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## **Form ADV Part 2B Brochure Supplement**

28 March 2013

This brochure supplement provides information about Supervised Persons of RCM Asia Pacific Limited (“RCM AP”) and supplements the information in RCM AP’s Form ADV Part 2A. You should have received a copy of RCM AP’s Form ADV Part 2A. If you have any questions about the contents of this brochure supplement, or if you have not received a copy of RCM AP’s Form ADV Part 2A, please contact the Head of Client Reporting. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Supervised Persons of RCM AP is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## CHUNG Sau Ha, Christina

### **Business Experience and Education Background.**

Christina Chung, born in 1962, joined the Group in 1998 and has been a managing director since January 2010. She is head of the Greater China Team and lead manager of the Hong Kong, China, China A-shares and Greater China equity mandates. The Hong Kong and China Funds that she manages have won industry recognition and awards for consistent strong performance. She has 24 years' experience in managing Asian regional and single country portfolios for both institutional and retail accounts. Before joining the Group, she was a senior portfolio manager with Royal Bank of Canada Investment Management. Prior to that, she was a portfolio manager with Search International and an economist with HSBC Asset Management. Ms. Chung was educated in Canada. She attained a Bachelor of Administration from Brock University, followed by an M.A. in Economics from the University of Alberta. She became a Certified Management Accountant in 1992 and qualified as a chartered financial analyst, AIMR, in 1995.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

**Supervision.** RCM AP supervises and monitors the advice its portfolio managers provide to clients through regular reviews of client trading and positions which aims to ensure adherence to laws and regulations, client investment guidelines and RCM AP internal policies and procedures. This supervision and monitoring is accomplished in part through certain committees, compliance reviews, and day-to-day oversight by the senior members of the RCM AP investment team. Mr. Raymond Chan Chi Keung, Chief Investment Officer, Asia Pacific of RCM AP, has oversight responsibilities for the RCM AP investment team. Mr. Chan can be reached at +852 2238 8888.

## LAI Yiu Cheung, Dennis

### **Business Experience and Education Background.**

Dennis Lai, born in 1962, joined the Group as a portfolio manager in 2003, and has been a director since 2009. Mr. Lai is currently the Head of Regional Small & Mid Cap Team and the lead manager of RCM Asia Pacific's Emerging Frontier Asia strategies. Under his management, the Allianz RCM Little Dragons (currently renamed to Allianz Little Dragons) has been awarded Best Fund over 3 years in 2008 and 2009 by Lipper in the Equity Asia Pacific Small and Mid Caps category. During his time as Head of Asia ex-Japan Mid and Small Cap Research with Cazenove Asia, Mr. Lai was ranked as a top 3 sell side research analyst (Asia ex-Japan Small Cap Category) by Institutional Investors Magazine in 2001 and 2002. From 1994, Mr. Lai spent seven years as an investment manager with Special Assets Ltd. From 1991 to 1993 he was Chief Financial Officer for Bridestowe Estates Pty Ltd. in Queensland, Australia. Before that period, Mr. Lai was in Hong Kong from 1986 to 1991 working in the accounting and corporate finance areas for Anglo Chinese Corporate Finance Ltd., Citicorp and Price Waterhouse. Mr. Lai attained a Masters of Commerce degree, majoring in finance, in 1986 at the University of New South Wales in Sydney. He has been a member of CPA Australia since 1989 and a member of Financial Institute of Australasia since 1994.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

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## CHAN Chi Keung, Raymond

### **Business Experience and Education Background.**

Raymond Chan, born in 1965, is responsible for all investment professionals in Asia ex-Japan, reporting to the Global CIO in London, and is the Chairman of the Global Balanced Investment Committee and the Regional Portfolio Management Group (RPMG) in Hong Kong. Mr. Chan has overall responsibility for the investment process and performance and is a full member of the Global Equity Team. He has 23 years of portfolio management experience in the region and is the lead manager for RCM's Core Regional (Asia Pacific ex-Japan equity) products. Prior to joining the Group, Mr. Chan was Associate Director and Head of Greater China team with Barclays Global Investors in Hong Kong, where he specialized in Hong Kong, China and Taiwan stock markets and managed single country and regional portfolios. Mr. Chan's Hong Kong Fund at Barclays was ranked no. 1 offshore fund in 1997. Mr. Chan is a CFA charterholder and holds an M.A. in Finance and Investment from the University of Exeter and a B.A. (Hons.) in Economics from the University of Durham, UK.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

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## WINCHESTER Nigel Stuart

### **Business Experience and Education Background.**

Stuart joined the Group in 1992 and has been a managing director since 2008. He is responsible for RCM Hong Kong's mandates in global equities and balanced funds, and manages the equity portion of the absolute return funds. Beginning in 1994, Stuart has managed Oriental Income, a total return fund investing in the Asia Pacific region that has won numerous performance awards. He graduated with a Master's Degree in International Management from the American Graduate School of International Management in 1983. Stuart joined Wood Gundy in 1984 and spent six years in Japan before transferring to Indonesia to run an affiliate joint venture merchant bank. Stuart has spent a total of 29 years in Asia and is a CFA charterholder.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

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## KIM Sang Won

**Business Experience and Education Background.** Sang Won Kim, born in 1970, joined the Group in 2007 as a Portfolio Manager to manage dedicated Korean equity portfolios. Mr. Kim was previously an Investment Analyst in the Asia ex Japan Equity Research team of Schroder Investment Management before relocating to Hong Kong from Seoul. Prior to joining the Group, he spent 2 years with Samsung Securities as an Equity Research Analyst covering Korean non-life insurers and securities brokers. In his early career, he was a management consultant advising on Korean companies' strategic issues. Mr. Kim has over 16 years working experience in researching and analysing companies in South Korea. Mr. Kim graduated from

Kellogg School of Management of Northwestern University with an MBA in Finance and Accounting and obtained his Bachelor's degree in Business Administration from Yonsei University.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

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## INFORMATION ABOUT RCM AP'S SUB-ADVISER

Some of RCM AP's investment strategies are based on investment advices and recommendations provided by the affiliated investment adviser, Allianz Global Investors Japan Co., Ltd ("AllianzGI Japan"). Information about the portfolio managers of AllianzGI Japan is set forth below.

### NAKATSUKA Koji

**Business Experience and Education Background.** Koji Nakatsuka, born in 1974, is a Senior Portfolio Manager at Allianz Global Investors Japan Co., Ltd., based in Tokyo. Mr. Nakatsuka joined RCM in 2005 and specializes in Japanese small and mid-cap company portfolios. Prior to joining AllianzGI Japan as Portfolio Manager for Mid/Small Caps, Mr. Nakatsuka was managing Mid/Small Cap Investment Trust (called "Issun Boushi") for Goldman Sachs Asset Management for 2 years. At Schroder Investment Management Japan, he worked as Equity Analyst for Mid/Small Caps for 2 years. Mr. Nakatsuka earned his BA in Law at Sophia University.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

**Supervision.** RCM JP supervises and monitors the advice its portfolio managers provide to clients through regular reviews of client trading and positions which aims to ensure adherence to laws and regulations, client investment guidelines and RCM JP internal policies and procedures. This supervision and monitoring is accomplished in part through certain committees, compliance reviews and day-to-day oversight by the senior members of the RCM JP investment team. Mr. Kazuyuki Terao, Chief Investment Officer of RCM JP, has oversight responsibilities for the RCM JP investment team. Mr. Terao can be reached at 813-6229 0200.

### TERAO Kazuyuki

**Business Experience and Education Background.** Kazuyuki Terao, born in 1964, is the Chief Investment Officer of RCM Allianz Global Investors Japan Co., Ltd., based in Tokyo. Prior to joining RCM JapanAllianzGI Japan, Mr. Terao was Senior Portfolio Manager in the Equity Portfolio Management Department of UFI Partners Investment Trust Management. Over 19 years of professional experience in the asset management business of which 5 years were at Tokai Deutsche Morgan Grenfell in London. Fund management achievements include being awarded the prize for "Excellent Fund" by Morning Star (Japan) in 2002. Mr. Terao earned his BA in Economics at Hitotsubashi University, Japan.

**Disciplinary Information.** There is no information to report under this item.

**Other Business Activities.** There is no information to report under this item.

**Additional Compensation.** There is no information to report under this item.

**Supervision.** RCM JP supervises and monitors the advice its portfolio managers provide to clients through regular reviews of client trading and positions which aims to ensure adherence to laws and regulations, client investment guidelines and RCM JP internal policies and procedures. This supervision and monitoring is accomplished in part through certain committees, compliance reviews and day-to-day oversight by the senior members of the RCM JP investment team. Mr. Raymond Chan Chi Keung, Regional Chief Investment Officer of RCM in Asia Pacific, has oversight responsibilities for Mr. Terao's investment advisory activities. Mr. Chan can be reached at +852 2238 8888.