

Examination Information Request List

Examination Period

Information is requested for the period **January 1, 2013** through **December 31, 2014** (the "Examination Period") unless otherwise noted.

Organizing the Information to be Provided

In order to efficiently process the material assembled for the staff's review, please label the information so that it corresponds to the item number in the request list. If information provided is responsive to more than one request item, you may provide it only once and refer to it when responding to the other request item numbers. If any request item does not apply to your business, please indicate "N/A" (not applicable). Please provide documents in electronic format whenever possible.

Information to be Provided by Monday, February 2, 2015

General Information

1. Chart or list of the Adviser's control persons with ownership percentages, and a chart or list of all affiliated entities.
2. List of the Adviser's current employees, partners, officers and directors, with their respective titles and hire dates.
3. Names of any joint ventures or any other businesses in which the Adviser or any officer, director, portfolio manager, or trader participates or has any interest (other than their employment with the Adviser), including a description of each relationship.

Information Regarding the Adviser's Compliance Program, Risk Management and Internal Controls

4. Compliance policies and procedures that were in effect during the Examination Period for the Adviser and its affiliates.
5. A record of any non-compliance with the Adviser's compliance policies and procedures and of any action taken as a result of such non-compliance.

Financial Records

6. For each private fund, please provide the audited financial statements, if available and used by the private fund to comply with the requirements of Rule 206(4)-2 ("Custody Rule") of the Investment Advisers Act of 1940 ("Advisers Act"), unaudited financial statements if audited financial statements are unavailable or not relied on to comply with the Custody Rule requirements, and general ledgers (in Excel format) for **2013** and **2014**.
7. Provide supporting documentation that each private fund's audited financial statements were sent to investors within 120 days of the fund's year end date or 180 days if the fund is a fund-of funds.
8. For each private fund that is not subject to an annual audit, please specifically describe how the Adviser complies with paragraphs (a)(2), (a)(3) and (a)(4) of the Custody Rule.

9. For each private fund that invests in privately offered securities and does not undergo an annual audit, please provide the name of the qualified custodian that holds the private fund's securities or that holds some other indicia of the private fund's ownership interest.

Advisers Sponsoring or Managing Privately Offered Funds

10. Organizational chart for private funds that are part of a master/feeder structure, are used as holding companies for investments, or invest in other funds controlled by the Adviser.
11. Information regarding each private investment fund, including:
- A. Name as shown in organizational documents (as amended).
 - B. Domicile (country).
 - C. Investment strategy (*e.g.*, long-short, statistical arbitrage, fund of funds).
 - D. If funds are part of a master/feeder fund structure, full name and domicile of each fund.
 - E. If the fund is a fund-of-funds, the names of the investee funds owned by the private fund as of **12/31/2014** and whether ownership of these investments is evidenced by using certificates.
 - F. Amount, if any, of Adviser's equity interest in each fund as of **12/31/2014**.
 - G. Amount, if any, of Adviser's affiliated persons' interest as of **12/31/2014**.
 - H. Date the fund began accepting unaffiliated investors.
 - I. Number of unaffiliated investors and total assets at the end of the Examination Period.
 - J. Whether the fund is currently closed to new investors.
 - K. Lock-up periods for both initial and subsequent investments.
 - L. Specific exemption(s) from registration under the Securities Act of 1933 and/or the Investment Company Act of 1940 upon which each fund relies.
 - M. Services the Adviser or an affiliate (*e.g.*, general partner, adviser, managing member) is providing.
 - N. Amount of leverage, both explicit (on-balance sheet) and off-balance sheet (futures and certain other derivatives), used by the fund as of **12/31/2014** as measured by the Adviser for risk-management purposes.
12. For each private fund please provide the organizational documents (*e.g.* limited partnership agreement or operating agreement) and offering documents (*e.g.*, private placement memorandum and subscription agreement).
13. Copy of monthly account statements sent to investors that include the value of each investor's equity interest in the fund as of **12/31/2013** and **12/31/2014**.