

On March 28, 2024, we amended the following:

Item 8

- We enhanced the Environmental, Social and Governance (ESG) Issues disclosure to clarify our approach to ESG. We also added ESG-Focused strategies to our list of available strategies.
- We added an Artificial intelligence (AI) Risk disclosure. AI is becoming more common in the financial services industry and it could be used in a way that is harmful to us or our clients, as further explained in this section.
- We added a Global Conflict Risk disclosure. War, conflict and civil disturbances around the world can have significant and negative economic effects, given the increasing interconnectedness of financial markets across the world, as further explained in this section.
- We added a Committee on Foreign Investment in the United States Risk disclosure to address the possibility of The Committee on Foreign Investment in the United States taking action against a company in which we invest.
- We updated the Public Health Risk disclosure to remove specific references to the COVID-19 pandemic
- We updated the Financial Institution Risk disclosure to expand its applicability to all financial institutions instead of just banks.
- We removed disclosures related to Brexit Risk and LIBOR Discontinuation Risk as we no longer deem as significant to our business.

Item 10

- We updated the Private Funds and Hedge Funds disclosure to reflect the current status of the SEC rulemaking relevant to Private Funds.

Item 12

- We enhanced our disclosure on conflicts that exist when reviewing client trade errors

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- We enhanced our disclosure to clarify that we generally do not handle non-U.S. class actions for our clients or act on behalf of our unaffiliated clients as a lead plaintiff in a class action lawsuit or as a plaintiff in any potential direct action

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