

DSM CAPITAL PARTNERS

PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

DSM CAPITAL PARTNERS LLC

7111 FAIRWAY DRIVE, SUITE 350
PALM BEACH GARDENS, FLORIDA 33418

www.dsmcapital.com

March 29, 2024

This Brochure Supplement provides certain information about DSM and certain of its advisory personnel and it is designed to supplement DSM's Brochure. You should have received a copy of the Brochure from DSM. Please contact Russell Katz, General Counsel and Chief Compliance Officer of DSM, at 561-618-4000 or Rkatz@dsmcapital.com if you did not receive DSM's Brochure or if you have any questions about the contents of this Brochure Supplement. The information in this Brochure Supplement has not been approved or verified by the United States Securities and Exchange Commission ("SEC") or by any state securities authority. Additional information about DSM is available on the SEC's website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for DSM is 113609. This Brochure Supplement should be reviewed in its entirety.

DSM is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training.

ITEM 1 – COVER PAGE

Daniel Strickberger
DSM Capital Partners LLC
7111 Fairway Drive, Suite 350
Palm Beach Gardens, Florida 33418

This Brochure Supplement provides information about Daniel Strickberger and supplements DSM’s Brochure. You should have received a copy of the Brochure from DSM. Please contact Russell Katz, General Counsel and Chief Compliance Officer of DSM, at 561-618-4000 or Rkatz@dsmcapital.com if you did not receive DSM’s Brochure or if you have any questions about the contents of this Brochure Supplement.

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Daniel Strickberger was born in 1956. Mr. Strickberger received a B.S. in Business Administration and Finance from the University of Delaware in 1978, and in 1982 graduated from New York University with a Masters of Business Administration in Finance.

From January 1, 2021, Mr. Strickberger became the Managing Partner of DSM while remaining as DSM’s Chief Investment Officer. From February 2014 to January 1, 2021, Mr. Strickberger had been the Co-Managing Partner and Chief Investment Officer of DSM. From 2001 to February 2014, while remaining Co-Managing Partner, Mr. Strickberger became the Co-Chief Investment Officer of DSM. From 2001 to February 2011, Mr. Strickberger served as DSM’s Alternate Chief Compliance Officer. From 1991 to 2000, Mr. Strickberger was a Portfolio Manager and analyst at W.P. Stewart & Co., Inc.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Daniel Strickberger and monitors the advice provided by Mr. Strickberger. Mr. Strickberger is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Strickberger has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Justin Burk, CFA
DSM Capital Partners LLC
Greenwich Office Park #9, Second Floor
Greenwich, Connecticut 06831

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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Justin Burk was born in 1975. Mr. Burk received a B.A. in Biochemical Sciences from Harvard University in 1997. Mr. Burk is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

From 2002 to present, Mr. Burk advanced from equity analyst to portfolio manager at DSM. From 2001 to 2002, Mr. Burk was an associate at Aslan Capital Management. From 1999 to 2001, Mr. Burk was a high yield analyst at Carlyle High Yield Partners. From 1998 to 1999, Mr. Burk was a senior associate at Moody’s Investor Services.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Justin Burk and monitors the advice provided by Mr. Burk. Mr. Burk is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Burk has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Hannah Chiang
DSM Capital Partners LLC
7111 Fairway Drive, Suite 350
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This Brochure Supplement provides information about Hannah Chiang and supplements DSM’s Brochure. You should have received a copy of the Brochure from DSM. Please contact Russell Katz, General Counsel and Chief Compliance Officer of DSM, at 561-618-4000 or Rkatz@dsmcapital.com if you did not receive DSM’s Brochure or if you have any questions about the contents of this Brochure Supplement.

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Hannah Chiang was born in 1973. Ms. Chiang holds a Bachelor of Science in International Business and a Master of Science in Finance, both from the University of Colorado.

Ms. Chiang joined DSM in 2015 as a portfolio manager. Ms. Chiang began her career at American Century Investment Management in 1997. From 2001-2005, while at American Century Investment Management, Ms. Chiang was a research analyst covering international equities. Ms. Chiang was then named an associate investment analyst responsible for large cap ideas in Asia (ex-Japan). From 2009-2015, Ms. Chiang was a senior investment analyst focusing on large cap global consumer companies.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Hannah Chiang and monitors the advice provided by Ms. Chiang. Ms. Chiang is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Ms. Chiang has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Takamune Fujikawa, CFA
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7111 Fairway Drive, Suite 350
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Takamune Fujikawa was born in 1972. Mr. Fujikawa received a Bachelor of Science degree in Finance and International Business from New York University, Stern School of Business in 1994. Mr. Takamune is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

Mr. Fujikawa began his career in 1994 at Nomura Securities International in New York as a quantitative analyst. In 2008, Mr. Fujikawa joined The Boston Company Asset Management as a senior international equity analyst. Mr. Fujikawa continued his career in Hong Kong at Hutchin Hill Capital as a senior equity analyst. Mr. Fujikawa’s most recent role was as a senior analyst at the equity research department in SMBC Nikko Securities in Tokyo.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Takamune Fujikawa and monitors the advice provided by Mr. Fujikawa. Mr. Fujikawa is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Fujikawa has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

David McVey, CFA
DSM Capital Partners LLC
7111 Fairway Drive, Suite 350
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

David McVey was born in 1970. Mr. McVey received a B.S. in Economics and Finance from New Hampshire College in 1992. Mr. McVey is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients' interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

From January 1, 2021 to present, Mr. McVey is the Deputy Chief Investment Officer of DSM. From 2001 to January 1, 2021, Mr. McVey advanced from equity analyst to portfolio manager at DSM. From 2000 to 2001, Mr. McVey was an associate analyst at J.P. Morgan H&Q. From 1996 to 2000, Mr. McVey was a vice president at Furman Selz which was subsequently taken over by ING Barings LLC. From 1995 to 1996, Mr. McVey was an analyst at H&Q. From 1992 to 1995, Mr. McVey worked at Mutual Fund Services.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by David McVey and monitors the advice provided by Mr. McVey. Mr. McVey is bound by DSM's Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. McVey has received a copy of and reviewed DSM's Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Steven Tish, CFA
DSM Capital Partners LLC
7111 Fairway Drive, Suite 350
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Steven Tish was born in 1964. Mr. Tish received a B.S. in Finance from The University of Maryland in 1986 and obtained a Masters in Business Administration in Finance from Cornell University in 1991. Mr. Tish is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

From 2007 to present, Mr. Tish has been a portfolio manager at DSM. From 2005 to 2007, Mr. Tish was a partner, portfolio manager, and analyst at Panacea Asset Management. From 2003 to 2005, Mr. Tish was a partner, portfolio manager, and analyst at Millennium Partners. From 1998 to 2003, Mr. Tish was a partner, portfolio manager, and analyst at PAW Partners, and from 1991 to 1998, Mr. Tish was a portfolio manager and analyst at Lazard Freres Asset Management.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Steven Tish and monitors the advice provided by Mr. Tish. Mr. Tish is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Tish has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Eric Woodworth, CFA
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350 Greenwich Office Park #9, Second Floor
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Eric Woodworth was born in 1972. Mr. Woodworth received a B.A. in Economics from Williams College in 1994 and graduated from New York University with a Masters of Business Administration in Finance in 2001. Mr. Woodworth is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

From October 2021 to present, Mr. Woodworth is the Deputy Chief Investment Officer of DSM. From 2001 to present, Mr. Woodworth advanced from equity analyst to portfolio manager at DSM. From 1994 to 1999, Mr. Woodworth was a consultant with Price Waterhouse Coopers, LLP.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 - SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Eric Woodworth and monitors the advice provided by Mr. Woodworth. Mr. Woodworth is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Woodworth has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Shirley Hu Anderson, CFA
DSM Capital Partners LLC
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This Brochure Supplement provides information about Shirley Hu Anderson and supplements DSM’s Brochure. You should have received a copy of the Brochure from DSM. Please contact Russell Katz, General Counsel and Chief Compliance Officer of DSM, at 561-618-4000 or Rkatz@dsmcapital.com if you did not receive DSM’s Brochure or if you have any questions about the contents of this Brochure Supplement.

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Shirley Hu Anderson was born in 1986. Ms. Anderson graduated from Princeton University with a B.A. in public and international affairs and received her MBA from The Wharton School, University of Pennsylvania. Ms. Anderson is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

Ms. Anderson began her career as an analyst in the Technology Investment Banking Group at Credit Suisse. In 2008, Ms. Anderson joined Qatalyst Partners, a technology-focused M&A investment bank, as a founding member of the team. In 2014, Ms. Anderson moved to Bernstein Research as a senior research associate, where her team was ranked #1 by Institutional Investor for their coverage of semiconductors. Ms. Anderson was most recently a senior analyst in technology, media and telecom with Alliance Bernstein’s Arya Partners. Ms. Anderson joined DSM in 2021.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 - SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Shirley Hu Anderson and monitors the advice provided by Ms. Anderson. Ms. Anderson is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Ms. Anderson has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Giles Evans
DSM Capital Partners LLC
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Giles Evans was born in 1983. Mr. Evans holds a Bachelor of Science in Economics from the United States Military Academy at West Point. Mr. Evans began his career in finance as a senior associate in equity research at Evercore ISI after receiving his MBA from The Wharton School, University of Pennsylvania in 2020. Mr. Evans is also a Chartered Financial Analyst (CFA). A CFA is issued by the CFA Institute. To earn the CFA charter, candidates must: (i) pass three sequential, six-hour examinations; (ii) have at least four years of qualified professional investment experience; (iii) join CFA Institute as members; and (iv) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to: place their clients’ interests ahead of their own; maintain independence and objectivity; act with integrity; maintain and improve their professional competence, and disclose conflicts of interest and legal matters. Please see www.cfainstitute.org for more information.

From 2009-2018, Mr. Evans was an AC-130 aircraft commander in the US Air Force Special Operations Command. His wide-ranging responsibilities while in the Air Force included scheduling and budgeting, operations management, student training and missions in Iraq and Afghanistan. Mr. Evans joined DSM in 2021.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 - SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Giles Evans and monitors the advice provided by Mr. Evans. Mr. Evans is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Evans has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Christopher Bertoni
DSM Capital Partners LLC
7111 Fairway Drive, Suite
Palm Beach Gardens, Florida 33418

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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Christopher Bertoni was born in 1976. Mr. Bertoni received a B.S. from SUNY Oneonta in Business Economics in 1998 and a Masters in Business Administration in Finance from Fordham University in 2006.

Mr. Bertoni joined DSM in 2002 and advanced to Head Trader. From 1999 to 2002, Mr. Bertoni was an equity trader at Axe Houghton Associates, Inc., and from 1998 to 1999, Mr. Bertoni was a senior portfolio accountant at Cramer Rosenthal McGlynn LLC.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 – SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Christopher Bertoni and monitors the advice provided by Mr. Bertoni. Mr. Bertoni is bound by DSM's Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Bertoni has received a copy of and reviewed DSM's Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.

ITEM 1 – COVER PAGE

Shayn Logan
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7111 Fairway Drive, Suite
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Shayn Logan was born in 1980. Mr. Logan received both a Bachelor of Arts in Finance in 2008 and an MBA in Finance in 2013 from Florida Atlantic University.

Mr. Logan joined DSM in 2016 as a trader. Mr. Logan began his career in 2008 at Independent Portfolio Consultants, first as a portfolio analyst and later as assistance overlay portfolio manager. Mr. Logan joined Northern Trust in 2013 where he worked as an overlay portfolio manager and team leader prior to joining DSM.

ITEM 3 – DISCIPLINARY HISTORY

There is no disciplinary history to report.

ITEM 4 – OTHER BUSINESS ACTIVITIES

There are no other business activities to report.

ITEM 5 – ADDITIONAL COMPENSATION

There is no additional compensation to report.

ITEM 6 - SUPERVISION

Russell Katz, General Counsel and Chief Compliance Officer, reviews trading by Shayn Logan and monitors the advice provided by Mr. Logan. Mr. Logan is bound by DSM’s Code of Ethics, which, among other things, sets forth certain policies and procedures aimed at preventing abusive practices. In addition, Mr. Logan has received a copy of and reviewed DSM’s Compliance Manual, which is reasonably designed to prevent violation of the Investment Advisers Act of 1940, as amended, and the rules adopted thereunder. DSM believes that its Code of Ethics and Compliance Manual are useful tools for monitoring its supervised persons.