



BrokerCheck Report

ORBIS INVESTMENT (U.S.), LLC

CRD# 172663

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 05/15/2009.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 05/15/2009.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ORBIS INVESTMENT (U.S.), LLC

Doing business as ORBIS INVESTMENT (U.S.), LLC

CRD# 172663

SEC# 8-69517

Main Office Location

THREE CANAL PLAZA 3RD FLOOR
PORTLAND, ME 04101

Regulated by FINRA Boston Office

Mailing Address

THREE CANAL PLAZA SUITE 100
PORTLAND, ME 04101

Business Email Address

Info@orbisinvestmentinc.com

Official Website

www.orbisinvestmentinc.com



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	FORESIDE DISTRIBUTORS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER
Position Start Date	07/2014
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BRUNNER, JENNIFER ANNE 1137783
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER AND VICE PRESIDENT
Position Start Date	11/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	COWAN, TERESA MARIA KAZMIERSKI 1544189
Is this a domestic or foreign entity or an individual?	Individual
Position	PRES/MANAGER/DIRECTOR
Position Start Date	05/2022

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LA FOND, SUSAN LORENE
4512785

Is this a domestic or foreign entity or an individual? Individual

Position TREASURER

Position Start Date 05/2022

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LANZA, CHRISTOPHER CONTE
2184856

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT

Position Start Date 05/2022

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MACCHIA, KATE SCHENDEL

Firm Profile



Direct Owners and Executive Officers (continued)

4863973

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT

Position Start Date 06/2022

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SOMMERS, WESTON
5290145

Is this a domestic or foreign entity or an individual? Individual

Position CFO/FINOP

Position Start Date 07/2014

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): WHETSTONE, KELLY BOWERS
5380134

Is this a domestic or foreign entity or an individual? Individual

Position SECRETARY

Position Start Date 10/2021

Percentage of Ownership Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): FORESIDE FINANCIAL GROUP, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established FORESIDE DISTRIBUTORS, LLC

Relationship to Direct Owner OWNER

Relationship Established 10/2010

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GC MOUNTAINTOP HOLDINGS, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established GC MOUNTAINTOP INTERMEDIATE I LLC

Relationship to Direct Owner OWNER

Relationship Established 09/2021

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GC MOUNTAINTOP INTERMEDIATE I LLC

Is this a domestic or foreign entity or an individual? Domestic Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established GC MOUNTAINTOP INTERMEDIATE II LLC

Relationship to Direct Owner OWNER

Relationship Established 09/2021

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GC MOUNTAINTOP INTERMEDIATE II LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established GC MOUNTAINTOP ACQUISITION CORP

Relationship to Direct Owner OWNER

Relationship Established 09/2021

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GENSTAR CAPITAL X, LP

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established GENSTAR CAPITAL PARTNERS X, LP

Relationship to Direct Owner OWNER/GENERAL PARTNER

Relationship Established 11/2020



Firm Profile

Indirect Owners (continued)

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GENSTAR X, GP, LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established GENSTAR CAPITAL X, LP

Relationship to Direct Owner OWNER/GENERAL PARTNER

Relationship Established 11/2020

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GC MOUNTAINTOP ACQUISITION CORP.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established FORESIDE FINANCIAL GROUP, LLC

Relationship to Direct Owner OWNER

Relationship Established 09/2021

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	GENSTAR CAPITAL PARTNERS X, LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	GC MOUNTAINTOP HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	11/2020
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/28/2014

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	11/28/2014



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/06/2015
Alaska	Approved	01/23/2015
Arizona	Approved	02/10/2015
Arkansas	Approved	02/17/2015
California	Approved	01/21/2015
Colorado	Approved	03/03/2015
Connecticut	Approved	04/09/2015
Delaware	Approved	03/16/2015
District of Columbia	Approved	03/02/2015
Florida	Approved	03/31/2015
Georgia	Approved	03/03/2015
Hawaii	Approved	02/12/2015
Idaho	Approved	01/15/2015
Illinois	Approved	02/06/2015
Indiana	Approved	02/20/2015
Iowa	Approved	01/22/2015
Kansas	Approved	02/27/2015
Kentucky	Approved	02/02/2015
Louisiana	Approved	01/20/2015
Maine	Approved	12/04/2014
Maryland	Approved	02/04/2015
Massachusetts	Approved	02/06/2015
Michigan	Approved	03/25/2015
Minnesota	Approved	01/09/2015
Mississippi	Approved	01/28/2015
Missouri	Approved	03/04/2015
Montana	Approved	03/16/2015
Nebraska	Approved	02/06/2015
Nevada	Approved	06/05/2015
New Hampshire	Approved	04/14/2015
New Jersey	Approved	03/27/2015
New Mexico	Approved	03/18/2015
New York	Approved	01/20/2015

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	02/20/2015
North Dakota	Approved	03/04/2015
Ohio	Approved	01/23/2015
Oklahoma	Approved	01/13/2015
Oregon	Approved	02/03/2015
Pennsylvania	Approved	01/23/2015
Puerto Rico	Approved	05/20/2015
Rhode Island	Approved	01/09/2015
South Carolina	Approved	01/29/2015
South Dakota	Approved	01/09/2015
Tennessee	Approved	04/20/2015
Texas	Approved	03/23/2015
Utah	Approved	01/23/2015
Vermont	Approved	03/27/2015
Virgin Islands	Approved	03/03/2015
Virginia	Approved	02/05/2015
Washington	Approved	01/13/2015
West Virginia	Approved	04/21/2015
Wisconsin	Approved	01/27/2015
Wyoming	Approved	02/26/2015

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Mutual fund underwriter or sponsor

Private placements of securities

Other - SERVE AS THE DISTRIBUTOR OF EXCHANGE TRADED PRODUCTS ("ETPS") ON A BEST EFFORTS BASIS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: KOM NETWORKS' KOMPLIANCE VIRTUAL SERVER

Business Address: 2171 MCGEE SIDE ROAD
UNIT #1
OTTAWA, ONTARIO, CANADA K0A 1L0

Effective Date: 05/01/2015

Description: THE FIRM EMPLOYS KOM NETWORKS' KOMPLIANCE VIRTUAL SERVER TO FACILITATE THE FIRM'S DOCUMENT RETENTION SOLUTION FOR CERTAIN BOOKS AND RECORDS.

Name: QUEST CONTINUING EDUCATION SOLUTIONS, INC.

Business Address: 10850 WEST PARK PLACE
SUITE 1000
MILWAUKEE, WI 53224

Effective Date: 04/23/2019

Description: THE FIRM USES QUEST CE FOR ITS FIRM ELEMENT CONTINUING EDUCATION, ONLINE ANNUAL COMPLIANCE MEETING, BRANCH OFFICE INSPECTIONS, AND COMPLIANCE ATTESTATIONS AND QUESTIONNAIRES.

Name: FORESIDE DISTRIBUTORS, LLC

Business Address: 3 CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 06/06/2014

Description: FORESIDE DISTRIBUTORS, LLC IS FIRM'S DIRECT PARENT AND MAINTAINS ALL OF FIRM'S CORPORATE CONTRACTS AND ORGANIZATIONAL DOCUMENTS.

Name: IRON MOUNTAIN

Business Address: 26A PARKWAY DRIVE
SCARBOROUGH, ME 04074

Effective Date: 06/06/2014

Description: IRON MOUNTAIN PROVIDES FORESIDE WITH OFFSITE RECORD MANAGEMENT, CONFIDENTIAL SHREDDING AND DESTRUCTION.

Firm Operations



Industry Arrangements (continued)

Name: SMARSH, INC.

Business Address: 921 SW WASHINGTON STREET STE.540
PORTLAND, OR 97205

Effective Date: 06/06/2014

Description: SMARSH IS A TECHNOLOGY VENDER, WHICH PROVIDES FORESIDE WITH EMAIL ARCHIVING AND MANAGEMENT SERVICES.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

MIRABELLA FINANCIAL SERVICES LLP is under common control with the firm.

CRD #:	160328
Business Address:	11 STRAND LONDON, UNITED KINGDOM WC2N 5HR
Effective Date:	05/26/2022
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRMS ARE EACH INDIRECTLY OWNED BY THE PARENT COMPANY, FORESIDE FINANCIAL GROUP, LLC.

MIRABELLA MALTA LIMITED is under common control with the firm.

CRD #:	285355
Business Address:	8 TOWER ROAD SLIEMA, MALTA SLM1605
Effective Date:	05/26/2022
Foreign Entity:	Yes
Country:	MALTA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE FIRMS ARE EACH INDIRECTLY OWNED BY THE PARENT COMPANY, FORESIDE FINANCIAL GROUP, LLC.

Firm Operations



Organization Affiliates (continued)

MIRABELLA MALTA ADVISERS LIMITED is under common control with the firm.

Business Address: 8 TOWER ROAD
SLIEMA, MALTA SLM1605

Effective Date: 05/26/2022

Foreign Entity: Yes

Country: MALTA

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE FIRMS ARE EACH INDIRECTLY OWNED BY THE PARENT COMPANY, FORESIDE FINANCIAL GROUP, LLC.

MIRABELLA ADVISERS LLP is under common control with the firm.

Business Address: 11 STRAND
LONDON, UNITED KINGDOM WC2N 5HR

Effective Date: 05/26/2022

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE FIRMS ARE EACH INDIRECTLY OWNED BY THE PARENT COMPANY, FORESIDE FINANCIAL GROUP, LLC.

FORESIDE ADVISORY SERVICES, LLC is under common control with the firm.

CRD #: 306760

Business Address: 3 CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 02/25/2020

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: FORESIDE ADVISORY SERVICES, LLC IS A WHOLLY-OWNED SUBSIDIARY OF FORESIDE FINANCIAL GROUP, LLC WHICH IS AN INDIRECT OWNER OF THE FIRM.

QUASAR DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 103848

Business Address: THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 03/31/2020

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

PARNASSUS FUNDS DISTRIBUTOR, LLC is under common control with the firm.

CRD #: 15883

Business Address: THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 05/01/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

Firm Operations**Organization Affiliates (continued)**

VT DISTRIBUTORS LLC is under common control with the firm.

CRD #: 173734

Business Address: THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 11/06/2017

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITIES ARE UNDER COMMON CONTROL OF THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FORESIDE FINANCIAL SERVICES, LLC is under common control with the firm.

CRD #: 148477

Business Address: THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 08/01/2016

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITIES ARE UNDER COMMON CONTROL OF THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

NORTHERN FUNDS DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 45943

Business Address: 3 CANAL PLAZA, THIRD FLOOR
PORTLAND, ME 04101

Effective Date: 06/06/2014

Firm Operations



Organization Affiliates (continued)

Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

STERLING CAPITAL DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 103934
Business Address: THREE CANAL PLAZA
 SUITE 100
 PORTLAND, ME 04101
Effective Date: 06/06/2014
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

MGI FUNDS DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 35682
Business Address: THREE CANAL PLAZA
 SUITE 100
 PORTLAND, ME 04101
Effective Date: 06/06/2014
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No

Firm Operations



Organization Affiliates (continued)

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FORESIDE GLOBAL SERVICES, LLC is under common control with the firm.

CRD #: 147382

Business Address: 3 CANAL PLAZA, THIRD FLOOR
PORTLAND, ME 04101

Effective Date: 06/06/2014

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FORESIDE FUNDS DISTRIBUTORS LLC is under common control with the firm.

CRD #: 31334

Business Address: THREE CANAL PLAZA
SUITE 100
PORTLAND, ME 04101

Effective Date: 06/06/2014

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

PERPETUAL AMERICAS FUNDS DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 143809

Business Address: 3 CANAL PLAZA, THIRD FLOOR
PORTLAND, ME 04101

Firm Operations**Organization Affiliates (continued)**

Effective Date: 06/06/2014
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FORESIDE DISTRIBUTION SERVICES, L.P. is under common control with the firm.

CRD #: 15634
Business Address: 3 CANAL PLAZA, THIRD FLOOR
 PORTLAND, ME 04101
Effective Date: 06/06/2014
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FUNDS DISTRIBUTOR, LLC is under common control with the firm.

CRD #: 7174
Business Address: 3 CANAL PLAZA, THIRD FLOOR
 PORTLAND, ME 04101
Effective Date: 06/06/2014
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No

Firm Operations



Organization Affiliates (continued)

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

IMST DISTRIBUTORS, LLC is under common control with the firm.

CRD #: 130745

Business Address: 3 CANAL PLAZA, THIRD FLOOR
PORTLAND, ME 04101

Effective Date: 06/06/2014

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

FORESIDE FUND SERVICES, LLC is under common control with the firm.

CRD #: 46106

Business Address: 3 CANAL PLAZA, THIRD FLOOR
PORTLAND, ME 04101

Effective Date: 06/06/2014

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE FIRMS ARE EACH OWNED BY THE HOLDING COMPANY, FORESIDE DISTRIBUTORS, LLC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank

Firm Operations



Organization Affiliates (continued)

- savings bank or association
- credit union
- or foreign bank

End of Report



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