes No

23. (a) (1) Are the *private fund's* 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?

☒ ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

KPMG

(c) The location of the auditing firm's office responsible for the *private fund's* audit (city, state and country):

City:

FORT WORTH

State:

Texas

Country:

United States

Yes No

(d) Is the auditing firm an *independent public accountant*?

☒ ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

☒ ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

185

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

☒ ☐

Yes No

(g) Are the *private fund's* audited financial statements for the most recently completed fiscal year distributed to the *private fund's* investors?

☒ ☐

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?

☐ 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 available.

Prime Broker

Yes No

24. (a) Does the *private fund* use one or more prime brokers?

☐ ☒

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

Yes No

25. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

BANK OF NEW YORK

(c) Primary business name of custodian:

BANK OF NEW YORK

(d) The location of the custodian's office responsible for *custody* of the *private fund's* assets (city, state and country):

City:

NEW YORK

State:

New York

Country:

United States

Yes 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 *legal entity identifier* (if any)

Administrator

26. (a) Does the *private fund* use an administrator other than your firm?

YesNo

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

BANK OF NEW YORK

(c) Location of administrator (city, state and country):

|          |          |               |
|----------|----------|---------------|
| City:    | State:   | Country:      |
| NEW YORK | New York | United States |

(d) Is the administrator a *related person* of your firm?

YesNo

(e) Does the administrator prepare and send investor account statements to the *private fund's* investors?

☒ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) *private fund's* investors? If investor account statements are not sent to the (rest of the) *private fund's* investors, respond "not applicable."

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

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

YesNo

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

Additional Marketer Information : 2 Record(s) Filed.

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer, you must complete questions (b) through (g) separately for each marketer.

(b) Is the marketer a *related person* of your firm?

YesNo

(c) Name of the marketer:

MORGAN STANLEY

(d) If the marketer is registered with the SEC, its file number (e.g., 801-, 8-, or 866-):

801 - 70103  
and CRD Number (if any):  
149777

(e) Location of the marketer's office used principally by the *private fund* (city, state and country):

City:

State:

Country:

PURCHASE

New York

United States

Yes

No

(f) Does the marketer market the *private fund* through one or more websites?

(g) If the answer to question 28.(f) is "yes," list the website address(es):

No Information Filed

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer, you must complete questions (b) through (g) separately for each marketer.

Yes

No

(b) Is the marketer a *related person* of your firm?

(c) Name of the marketer:

T. ROWE PRICE INVESTMENT SERVICES, INC.

(d) If the marketer is registered with the SEC, its file number (e.g., 801-, 8-, or 866-):

8 - 25130

and CRD Number (if any):

8348

(e) Location of the marketer's office used principally by the *private fund* (city, state and country):

City:

State:

Country:

BALTIMORE

Maryland

United States

Yes

No

(f) Does the marketer market the *private fund* through one or more websites?

(g) If the answer to question 28.(f) is "yes," list the website address(es):

No Information Filed

A. PRIVATE FUND

**Information About the *Private Fund***

1. (a) Name of the *private fund*:

T. ROWE PRICE RAIF II S.C.A. SICAV RAIF

(b) *Private fund* identification number:

(include the "805-" prefix also)

805-7010842500

2. Under the laws of what state or country is the *private fund* organized:

State:

Country:

Luxembourg

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

T. ROWE PRICE (LUXEMBOURG) GP S.À R.L.

(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 *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

5. 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        |
|-------------------------------------------------------------------------------|
| Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector |

Yes No

6. (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

Yes No

(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)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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 each of the feeder funds answer the following questions:

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 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes No

8. (a) Is this *private fund* a "fund of funds"?

☐ ☒

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 *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

☐ ☐

Yes No

9. During your last fiscal year, did the *private fund* 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.)?

☐ ☒

10. What type of fund is the *private fund*?

☐ hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☒ Other *private fund*:  
PRIVATE DEBT FUND

NOTE: For definitions of these fund types, please see [Instruction 6 of the Instructions to Part 1A](#).

11. Current gross asset value of the *private fund*:

\$ 106,247,603

**Ownership**

12. Minimum investment commitment required of an investor in the *private fund*:

\$ 1,000,000

NOTE: Report the amount routinely required of investors who are not your *related persons* (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:

4



14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:  
38%
15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds:  
0%
- Yes No
- (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 *qualified clients*?  
☐ ☐
16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:  
0%

Your Advisory Services

17. (a) Are you a subadviser to this *private fund*?  
☐ ☒
- (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the *private fund*. If the answer to 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*?  
☐ ☒
- (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 *private fund*. If the answer to question 18.(a) is "no," leave this question blank.  

No Information Filed
- Yes No
19. Are your *clients* solicited to invest in the *private fund*?  
☐ ☒
- NOTE: For purposes of this question, do not consider feeder funds of the *private fund*.
20. Approximately what percentage of your *clients* has invested in the *private fund*?  
0%

Private Offering

21. Has the *private fund* ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  
☒ ☐
22. If yes, provide the *private fund's* Form D file number (if any):  

| Form D file number |
|--------------------|
| 021-556419         |

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the *private fund's* 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?  
☒ ☐
- If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.
- Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:  
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the *private fund's* audit (city, state and country):  
City: LUXEMBOURG      State:      Country: Luxembourg

Yes No

(d) Is the auditing firm an *independent public accountant*?  
☒ ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?



If yes, Public Company Accounting Oversight Board-Assigned Number:

1328

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?



(g) Are the *private fund's* audited financial statements for the most recently completed fiscal year distributed to the *private fund's* investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the *private fund* since your last *annual updating amendment* contain unqualified opinions?

☒ 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 available.*

### Prime Broker

24. (a) Does the *private fund* 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 *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

### Custodian

25. (a) Does the *private fund* use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No



If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

**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 *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

J.P. MORGAN SE - LUXEMBOURG BRANCH

(c) Primary business name of custodian:

J.P. MORGAN SE - LUXEMBOURG BRANCH

(d) The location of the custodian's office responsible for *custody* of the *private fund's* assets (city, state and country):

City:

State:

Country:

SENNINGERBERG

Luxembourg

(e) Is the custodian a *related person* of your firm?

Yes No



(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 *legal entity identifier* (if any)

### Administrator

26. (a) Does the *private fund* use an administrator other than your firm?

Yes No

☐ ☐

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

J.P. MORGAN SE - LUXEMBOURG BRANCH

(c) Location of administrator (city, state and country):

City:

SENNINGERBERG

State:

Country:

Luxembourg

(d) Is the administrator a *related person* of your firm?

Yes

No

(e) Does the administrator prepare and send investor account statements to the *private fund's* investors?

☒

Yes (provided to all investors)

☐

Some (provided to some but not all investors)

☐

No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) *private fund's* investors? If investor account statements are not sent to the (rest of the) *private fund's* investors, respond "not applicable."

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

100%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

Marketers

Yes

No

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 similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

Additional Marketer Information : 2 Record(s) Filed.

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer, you must complete questions (b) through (g) separately for each marketer.

(b) Is the marketer a *related person* of your firm?

☒

☐

(c) Name of the marketer:

T. ROWE PRICE (LUXEMBOURG) MANAGEMENT S.À R.L.

(d) If the marketer is registered with the SEC, its file number (*e.g.*, 801-, 8-, or 866-):

-

and CRD Number (if any):

(e) Location of the marketer's office used principally by the *private fund* (city, state and country):

City:

LUXEMBOURG

State:

Country:

Luxembourg

(f) Does the marketer market the *private fund* through one or more websites?

☐

☒

(g) If the answer to question 28.(f) is "yes," list the website address(es):

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                      |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | No Information Filed |
| <div><p>You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or 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 fund</i> uses. If the <i>private fund</i> uses more than one marketer, you must complete questions (b) through (g) separately for each marketer.</p><div><div><div>(b) Is the marketer a <i>related person</i> of your firm?</div><div>YesNo</div><div><input type="radio"/><input checked="" type="radio"/></div></div><div><div>(c) Name of the marketer:</div><div>T. ROWE PRICE INTERNATIONAL LTD.</div></div><div><div>(d) If the marketer is registered with the SEC, its file number (e.g., 801-, 8-, or 866-):</div><div>-</div><div>and CRD Number (if any):</div></div><div><div>(e) Location of the marketer's office used principally by the <i>private fund</i> (city, state and country):</div><div><div>City:State:Country:</div><div>LONDONUnited Kingdom</div></div><div><div>(f) Does the marketer market the <i>private fund</i> through one or more websites?</div><div>YesNo</div><div><input type="radio"/><input checked="" type="radio"/></div></div><div><div>(g) If the answer to question 28.(f) is "yes," list the website address(es):</div><div>No Information Filed</div></div></div></div></div> |                      |

Funds per Page: 15 Total Funds: 7

SECTION 7.B.(2) Private Fund Reporting

1. Name of the *private fund*:

ADAMS STREET - ALPS CO-INV TARGETED MANDATE FUND LP

2. *Private fund* identification number:

(include the "805-" prefix also)

805-4190493354

3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

YesNo

4. Are your *clients* solicited to invest in this *private fund*?

☐☒

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1. Name of the *private fund*:

ADAMS STREET - ALPS STRATEGIC PE FUND LP

2. *Private fund* identification number:

(include the "805-" prefix also)

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET - DENSO GLOBAL PRIVATE EQUITY INVESTMENTS FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3318675679

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET - MTAA PE FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-5958464677

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |        |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET - PE GENESIS FUND I LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9618245162                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |        |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |        |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET - PE GENESIS FUND II LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1680884325                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |        |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No |

|    |                                                                                                                                                                                                                                |        |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET - PE GENESIS FUND III LP                                                                                                                                                     |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-3652439967                                                                                                                               |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |        |
|    |                                                                                                                                                                                                                                | Yes No |

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET - PKBS PRIVATE EQUITY FUND I GLOBAL

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-4698690868

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET - PRIMARY PE SM FUND I LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-1370374820

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET - SCERS FUND IL, LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-9007890048



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET - SK VENTURE FUND II LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1369640607

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET - SK VENTURE FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7116171106

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET - VGV SECONDARY TARGET MANDATE 2

2.

Private fund identification number:

(include the "805-" prefix also)

805-4080324613

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

ADAMS STREET - VGV SECONDARY TARGET MANDATE FUND LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-5275828863

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

ADAMS STREET 1847 FUND, LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-9192632810

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2011 EMERGING MARKETS FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2520166085

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2011 NON-US DEVELOPED MARKETS FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4141728199

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2011 US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2717286189

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2012 DEVELOPED MARKETS FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6622793891

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2012 EMERGING MARKETS FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3819660779

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2012 US FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-4816194622

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET 2013 DEVELOPED MARKETS FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2050862933

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET 2013 EMERGING MARKETS FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2176164953

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2013 US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5529965810

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ADAMS STREET 2014 DEVELOPED MARKETS FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8913927172

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ADAMS STREET 2014 EMERGING MARKETS FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8794309209

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:



|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| ADAMS STREET 2014 US FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-5511334523                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| ADAMS STREET 2015 NON-US FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-5885034348                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                               |  |
|-----------------------------------------------|--|
| 1. Name of the <i>private fund</i> :          |  |
| ADAMS STREET 2015 US FUND LP                  |  |
| 2. <i>Private fund</i> identification number: |  |
| (include the "805-" prefix also)              |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2016 DIRECT VENTURE/GROWTH FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1967754120

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2016 NON-US FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1722177649

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET 2016 US FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9339126237                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET 2017 DIRECT VENTURE/GROWTH FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9642005069                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                                |                   |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET 2017 NON-US FUND LP                                                                                                                                                          |                   |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4251080265                                                                                                                               |                   |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                   |
|    |                                                                                                                                                                                                                                | <div>Yes No</div> |

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET 2017 US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-7258854289

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET 2018 DIRECT VENTURE/GROWTH FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-7180111431

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET 2018 NON-US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3199555271

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2018 US FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8649539552

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2019 DIRECT GROWTH EQUITY FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-5953596286

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2019 NON US FUND

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8791233570

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET 2019 US FUND

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-3327760709

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET 2020 NON US FUND

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-2989409666

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No





801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2022 NON-US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3849061007

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2022 US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3807945440

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2023 NON-US FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2083457073

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2023 US FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2633113736

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2024 NON-US FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9833629946

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET 2024 US FUND LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-9202830754

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:

ADAMS STREET 2025 NON-US FUND LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-6471002925

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:

ADAMS STREET 2025 US FUND LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-3696824678

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET AGPS FUND I LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6942944368                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET AP7 PE INVESTMENT II LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-2388457542                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

1. Name of the *private fund*:  
ADAMS STREET AP7 PE INVESTMENT LP
2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-2287919077
3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:

|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ADAMS STREET PARTNERS, LLC |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 58169                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                         | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET ASGA PE LP                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-5784186087                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                                   | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                                | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET ASIA FUND 2020 LP                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9456974867                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                                   | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                                | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                   |  |
|-----------------------------------------------------------------------------------|--|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET CC PE SECONDARY FUND LP      |  |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET CYCLONE FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2372579070

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET ENERGY & NATURAL RESOURCES FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1582169857

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET GLOBAL OPPORTUNITES SECONDARY FUND II-A, LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-2663503133                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET GLOBAL OPPORTUNITIES SECONDARY FUND II, LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-5558008070                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                                |                   |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET GLOBAL OPPORTUNITIES SECONDARY FUND, LP                                                                                                                                      |                   |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-3833408297                                                                                                                               |                   |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                   |
|    |                                                                                                                                                                                                                                | <div>Yes No</div> |

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET GLOBAL SECONDARY FUND 5 LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3773847428

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET GLOBAL SECONDARY FUND 6 LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-2836001555

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
ADAMS STREET GLOBAL SECONDARY FUND 7 LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-4568952015



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GLOBAL SMB WPERP FUND II LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1790416157

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GLOBAL SMB WPERP FUND III LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3438263480

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GLOBAL SMB WPERP FUND LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-6826111115

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

ADAMS STREET GLOBAL VENTURE MANDATE FUND II LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-4910354189

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

ADAMS STREET GLOBAL VENTURE MANDATE FUND III LP

2.

Private fund identification number:

(include the "805-" prefix also)

805-3125323074

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GRAND CYPRESS HEALTHCARE FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-6769637156

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GROWTH EQUITY FUND VII LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3770040271

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET GUARDIAN ASIA FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2386567997

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 1. | Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                       |                                  |
|    | ADAMS STREET LAKE LASALLE FUND II LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
| 2. | <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 805-8539694863                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 1. | Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                       |                                  |
|    | ADAMS STREET LAKE LASALLE FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                       |                                  |
| 2. | <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 805-5141992737                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |

|    |                                   |  |  |
|----|-----------------------------------|--|--|
| 1. | Name of the <i>private fund</i> : |  |  |
|----|-----------------------------------|--|--|

ADAMS STREET LEADERS EX US FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-4261720323

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET MTAA PE FUND II LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-9735439029

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET PARTNERSHIP FUND - 2002 U.S FUND, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2020562830

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PARTNERSHIP FUND - 2003 U.S. FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7478833207

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ADAMS STREET PARTNERSHIP FUND - 2004 U.S. FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4087534871

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ADAMS STREET PARTNERSHIP FUND - 2005 U.S. FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4617752442

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| ADAMS STREET PARTNERSHIP FUND - 2006 U.S. FUND, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-9206899214                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| ADAMS STREET PARTNERSHIP FUND - 2007 US FUND, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-7555022209                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                                    |  |
|----------------------------------------------------|--|
| 1. Name of the <i>private fund</i> :               |  |
| ADAMS STREET PARTNERSHIP FUND - 2008 U.S. FUND, LP |  |
| 2. <i>Private fund</i> identification number:      |  |
| (include the "805-" prefix also)                   |  |



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PARTNERSHIP FUND - 2009 NON-US DEVELOPED MARKETS FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8780946601

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PARTNERSHIP FUND - 2009 NON-US EMERGING MARKETS FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8258428250

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET PARTNERSHIP FUND - 2009 NON-US EMERGING MARKETS FUND-A, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4066977381                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET PARTNERSHIP FUND - 2009 U.S. FUND, LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-3795857041                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                |        |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>ADAMS STREET PARTNERSHIP FUND - 2010 NON-U.S. DEVELOPED MARKETS FUND, L.P.                                                                                                                |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4747321757                                                                                                                               |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |        |
|    |                                                                                                                                                                                                                                | Yes No |



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PEP ASIA FUND 2021 LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7962089198

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PEP NORTH AMERICA FUND 2018 LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7494973973

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET PEP NORTH AMERICA FUND 2020 LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5658991421

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:  
ADAMS STREET PEP NORTH AMERICA FUND 2021 LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-6585031263

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:  
ADAMS STREET PEP SECONDARY FUND 2016 LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5242694727

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET SBCERA FUND I LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1743430972

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET SCERS FUND III LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5045183352

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET SHEDD AQUARIUM LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7286226062

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 1. | Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                       |                                  |
|    | ADAMS STREET SIFAI FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
|    | 805-7386641814                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                       |                                  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| 1. | Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                       |                                  |
|    | ADAMS STREET UNIPENSION US SMB FUND LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                       |                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
|    | 805-3114370647                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                               |                       |                                  |
|    | Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                  |
|    | ADAMS STREET PARTNERS, LLC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                       |                                  |
|    | SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                                  |
|    | 801 - 58169                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       |                                  |
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes                   | No                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="radio"/> | <input checked="" type="radio"/> |
|    | In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                       |                                  |

|    |                                   |  |  |
|----|-----------------------------------|--|--|
| 1. | Name of the <i>private fund</i> : |  |  |
|----|-----------------------------------|--|--|



ADAMS STREET US SMB FUND II

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7489533829

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET US SMB FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-4613885422

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ADAMS STREET VENTURE INNOVATION FUND II LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7489051402

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET VENTURE INNOVATION FUND III LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5786223102

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET VENTURE INNOVATION FUND IV LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4275265590

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET VENTURE INNOVATION FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7510276762

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ADAMS STREET PARTNERS, LLC |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 58169                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                         | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET VENTURE/GROWTH FUND VI LP                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9363097003                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                                   | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                                | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET WORLD SUN FUND LP                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1478884744                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                                   | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                                | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                   |  |
|-----------------------------------------------------------------------------------|--|
| 1. Name of the <i>private fund</i> :<br>ADAMS STREET WPE FUND LP                  |  |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET- SCERS FUND, LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8820170097

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ADAMS STREET/TRAF PRIVATE EQUITY HOLDINGS II LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7604754525

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ALPINVEST M CAPITAL FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5475196104

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ALPINVEST US HOLDINGS, LLC

SEC File Number:

801 - 129132

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ASP COJ PE FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2461041035

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

ASP GLOBAL VENTURES BVK FUND I LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4867582154

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ASP GLOBAL VENTURES BVK FUND II LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5061638318

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ASP ILSTRS ASIA SMA 1 LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5121322572

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ASP ILSTRS EUROPE SMA 1 LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-6728257331

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

AU SPECIAL INVESTMENTS L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7944693856

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BRIDGE VILLAGE LTD.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3317863583

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BRINSON PARTNERSHIP FUND - 1999 PRIMARY FUND, L.P.

2.

Private fund identification number:

(include the "805-" prefix also)

805-8619399962

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

BRINSON PARTNERSHIP FUND - 2000 PRIMARY FUND, L.P.

2.

Private fund identification number:

(include the "805-" prefix also)

805-8434179876

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

BRINSON PARTNERSHIP FUND - 2001 PRIMARY FUND, L.P.

2.

Private fund identification number:

(include the "805-" prefix also)

805-7744933893

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.





801 - 58169

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BVK PRIVATE EQUITY 2011, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9337517736

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BVK PRIVATE EQUITY 2014, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9708210843

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BVK PRIVATE EQUITY 2018, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3907351144

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

BVK PRIVATE EQUITY 2021, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1879608661

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

CGR/PE LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2607126845

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

COMMONFUND SCREENED GLOBAL EQUITY, LLC

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-1844552231

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
COMMONFUND OCIO, INC.  
SEC File Number:  
801 - 56548

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
CREDIT SUISSE/INDIANA VENTURE FUND, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7372982845

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ALPINVEST US HOLDINGS, LLC  
SEC File Number:  
801 - 129132

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
ERS PRIVATE EQUITY INTERNATIONAL FUND I, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-4349522538

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

ERS PRIVATE EQUITY INTERNATIONAL FUND II, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4353252770

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

GREENSPRING GROWTH EQUITY IV-MR, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7766129976

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

INDIANA FUTURE FUND I, LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2110129058

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ALPINVEST US HOLDINGS, LLC |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 129132               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                            | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                         | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>INDUSTRIENS VINTAGE INFRASTRUCTURE II L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9614778494                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                            |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>INDUSTRIENS VINTAGE INFRASTRUCTURE IV, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-7664942717                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                            |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                |
|----|--------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>INDUSTRIENS VINTAGE INFRASTRUCTURE L.P.   |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

INEXT FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7345191738

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ALPINVEST US HOLDINGS, LLC

SEC File Number:

801 - 129132

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

JUNI SECONDARIES FUND RB LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8263180585

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>KFH STRATEGIC PRIVATE INVESTMENTS, LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9994324982                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>KGT STRATEGIC PRIVATE INVESTMENTS, LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-7886770907                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                |        |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>KPI-ASP FUND I LP                                                                                                                                                                         |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6372699170                                                                                                                               |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>ADAMS STREET PARTNERS, LLC<br>SEC File Number:<br>801 - 58169 |        |
|    |                                                                                                                                                                                                                                | Yes No |



4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
LINCOLN BROOK OPPORTUNITIES FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-1499245112

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
MERCER GLOBAL OPPORTUNITIES LTD

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-1447214982

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
MERCER HEDGE FUND INVESTORS SPC

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-1444808094

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

MERCER INVESTMENTS LLC

SEC File Number:

801 - 63730

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

MERCER PIP III NATURAL RESOURCES, LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3704900269

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

MERCER INVESTMENTS LLC

SEC File Number:

801 - 63730

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

MERCER PRIVATE INVESTMENT PARTNERS II, LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9029937910

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

MERCER INVESTMENTS LLC

SEC File Number:

801 - 63730

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

MERCER PRIVATE INVESTMENT PARTNERS III (OFFSHORE), LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5902654151

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
MERCER PRIVATE INVESTMENT PARTNERS III, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-7241544483

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
MERCER PRIVATE INVESTMENT PARTNERS IV, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4222763765

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No



801 - 63730

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

MULTI-MANAGER SOLUTIONS U.S. LARGE CAP PRIVATE FUND, LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5679026169

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC  
SEC File Number:  
801 - 25943

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON ACCESS (ERISA), L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-6639147097

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON ACCESS (LUXEMBOURG) SLP SICAV SIF

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4503801450

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON ACCESS (US), L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8745720776

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON ASIA FUND V, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2112754594

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 135040

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON ASIA FUND VI, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-8284267303

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
PANTHEON CAPITAL PARTNERS, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-9166618851

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
PANTHEON EMERGING ASIA FUND VI, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-5694491159

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON EMERGING MARKETS FUND (EX-ASIA), L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7196718556

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

PANTHEON EUROPE FUND III, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8753083285

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
PANTHEON  
SEC File Number:  
801 - 32850

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

PANTHEON EUROPE FUND IV LIMITED

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1404673657

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:



PANTHEON

SEC File Number:  
801 - 135040

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON EUROPE FUND IV, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-8412246931

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON EUROPE FUND V "A", L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3964384787

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 135040

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON EUROPE FUND V "B", L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 32850

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON EUROPE FUND VI, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-4687157562

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 135040

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON EUROPE FUND VII, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9619791561

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 135040

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GLOBAL CO-INVESTMENT OPPORTUNITIES FUND II, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-8438068729                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GLOBAL CO-INVESTMENT OPPORTUNITIES FUND III, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9533223242                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                               |        |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GLOBAL CO-INVESTMENT OPPORTUNITIES FUND V (LUXEMBOURG) SCSP                                                                                                     |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-5860988934                                                                                                              |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>802 - 118180 |        |
|    |                                                                                                                                                                                                               | Yes No |

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL CO-INVESTMENT OPPORTUNITIES FUND V FEEDER (US), L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7442421831

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL GT FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8611606290

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL HO FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9070305624

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL INFRASTRUCTURE FUND ?B? L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5584580404

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL INFRASTRUCTURE FUND II NPS, L.P

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5578886385

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL INFRASTRUCTURE FUND II, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4782655931

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
PANTHEON GLOBAL INFRASTRUCTURE FUND III NPS, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-7787943631

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
PANTHEON GLOBAL INFRASTRUCTURE FUND IV (LUXEMBOURG) SCSP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-6423118313

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
802 - 118180

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No



801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL PRIVATE CREDIT HO FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-6129163373

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL REAL ASSETS GT FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3375686035

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL REAL ASSETS HO FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5037867079



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL SECONDARY FUND IV KSA, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3436635700

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON GLOBAL SECONDARY FUND IV OPERS, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9838357307

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| PANTHEON GLOBAL SECONDARY FUND IV, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                  |
| <div>2. <i>Private fund</i> identification number:<br/>(include the "805-" prefix also)<br/>805-1621323049</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                  |
| <div>3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>PANTHEON<br/>SEC File Number:<br/>801 - 71327</div>                                                                                                                                                                                                                                                                                                                                                                                                     |                  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <div>YesNo</div> |
| <div>4. Are your <i>clients</i> solicited to invest in this <i>private fund</i>?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |                  |
| <div><input type="radio"/><input checked="" type="radio"/></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                  |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <div>1. Name of the <i>private fund</i>:<br/>PANTHEON GLOBAL SECONDARY FUND V, L.P.</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                  |
| <div>2. <i>Private fund</i> identification number:<br/>(include the "805-" prefix also)<br/>805-3280272920</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                  |
| <div>3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>PANTHEON<br/>SEC File Number:<br/>801 - 71327</div>                                                                                                                                                                                                                                                                                                                                                                                                     |                  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <div>YesNo</div> |
| <div>4. Are your <i>clients</i> solicited to invest in this <i>private fund</i>?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |                  |
| <div><input type="radio"/><input checked="" type="radio"/></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                  |

|                                                                                                                                                                                                                                                     |                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <div>1. Name of the <i>private fund</i>:<br/>PANTHEON GLOBAL SECONDARY FUND VI SCSP</div>                                                                                                                                                           |                  |
| <div>2. <i>Private fund</i> identification number:<br/>(include the "805-" prefix also)<br/>805-1892696970</div>                                                                                                                                    |                  |
| <div>3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>PANTHEON<br/>SEC File Number:<br/>802 - 118180</div>                     |                  |
|                                                                                                                                                                                                                                                     | <div>YesNo</div> |
| <div>4. Are your <i>clients</i> solicited to invest in this <i>private fund</i>?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one</div> |                  |
| <div><input type="radio"/><input checked="" type="radio"/></div>                                                                                                                                                                                    |                  |

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GLOBAL SECONDARY FUND VII FEEDER (US) LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4092110691                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GLOBAL SECONDARY FUND VII SCSP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1728426886                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>802 - 118180                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

1. Name of the *private fund*:  
PANTHEON GLOBAL SECONDARY FUND VI FEEDER (US), L.P.
2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-8923213103
3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:

|                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PANTHEON                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| SEC File Number:<br>801 - 71327 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|                                 | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 4.                              | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GT HOLDINGS LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-3051852157                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON GT REAL ESTATE FUND, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4842787972                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>PANTHEON<br>SEC File Number:<br>801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                        |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |

|    |                                                                                |
|----|--------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>PANTHEON HO HOLDINGS LP                   |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON HO REAL ESTATE FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3129260704

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON IMPULSE AGGREGATOR LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3814447503

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON IPA FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5061067741

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

PANTHEON MULTI-STRATEGY PROGRAM 2014 (ERISA) L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8841894083

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

PANTHEON MULTI-STRATEGY PROGRAM 2014 (US) L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8657531734

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON PRIVATE DEBT PCO II USD FEEDER (DELAWARE) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-7004365399

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON PRIVATE DEBT PCO III USD FEEDER (DELAWARE) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3874976661

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON PRIVATE DEBT PROGRAM SCSP SICAV-RAIF

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-4950445344

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON PRIVATE DEBT PSD II USD FEEDER (DELAWARE) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5333422493

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON PRIVATE DEBT PSD II USD FEEDER (LUXEMBOURG) SCSP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5281416564

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON PRIVATE DEBT PSD III USD FEEDER (DELAWARE) LP



2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-2592897042

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
PANTHEON REAL ASSETS OPPORTUNITIES FUND

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-2948947983

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
PANTHEON REAL ESTATE SOLUTIONS FUND I, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8821232665

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:  
PANTHEON SECONDARY OPPORTUNITY FUND (LUXEMBOURG) SCSP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-9813861185

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON SECONDARY OPPORTUNITY FUND FEEDER (LUX) SCSP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-6129679957

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
PANTHEON SECONDARY OPPORTUNITY FUND FEEDER (US) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-5423539816

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON SECONDARY OPPORTUNITY FUND II (LUXEMBOURG) SCSP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3172862078

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

802 - 118180

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON SECONDARY OPPORTUNITY FUND II FEEDER (US) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2286174891

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PANTHEON SOF CO-INVESTMENT FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7576341079

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

PANTHEON USA FUND IX, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8408676673

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

PANTHEON USA FUND VI LIMITED

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2126082474

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 135040

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

PANTHEON USA FUND VI, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7759441359

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 32850

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1. Name of the private fund:  
PANTHEON USA FUND VII, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2306377660

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 32850

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1. Name of the private fund:  
PANTHEON USA FUND VIII, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-6258355087

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>PANTHEON USA SMALL FUNDS PROGRAM IX, L.P.</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-2612128618</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:<br/>PANTHEON<br/>SEC File Number:<br/>801 - 71327</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?</div><div><div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div></div><div><div>Yes</div><div>No</div></div></div></div> |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>PANTHEON VENTURE PARTNERS II, L.P.</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-3066289982</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:<br/>PANTHEON<br/>SEC File Number:<br/>801 - 71327</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?</div><div><div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div></div><div><div>Yes</div><div>No</div></div></div></div>        |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>PANTHEON/VA NRP, L.P.</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-1918340572</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:</div></div></div></div></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| PANTHEON                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| PENSAM INFRASTRUCTURE, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-1620302627                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| PANTHEON                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| PGIF III CO-MINGLED FUND, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-6400776996                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| PANTHEON                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 71327                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                               |  |
|-----------------------------------------------|--|
| 1. Name of the <i>private fund</i> :          |  |
| PGIF IV FEEDER (LUXEMBOURG) SCSP              |  |
| 2. <i>Private fund</i> identification number: |  |
| (include the "805-" prefix also)              |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

802 - 118180

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PGIF IV FEEDER (US) LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9909696376

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

PGSF IV FEEDER, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6133099609

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 135040

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



1.

Name of the *private fund*:

PPDP COF CO-INVESTMENT II FEEDER (DELAWARE) LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9153512719

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

RSAMPENSION AMERICAN VENTURES I (SAVE), L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7418505365

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

BOW RIVER CAPITAL

SEC File Number:

801 - 72339

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

SACRAMENTO COUNTY EMPLOYEES' RETIREMENT SYSTEM SECONDARY INFRASTRUCTURE AND REAL ASSETS FUND, LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7151476232

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SILVERSTONE II, LLC - SERIES K (CLASS 1)

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8738972178

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SILVERSTONE II, LLC - SERIES K (CLASS 2)

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8375307130

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SILVERSTONE IV, LLC - SERIES B

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-7008770468

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:  
  
SILVERSTONE IV, LLC - SERIES C

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5892016178

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:  
  
SILVERSTONE IV, LLC - SERIES E

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8664636691

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



801 - 72339

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SPUR VENTURES VI, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6567756366

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

BOW RIVER CAPITAL

SEC File Number:

801 - 72339

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SPUR VENTURES VII, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1846762031

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

BOW RIVER CAPITAL

SEC File Number:

801 - 72339

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SPUR VENTURES, II, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-4486722753

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

BOW RIVER CAPITAL

SEC File Number:

801 - 72339

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SPUR VENTURES, III, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2944817364

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

BOW RIVER CAPITAL

SEC File Number:

801 - 72339

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SR-AI 2024, LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-4425122683

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SSCRV CAPITAL-F, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-8966651914

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
SSG FIKA VC, LLC

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-8498451782

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
SSG PENINSULA FUND, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-1699625547

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No



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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

SSMGR-C, LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3857637248

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

STEPSTONE AEGON OPPORTUNITIES FUND , L.P. - SERIES B

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-6331921496

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

STEPSTONE AEGON OPPORTUNITIES FUND, L.P. - SERIES A

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2439614841

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| STEPSTONE AMP OPPORTUNITIES FUND - SERIES A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-2325422340                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| STEPSTONE AMP OPPORTUNITIES FUND - SERIES B                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-6739368755                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |

|                                               |  |
|-----------------------------------------------|--|
| 1. Name of the <i>private fund</i> :          |  |
| STEPSTONE AP OPPORTUNITIES FUND               |  |
| 2. <i>Private fund</i> identification number: |  |
| (include the "805-" prefix also)              |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE AP OPPORTUNITIES FUND, L.P. - SERIES B

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1503936564

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE ATLANTIC FUND L.P. PE SERIES 2009

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8650335300

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE ATLANTIC FUND L.P. PE SERIES 2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-7936585448                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE ATLANTIC FUND L.P. PRIVATE MARKETS SERIES 2014                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                  |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4634800773                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes No<br><input type="radio"/> <input checked="" type="radio"/> |

|    |                                                                                                                                                                                                                        |        |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE ATLANTIC FUND L.P. PRIVATE MARKETS SERIES 2022                                                                                                                          |        |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1161760636                                                                                                                       |        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |        |
|    |                                                                                                                                                                                                                        | Yes No |



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE BSV VC 2024 LLC

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1618628530

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE BV OPPORTUNITIES FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7379508001

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE BVK OPPORTUNITIES FUND II SCSP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5704336221

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE BVK OPPORTUNITIES FUND III SCSP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4910348076

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE BVK OPPORTUNITIES FUND SCSP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4727800323

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No





801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE GE III, L.P

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4015608150

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE GE IV, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8466305180

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE GE V, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9010575148

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

STEPSTONE GE VI-G, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6024823834

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

STEPSTONE GE VI-L, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8355447280

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| STEPSTONE GE VI-R, L.P. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.                      | <div>Private fund identification number:<br/>(include the "805-" prefix also)<br/><br/>805-7353486732</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 3.                      | <div>Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div>                                                                                                                                                                                                                                                                                                                                                                                    |
|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 4.                      | <div>Are your clients solicited to invest in this private fund?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |
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|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the private fund:<br>STEPSTONE GE VII-L, L.P. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.                                                       | <div>Private fund identification number:<br/>(include the "805-" prefix also)<br/><br/>805-5833322603</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 3.                                                       | <div>Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div>                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 4.                                                       | <div>Are your clients solicited to invest in this private fund?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |
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|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the private fund:<br>STEPSTONE GROWTH EQUITY II-A, L.P. |                                                                                                                                                                                                                                    |
|                                                                    |                                                                                                                                                                                                                                    |
| 2.                                                                 | <div>Private fund identification number:<br/>(include the "805-" prefix also)<br/><br/>805-7872978172</div>                                                                                                                        |
|                                                                    |                                                                                                                                                                                                                                    |
| 3.                                                                 | <div>Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div>     |
|                                                                    |                                                                                                                                                                                                                                    |
| 4.                                                                 | <div>Are your clients solicited to invest in this private fund?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one</div> |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
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| 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE GROWTH EQUITY III, L.P</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-1880798716</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?</div><div><div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div></div><div><div>Yes</div><div>No</div></div></div></div> |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE GROWTH EQUITY IV, L.P</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-7322453241</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?</div><div><div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div></div><div><div>Yes</div><div>No</div></div></div></div>  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE GROWTH EQUITY IV-A, L.P.</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-9381980537</div></div></div><div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing</div><div>Name:</div></div></div></div></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |

|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| STEPSTONE GROUP LP |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 68079        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                 | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE H OPPORTUNITIES FUND HOLDINGS, L.P.                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1211824550                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                           | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                        | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE ICAPITAL SPECIAL, L.P.                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6576902116                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                           | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                        | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                   |  |
|-----------------------------------------------------------------------------------|--|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE IL SPECIAL, L.P.                |  |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE MAPLE OPPORTUNITIES FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2300099904

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE MASTER G, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1112204882

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE PA TAP FUND I

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2661341570

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

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1.

Name of the *private fund*:

STEPSTONE PF OPPORTUNITIES FUND (L), L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4248845509

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

STEPSTONE PI OPPORTUNITIES FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1477742616

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No





3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE SECONDARY OPPORTUNITIES FUND III OFFSHORE HOLDINGS

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1338241339

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE SECONDARY OPPORTUNITIES FUND IV

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8131455157

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE SECONDARY OPPORTUNITIES FUND IV EUROPE HLDGS

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-1600987290

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE SECONDARY OPPORTUNITIES FUND IV OFFSHORE HLDGS

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8301679888

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE SECONDARY OPPORTUNITIES FUND V OFFSHORE HOLDINGS, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-9318345457

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No



801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TACTICAL GROWTH FUND II

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3688979169

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TACTICAL GROWTH FUND II OFFSHORE HOLDINGS, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2554663959

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TACTICAL GROWTH FUND III

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2057186951

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TACTICAL GROWTH FUND III OFFSHORE HOLDINGS, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1429982930

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TACTICAL GROWTH FUND OFFSHORE HOLDINGS, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1856693894

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE TS OPPORTUNITIES FUND, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-1177195335

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE UWF SECONDARY OPPORTUNITIES - SERIES A

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7198496092

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE UWF SECONDARY OPPORTUNITIES - SERIES B

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2086011259

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE VC 2022-CCT LP</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-3976649664</div></div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div><div><div>Yes</div><div>No</div></div></div></div>   |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE VC 2023-AGVII LP</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-2529186694</div></div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:<br/>STEPSTONE GROUP LP<br/>SEC File Number:<br/>801 - 68079</div></div><div><div>4.</div><div>Are your <i>clients</i> solicited to invest in this <i>private fund</i>?<br/><br/>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div></div></div><div><div>Yes</div><div>No</div></div></div></div> |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
| <div><div><div><div><div>1.</div><div>Name of the <i>private fund</i>:</div><div>STEPSTONE VC 2023-BETA HF HOLDING LP</div></div><div><div>2.</div><div><i>Private fund</i> identification number:<br/>(include the "805-" prefix also)</div><div>805-4856496033</div></div><div><div>3.</div><div>Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br/>Name:</div></div></div></div></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |

STEPSTONE GROUP LP

SEC File Number:  
801 - 68079

YesNo

4. Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1. Name of the *private fund*:  
STEPSTONE VC 2023-PVP, LLC

2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-6457220200

3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4. Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1. Name of the *private fund*:  
STEPSTONE VC 2023-ROV LP

2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-2642416873

3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4. Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1. Name of the *private fund*:  
STEPSTONE VC 2024-CW LP

2. *Private fund* identification number:  
(include the "805-" prefix also)



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC AJWA (CAYMAN) LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6978413378

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC ASIA FUND I, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3170687221

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC ASIA FUND I-K, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-6658610616

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:  
STEPSTONE VC ASIA I-GB, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-8533321153

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:  
STEPSTONE VC BA SPV, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-8128264598

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

Yes

No



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC CAPI FUND LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3623416624

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC CROSSOVER VENTURES I, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8816813540

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC D-I LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-1376443381

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC DIVERSITY I, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5970703845

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC DIVERSITY I-G, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-2836925738

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No



801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC EARLY STAGE II-G, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8189901861

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC EARLY STAGE II-K, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1024334050

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC EARLY STAGE III, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-8291858108

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC F-II, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-3134827895

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC F-III LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-4813472015

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:



STEPSTONE VC GLOBAL PARTNERS IV-A, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-1269608751

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1. Name of the private fund:  
STEPSTONE VC GLOBAL PARTNERS IV-B, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-2246017095

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1. Name of the private fund:  
STEPSTONE VC GLOBAL PARTNERS IV-C, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-1471200235

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC GLOBAL PARTNERS IX (STRATEGIC), L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1397645420                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC GLOBAL PARTNERS IX, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-8180636580                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

1. Name of the *private fund*:  
STEPSTONE VC GLOBAL PARTNERS IX-A, L.P.
2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-1663467302
3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| STEPSTONE VC GLOBAL PARTNERS IX-B, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-5101604514                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 1. Name of the <i>private fund</i> :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                        |
| STEPSTONE VC GLOBAL PARTNERS IX-C, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| 2. <i>Private fund</i> identification number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                        |
| (include the "805-" prefix also)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 805-5424860134                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                        |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing                                                                                                                                                                                                                                                                                                                                                                            |                                                        |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                        |
| STEPSTONE GROUP LP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                        |
| SEC File Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                        |
| 801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes No                                                 |
| 4. Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <input type="radio"/> <input checked="" type="radio"/> |
| In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. |                                                        |

|                                               |  |
|-----------------------------------------------|--|
| 1. Name of the <i>private fund</i> :          |  |
| STEPSTONE VC GLOBAL PARTNERS IX-G, L.P.       |  |
| 2. <i>Private fund</i> identification number: |  |
| (include the "805-" prefix also)              |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC GLOBAL PARTNERS IX-K, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-8012661452

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC GLOBAL PARTNERS IX-W, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6072242810

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC GLOBAL PARTNERS V-A, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9675692073

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

STEPSTONE VC GLOBAL PARTNERS V-C, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4212935250

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

☐

☒

1.

Name of the *private fund*:

STEPSTONE VC GLOBAL PARTNERS VI-A, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5741168296

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC GLOBAL PARTNERS VI-C, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-1304972491

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC GLOBAL PARTNERS VII-A, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3288132255

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC GLOBAL PARTNERS VII-C, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-4802439130



2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-7995756041

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE VC GLOBAL PARTNERS X-A, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-3702337904

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
STEPSTONE VC GLOBAL PARTNERS X-B, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-6917864048

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No





801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC HEALTHCARE I, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-2574272145

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC IMPACT I, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3469763098

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC IMPACT II, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7889542308

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC IX-R, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9761222657

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC KENT RIDGE FUND LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-5480369538

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC MARCH, LLC

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-7069402350

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC MARS LLC

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-3713087935

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC MESA FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-9379455844

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC MICRO I, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7552503487

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

STEPSTONE VC MICRO II, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-7218091042

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the *private fund*:

STEPSTONE VC MICRO II-G, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1052019348

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| STEPSTONE GROUP LP |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 68079        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                 | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC MICRO III, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-9930099961                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                  |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC MICRO III-G, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6432835560                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                                  |
|    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|    |                                                                                |
|----|--------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC MICRO V, L.P.                |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC NEXUS, LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-5966432340

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC OPPORTUNITIES II, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9578724888

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC OPPORTUNITIES II-A, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-1970380192

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

STEPSTONE VC OPPORTUNITIES III, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4767893646

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

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1.

Name of the *private fund*:

STEPSTONE VC OPPORTUNITIES IV, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9269361041

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No



4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC OPPORTUNITIES V, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-9685870610

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC OPPORTUNITIES V-D, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-2227819374

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE VC OPPORTUNITIES VI, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-7223206137



2.

Private fund identification number:

(include the "805-" prefix also)

805-6394385542

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

STEPSTONE VC PVP FOLLOW-ON, LLC

2.

Private fund identification number:

(include the "805-" prefix also)

805-5028773937

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the private fund:

STEPSTONE VC SECONDARIES FUND I, L.P.

2.

Private fund identification number:

(include the "805-" prefix also)

805-6880500052

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your clients solicited to invest in this private fund?

Yes

No

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.



801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND IV-D, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9418824997

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND IV-K, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4130659238

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND V, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-3741266258

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND V-B, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-9338923120

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND V-D, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2152518644

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC SECONDARIES FUND V-M, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-3105845075

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC SECONDARIES FUND VI (LUX) SCSP

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-4193060864

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
STEPSTONE VC SPV (AV IV), L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
805-3750534355

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC SPV IV, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1291383272                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                               |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE VC SPV IX, L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                               |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-8434363693                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                               |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                               |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div> <div>Yes</div> <div>No</div> </div> <div> <input type="radio"/> <input checked="" type="radio"/> </div> |

1. Name of the *private fund*:  
STEPSTONE VC TILAD FUND LP
2. *Private fund* identification number:  
(include the "805-" prefix also)  
805-7559476013
3. Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:



|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| STEPSTONE GROUP LP |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| SEC File Number:   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 801 - 68079        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                    | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                 | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE VC WABASH FUND LP                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-1232384724                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                           | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                        | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE VC X-V, L.P.                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6052025496                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 3. Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|                                                                                                                                                                                                                           | Yes No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4.                                                                                                                                                                                                                        | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ? <div>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.</div> |

|                                                                                   |  |
|-----------------------------------------------------------------------------------|--|
| 1. Name of the <i>private fund</i> :<br>STEPSTONE VC XII-B LP                     |  |
| 2. <i>Private fund</i> identification number:<br>(include the "805-" prefix also) |  |

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VC ZEPTO, LLC

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-1051231396

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

STEPSTONE VMB SECONDARY OPPORTUNITIES FUND

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7152573464

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

STEPSTONE GROUP LP

SEC File Number:

801 - 68079

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE XL OPPORTUNITIES FUND                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4821848216                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE XL OPPORTUNITIES FUND II-A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-6975935619                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                     |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                     |
| 4. | Are your <i>clients</i> solicited to invest in this <i>private fund</i> ?<br><br>In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | <div>Yes No</div> <div><input type="radio"/> <input checked="" type="radio"/></div> |

|    |                                                                                                                                                                                                                        |                   |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| 1. | Name of the <i>private fund</i> :<br>STEPSTONE XL OPPORTUNITIES FUND II-B                                                                                                                                              |                   |
| 2. | <i>Private fund</i> identification number:<br>(include the "805-" prefix also)<br>805-4966907949                                                                                                                       |                   |
| 3. | Name and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing<br>Name:<br>STEPSTONE GROUP LP<br>SEC File Number:<br>801 - 68079 |                   |
|    |                                                                                                                                                                                                                        | <div>Yes No</div> |

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
STEPSTONE ZILKER FUND L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3557354594

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
SUMMIT STRATEGIES COI FUND I, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-8811686465

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
MERCER INVESTMENTS LLC  
SEC File Number:  
801 - 63730

YesNo

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:  
THE ADAMS STREET PARTNERSHIP FUND - 2002 NON-US FUND, L.P.

2.

*Private fund* identification number:  
(include the "805-" prefix also)  
805-3758346776

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE ADAMS STREET PARTNERSHIP FUND - 2003 NON-US FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-2709635271

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE ADAMS STREET PARTNERSHIP FUND - 2004 NON-US FUND, L.P.

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-6844522917

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE ADAMS STREET PARTNERSHIP FUND - 2005 NON-US FUND, L.P.

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-2668259592

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
THE ADAMS STREET PARTNERSHIP FUND - 2006 NON-US FUND, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8465363791

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
THE ADAMS STREET PARTNERSHIP FUND - 2007 NON-US FUND, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4769211790

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
ADAMS STREET PARTNERS, LLC  
SEC File Number:  
801 - 58169

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No



801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE BRINSON NON-U.S. PARTNERSHIP FUND-2002 PRIMARY FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-9839804767

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE BRINSON NON-U.S. PARTNERSHIP FUND-2002 SECONDARY FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-4181917224

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE BRINSON NON-U.S. PARTNERSHIP FUND-2003 SECONDARY FUND, LP

2.

*Private fund* identification number:  
(include the "805-" prefix also)

805-5667757773



3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THE BRINSON NON-U.S. PARTNERSHIP FUND-2004 SECONDARY FUND, LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-7569234166

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

ADAMS STREET PARTNERS, LLC

SEC File Number:

801 - 58169

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THREE PILLARS FLEX OPPORTUNITIES FUND, LP

2.

*Private fund* identification number:

(include the "805-" prefix also)

805-5703730181

3.

Name and SEC File number of adviser that provides information about this *private fund* in Section 7.B.(1) of Schedule D of its Form ADV filing

Name:

PANTHEON

SEC File Number:

801 - 71327

Yes

No

4.

Are your *clients* solicited to invest in this *private fund*?

In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

1.

Name of the *private fund*:

THREE PILLARS SECONDARIES FUND, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-8392162623

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
VA - PANTHEON INFRASTRUCTURE II, LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-4024066032

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
PANTHEON  
SEC File Number:  
801 - 71327

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, 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 issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes

No

1.

Name of the private fund:  
  
VVF II CONTINUATION FUND LP

2.

Private fund identification number:  
(include the "805-" prefix also)  
  
805-5350216174

3.

Name and SEC File number of adviser that provides information about this private fund in Section 7.B.(1) of Schedule D of its Form ADV filing  
Name:  
STEPSTONE GROUP LP  
SEC File Number:  
801 - 68079

4.

Are your clients solicited to invest in this private fund?  
  
In answering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement, one

Yes

No

|                                          |                                                                                                                                                                                                                                |                                  |                                  |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|
| A. Do you or any <i>related person</i> : |                                                                                                                                                                                                                                | Yes                              | No                               |
| (1)                                      | buy securities for yourself from advisory <i>clients</i> , or sell securities you own to advisory <i>clients</i> (principal transactions)?                                                                                     | <input type="radio"/>            | <input checked="" type="radio"/> |
| (2)                                      | buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory <i>clients</i> ?                                                                                                   | <input checked="" type="radio"/> | <input type="radio"/>            |
| (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))? | <input checked="" type="radio"/> | <input type="radio"/>            |

| B. Do you or any <i>related person</i> : |                                                                                                                                                                                                                                                        | Yes                              | No                               |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|
| (1)                                      | as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory <i>client</i> securities are sold to or bought from the brokerage customer (agency cross transactions)?        | <input type="radio"/>            | <input checked="" type="radio"/> |
| (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?   | <input checked="" type="radio"/> | <input type="radio"/>            |
| (3)                                      | recommend purchase or sale of securities to advisory <i>clients</i> for which you or any <i>related person</i> has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)? | <input checked="" type="radio"/> | <input type="radio"/>            |

| C. Do you or any <i>related person</i> have <i>discretionary authority</i> to determine the: |                                                                                                  | Yes                              | No                    |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------|-----------------------|
| (1)                                                                                          | securities to be bought or sold for a <i>client's</i> account?                                   | <input checked="" type="radio"/> | <input type="radio"/> |
| (2)                                                                                          | amount of securities to be bought or sold for a <i>client's</i> account?                         | <input checked="" type="radio"/> | <input type="radio"/> |
| (3)                                                                                          | broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account?  | <input checked="" type="radio"/> | <input type="radio"/> |
| (4)                                                                                          | commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions? | <input checked="" type="radio"/> | <input type="radio"/> |

D. If you answer "yes" to C.(3) above, are any of the brokers or dealers *related persons*? ( ) ( )

E. Do you or any *related person* recommend brokers or dealers to *clients*? ○ ●

F. If you answer "yes" to E. above, are any of the brokers or dealers *related persons*? 99

G. (1) Do you or any *related person* receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with *client* securities transactions? ☒ ☐

(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any *related persons* receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934? ☒ ☐

H. (1) Do you or any *related person*, directly or indirectly, compensate any *person* that is not an *employee* for *client* referrals? ☐ ☒

(2) Do you or any *related person*, directly or indirectly, provide any *employee* compensation that is specifically related to obtaining *clients* for the firm (cash or non-cash compensation in addition to the *employee's* regular salary)? ☐ ☒

I. Do you or any *related person*, including any *employee*, directly or indirectly, receive compensation from any *person* (other than you or any *related person*) for *client referrals*? ☐ ☒

*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 related person gave to (in answering Item 8.H.) or received from (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 of client referrals.*

In this Item, we ask you whether you or a *related person* has *custody of client* (other than *clients* that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.

|    |                                                                  | Yes                              | No                    |
|----|------------------------------------------------------------------|----------------------------------|-----------------------|
| A. | (1) Do you have <i>custody</i> of any advisory <i>clients'</i> : |                                  |                       |
|    | (a) cash or bank accounts?                                       | <input checked="" type="radio"/> | <input type="radio"/> |
|    | (b) securities?                                                  | <input checked="" type="radio"/> | <input type="radio"/> |

If you 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 advisory fees directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption that you are not operationally independent (pursuant to 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* funds and securities and total number of *clients* for which you have *custody*:

|                        |                                |
|------------------------|--------------------------------|
| U.S. Dollar Amount     | Total Number of <i>Clients</i> |
| (a) \$ 182,683,275,694 | (b) 2,296                      |

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).

- B.

(1) In connection with advisory services you provide to *clients*, do any of your *related persons* have *custody* of any of your advisory *clients*':

(a) cash or bank accounts?

(b) securities?

Yes

No

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 *client* funds and securities and total number of *clients* for which your *related persons* have *custody*:

|                        |                                |
|------------------------|--------------------------------|
| U.S. Dollar Amount     | Total Number of <i>Clients</i> |
| (a) \$ 482,461,325,663 | (b) 1,408                      |

- 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:

(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 *independent public accountant* conducts an annual surprise examination of *client* 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 checked 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 Schedule 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*?

(1) you act as a qualified custodian

(2) your *related person(s)* act as qualified custodian(s)

Yes

No

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 7.A. of Schedule D](#), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

- 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/YYYY) the examination commenced:

03/2025

- 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 your *clients* in connection with advisory services you provide to *clients*?

36

SECTION 9.C. Independent Public Accountant

You must complete the following information for each *independent public accountant* engaged to perform a surprise examination, perform an audit of a pooled investment vehicle that you manage, or prepare an internal control report. You must complete a separate Schedule D Section 9.C. for each *independent public accountant*.

- (1) Name of the *independent public accountant*:

PRICEWATERHOUSECOOPERS LLP

|                       |          |                      |                    |
|-----------------------|----------|----------------------|--------------------|
| Number and Street 1:  |          | Number and Street 2: |                    |
| 100 EAST PRATT STREET |          | SUITE 2600           |                    |
| City:                 | State:   | Country:             | ZIP+4/Postal Code: |
| BALTIMORE             | Maryland | United States        | 21202              |

(3) Is the *independent public accountant* registered with the Public Company Accounting Oversight Board?

(4) If "yes" to (3) above, is the *independent public accountant* subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? ☒ ☐

A. ☒ audit a pooled investment vehicle

B. ☒ perform a surprise examination of *clients'* assets

C. ☒ prepare an internal control report

☒ Yes

☐ No

☐ Report Not Yet Received

|                                                                                                              |          |                      |                    |
|--------------------------------------------------------------------------------------------------------------|----------|----------------------|--------------------|
| (1) Name of the <i>independent public accountant</i> :                                                       |          |                      |                    |
| SB & COMPANY, LLC                                                                                            |          |                      |                    |
| (2) The location of the <i>independent public accountant's</i> office responsible for the services provided: |          |                      |                    |
| Number and Street 1:                                                                                         |          | Number and Street 2: |                    |
| 10200 GRAND CENTRAL AVENUE                                                                                   |          | SUITE 250            |                    |
| City:                                                                                                        | State:   | Country:             | ZIP+4/Postal Code: |
| OWINGS MILLS                                                                                                 | Maryland | United States        | 21117              |

**Yes   No**

(3) Is the *independent public accountant* registered with the Public Company Accounting Oversight Board? ☒ ☐

If "yes," Public Company Accounting Oversight Board-Assigned Number:  
2616

(4) If "yes" to (3) above, is the *independent public accountant* subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? ☒ ☐

(5) The *independent public accountant* is engaged to:

A. ☒ audit a pooled investment vehicle

B. ☐ perform a surprise examination of *clients'* assets

C. ☐ prepare an internal control report

(6) Since your last *annual updating amendment*, did all of the reports prepared by the *independent public accountant* that audited the pooled investment vehicle or that examined internal controls contain unqualified opinions?

☒ 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 accountant's report is available.*

In this Item, we ask you to identify every *person* that, directly or indirectly, *controls* you. If you are filing an *umbrella registration*, the information in Item 10 should be provided for the *filing adviser* only.

If 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 B asks for 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 application or report, you must complete Schedule C.

- Yes

No
- A. Does any *person* not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, *control* your management or policies?
- If yes, complete [Section 10.A. of Schedule D](#).
- 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 complete [Section 10.B. of Schedule D](#).

SECTION 10.A. Control Persons

No Information Filed

SECTION 10.B. Control Person 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 provide the following information (you must complete a separate Schedule D Section 10.B. for each public reporting company):
- (1) Full legal name of the public reporting company:

T. ROWE PRICE GROUP, INC.
- (2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company):

1113169

Item 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*?

For "yes" answers to the following questions, complete a Criminal Action DRP:

- Yes

No
- A. 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 any *felony*?

(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.
- 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 *misdemeanor* involving: 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:

|    |                                                                                                                                                                                                                                                                                                                     |                       |                                  |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| C. | Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:                                                                                                                                                                                                                                                | Yes                   | No                               |
|    | (1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?                                                                                                                                                                                                                   | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of SEC or CFTC regulations or statutes?                                                                                                                                                                           | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (3) <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?                                                                                                              | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (4) entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with <i>investment-related</i> activity?                                                                                                                                                                                     | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (5) imposed a civil money penalty on you or any <i>advisory affiliate</i> , or <i>ordered</i> you or any <i>advisory affiliate</i> to cease and desist from any activity?                                                                                                                                           | <input type="radio"/> | <input checked="" type="radio"/> |
| D. | Has any other federal regulatory agency, any state regulatory agency, or any <i>foreign financial regulatory authority</i> :                                                                                                                                                                                        |                       |                                  |
|    | (1) ever <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission, or been dishonest, unfair, or unethical?                                                                                                                                                                     | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (2) ever <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of <i>investment-related</i> regulations or statutes?                                                                                                                                                        | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?                                                                                                         | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (4) in the past ten years, entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with an <i>investment-related</i> activity?                                                                                                                                                           | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (5) ever denied, suspended, or revoked your or any <i>advisory affiliate's</i> registration or license, or otherwise prevented you or any <i>advisory affiliate</i> , by <i>order</i> , from associating with an <i>investment-related</i> business or restricted your or any <i>advisory affiliate's</i> activity? | <input type="radio"/> | <input checked="" type="radio"/> |
| E. | Has any <i>self-regulatory organization</i> or commodities exchange ever:                                                                                                                                                                                                                                           |                       |                                  |
|    | (1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?                                                                                                                                                                                                                   | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of its rules (other than a violation designated as a " <i>minor rule violation</i> " under a plan approved by the SEC)?                                                                                           | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (3) <i>found</i> you or any <i>advisory affiliate</i> to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?                                                                                                            | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (4) disciplined you or any <i>advisory affiliate</i> by expelling or suspending you or the <i>advisory affiliate</i> from membership, barring or suspending you or the <i>advisory affiliate</i> from association with other members, or otherwise restricting your or the <i>advisory affiliate's</i> activities?  | <input type="radio"/> | <input checked="" type="radio"/> |
| F. | Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any <i>advisory affiliate</i> ever been revoked or suspended?                                                                                                                                                       | <input type="radio"/> | <input checked="" type="radio"/> |
| G. | Are you or any <i>advisory affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?                                                                                                                                        | <input type="radio"/> | <input checked="" type="radio"/> |

For "yes" answers to the following questions, complete a Civil Judicial Action DRP:

|    |                                                                                                                                                                                                                      |                       |                                  |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------|
| H. | (1) Has any domestic or foreign court:                                                                                                                                                                               | Yes                   | No                               |
|    | (a) in the past ten years, <i>enjoined</i> you or any <i>advisory affiliate</i> in connection with any <i>investment-related</i> activity?                                                                           | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (b) ever <i>found</i> that you or any <i>advisory affiliate</i> were <i>involved</i> in a violation of <i>investment-related</i> statutes or regulations?                                                            | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by a state or <i>foreign financial regulatory authority</i> ? | <input type="radio"/> | <input checked="" type="radio"/> |
|    | (2) Are you or any <i>advisory affiliate</i> now the subject of any civil <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.H.(1)?                                                        | <input type="radio"/> | <input checked="" type="radio"/> |

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*.

|    |                                                                                                   |                       |                       |
|----|---------------------------------------------------------------------------------------------------|-----------------------|-----------------------|
| A. | Did you have total assets of \$5 million or more on the last day of your most recent fiscal year? | Yes                   | No                    |
|    | <i>If "yes," you do not need to answer Items 12.B. and 12.C.</i>                                  | <input type="radio"/> | <input type="radio"/> |



|                                                                                                                                                                                                                           |                       |                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-----------------------|
| (1) <i>control</i> 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? | <input type="radio"/> | <input type="radio"/> |
| (2) <i>control</i> another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?                                                       | <input type="radio"/> | <input type="radio"/> |

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, 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, 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 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? ☐ Yes ☒ 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).
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, First Name, Middle Name) | DE/FE/IF | Title or Status              | Date Title or Status Acquired MM/YYYY | Ownership Code | Control Person | PR | CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No. |
|-------------------------------------------------------------------|----------|------------------------------|---------------------------------------|----------------|----------------|----|-----------------------------------------------------------------------------|
| T. ROWE PRICE GROUP, INC.                                         | DE       | DIRECT OWNER                 | 12/2000                               | E              | Y              | Y  |                                                                             |
| OESTREICHER, DAVID, NMN                                           | I        | CHIEF LEGAL OFFICER/DIRECTOR | 03/2008                               | NA             | Y              | N  | 4594569                                                                     |
| Sharps, Robert, W                                                 | I        | PRESIDENT/DIRECTOR           | 10/2018                               | NA             | Y              | N  | 7027404                                                                     |
| VEIEL, ERIC, LANOUE                                               | I        | DIRECTOR                     | 01/2022                               | NA             | Y              | N  | 3269676                                                                     |
| DARDIS, JENNIFER, BENSON                                          | I        | DIRECTOR                     | 01/2022                               | NA             | Y              | N  | 4251907                                                                     |
| Ferguson, Savonne, L                                              | I        | CHIEF COMPLIANCE OFFICER     | 10/2024                               | NA             | Y              | N  | 3109536                                                                     |

## 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.

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.

ITEM 5.D: THE "INDIVIDUALS" LISTED IN ITEM 5.D.A ARE PARTICIPANTS IN A PLAN WHERE A MANAGED ACCOUNT ADVISORY SOLUTION IS OFFERED TO THE PLAN SPONSOR. THE ASSETS FOR THE INDIVIDUALS ARE REPORTED IN THE POOLED VEHICLE ASSETS IN ITEM 5.D.F. SECTION 5.I.(2): CERTAIN WRAP FEE PROGRAMS ARE PROGRAMS IN WHICH OUR SERVICES ARE ACCESSED BY THIRD PARTY FINANCIAL ADVISORY FIRMS ON BEHALF OF THEIR CLIENTS. ITEM 7.A. - IN ADDITION TO FINANCIAL AFFILIATIONS SELECTED, WE HAVE OTHER RELATED PERSONS THAT ARE NOT IDENTIFIED IN ITEMS 7.A.(1) THROUGH (16). ITEM 7.B. - FAMILY OFFICES (AS DEFINED UNDER RULE 202(A)(11)(G)-1) DELEGATE MANAGEMENT TO T. ROWE PRICE ASSOCIATES, INC. ("TRPA"). CERTAIN ACCOUNTS OF THESE FAMILY OFFICES RELY ON SECTIONS 3(C)(1) AND 3(C)(7) OF THE INVESTMENT COMPANY ACT OF 1940. DETAILED INFORMATION FOR THESE ACCOUNTS WAS NOT AVAILABLE AT THE TIME OF THIS FILING. ITEM 7.B.(2) - TRPA HAS ENTERED INTO AGREEMENTS WITH ADVISERS TO THIRD PARTY SPECIAL PURPOSE VEHICLES (SPVS) TO PROVIDE SUBADVISORY MANAGEMENT SERVICES. SPVS MAY BE STRUCTURED AS LPS OR LLCs WHICH ARE CREATED TO FACILITATE INVESTMENT BY THE ADVISERS' CLIENTS AND PRIVATE FUNDS. RELATED PERSONS OF THE ADVISERS SERVE AS GENERAL PARTNERS OF THE SPVS. THE SPVS ARE USED ONLY BY THE ADVISERS' CLIENTS AND PRIVATE FUNDS AND ARE NOT OFFERED TO EXTERNAL CLIENTS. THE SPVS ARE NOT LISTED IN ITEM 7.B.(2) AS INFORMATION FOR THE PRIVATE FUNDS INVESTED IN THE SPVS IS PROVIDED IN ITEM 7.B.(2) OF THIS FORM ADV AND IN ITEM 7.B.(1) OF THE ADVISERS' FORM ADV. TRPA ALSO PROVIDES LIMITED SERVICES TO OTHER ACCOUNTS THAT RELY ON SECTION 3(C)(1) AND 3(C)(7) OF THE INVESTMENT COMPANY ACT OF 1940. DETAILED INFORMATION FOR THESE ACCOUNTS WAS NOT AVAILABLE AT THE TIME OF THIS FILING. ITEM 8.A.(1) TRPA HAS ESTABLISHED AN ERROR ACCOUNT WHICH MAY BE USED IN LIMITED CIRCUMSTANCES TO TRADE SECURITIES AS A PRINCIPAL WITH A CLIENT WHEN CORRECTING A TRADE ERROR. ITEM 8.E. - TRPA, THROUGH ITS PRIVATE ASSET MANAGEMENT GROUP ("PAM") PLACES CLIENT TRANSACTIONS THROUGH ITS AFFILIATED BROKER-DEALER, T. ROWE PRICE INVESTMENT SERVICES, INC. ("TRPIS") AS DIRECTED BY CERTAIN CLIENTS. TRPA MAKES ITS PAM CLIENTS AWARE OF THE BROKERAGE SERVICES AVAILABLE THROUGH TRPIS AND OF THE RELATIONSHIP BETWEEN TRPA AND TRPIS. ITEM 8.I. - TRPA OR AN AFFILIATE MAY RECEIVE COMPENSATION FOR AFFILIATE CLIENT REFERRALS THAT RESULT IN A FORMAL CONTRACTUAL ARRANGEMENT BETWEEN THE AFFILIATE AND THE PROSPECT. ITEM 9.D.(2) - AN AFFILIATED TRANSFER AGENT SERVES IN LIEU OF A QUALIFIED CUSTODIAN FOR THE T. ROWE PRICE MUTUAL FUNDS ADVISED BY TRPA. ITEM 11. - FROM TIME TO TIME IN THE NORMAL COURSE OF BUSINESS, TRPA, ITS PARENT, SUBSIDIARIES, AFFILIATES, OFFICERS, AND EMPLOYEES (COLLECTIVELY THE "COMPANY") ARE NAMED AS PARTIES TO LITIGATION INVOLVING THE PRODUCTS AND SERVICES OFFERED BY THE COMPANY INCLUDING THE T. ROWE PRICE MUTUAL FUNDS; THE COMPANY MAY BE NAMED AS A STAKEHOLDER OF ASSETS WHICH ARE THE SUBJECT OF OWNERSHIP DISPUTES BETWEEN SHAREHOLDERS AND/OR THIRD PARTIES.

Schedule R

No Information Filed

DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

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 |
|--------------------------|--------------------|----------------|--------|
| <input type="checkbox"/> | Investment Advisor |                |        |

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:

SAVONNE FERGUSON

Printed Name:

SAVONNE FERGUSON

Adviser CRD Number:

105496

Date: MM/DD/YYYY

07/06/2026

Title:

CHIEF COMPLIANCE OFFICER

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.

|                            |                  |
|----------------------------|------------------|
| Signature:                 | Date: MM/DD/YYYY |
| Printed Name:              | Title:           |
| Adviser <i>CRD</i> Number: |                  |
| 105496                     |                  |