



**PART 2B OF FORM ADV: BROCHURE SUPPLEMENT**

DSM CAPITAL PARTNERS LLC

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

[www.dsmcapital.com](http://www.dsmcapital.com)

March 31, 2020

There were no changes to this Brochure Supplement from the prior Brochure Supplement dated March 29, 2019. This Brochure Supplement provides certain information about DSM Capital Partners LLC (“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](mailto: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](http://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](mailto: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 February 2014 to present, Mr. Strickberger has been the Co-Managing Partner and Chief Investment Officer of DSM. From 2001 to February 2014, while remaining Co-Managing Partner, Mr. Strickberger was 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

**This Brochure Supplement provides information about Justin Burk 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](mailto: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**

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](http://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  
Palm Beach Gardens, Florida 33418

**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. Hannah 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  
DSM Capital Partners LLC  
7111 Fairway Drive, Suite 350  
Palm Beach Gardens, Florida 33418

**This Brochure Supplement provides information about Takamune Fujikawa 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](mailto: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**

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](http://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, he 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. His 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**

Pinaki Kar  
DSM Capital Partners LLC  
7111 Fairway Drive, Suite 350  
Palm Beach Gardens, Florida 33418

**This Brochure Supplement provides information about Pinaki Kar 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](mailto: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**

Pinaki Kar was born in 1969. Mr. Kar graduated from the Indian Institute of Technology in 1992 with a B.S. in Mechanical Engineering and graduated from Notre Dame in 1994 with a Masters in Engineering. Mr. Kar has a Masters in Logistics from the Massachusetts Institute of Technology, obtained in 2003, and in 2008 received a Masters of Business Administration in Finance from New York University, earning the Stern Scholar designation.

From 2008 to present, Mr. Kar advanced from equity analyst to portfolio manager at DSM. From 2006 to 2008, Mr. Kar was an associate director at Novartis. From 2005 to 2006, Mr. Kar was an associate director at Bristol Myers Squibb. From 2003 to 2005, Mr. Kar was a consultant to Pfizer, and Mr. Kar was a manager at Versata from 2000 to 2001 and an associate at ZA Associates from 1994 to 2000.

## **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 Pinaki Kar and monitors the advice provided by Mr. Kar. Mr. Kar 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. Kar 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  
Palm Beach Gardens, Florida 33418

**This Brochure Supplement provides information about David McVey 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](mailto: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**

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](http://www.cfainstitute.org) for more information.

From 2001 to present, 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  
Palm Beach Gardens, Florida 33418

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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](http://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  
DSM Capital Partners LLC  
350 Greenwich Office Park #9, Second Floor  
Greenwich, Connecticut 06831

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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](http://www.cfainstitute.org) for more information.

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**

Kenneth Yang, CFA  
DSM Capital Partners LLC  
7111 Fairway Drive, Suite  
Palm Beach Gardens, Florida 33418

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## **ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Kenneth Yang was born in 1973. Mr. Yang received a Bachelor of Science in Economics from the Massachusetts Institute of Technology and an MBA from the MIT Sloan School of Management. Mr. Yang 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](http://www.cfainstitute.org) for more information.

Mr. Yang joined DSM in 2014 as a portfolio manager. Mr. Yang started his career in 1995 as a business analyst for McKinsey & Co. He subsequently spent several years in Hong Kong as an associate with Olympus Capital. In 2002, Mr. Yang joined Goldman Sachs as an investment banking associate. From 2004-2011, Mr. Yang was a senior analyst and vice president with Paulson & Company. More recently, Mr. Yang has worked with several non-profit organizations in third-world countries.

## **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 Kenneth Yang and monitors the advice provided by Mr. Yang. Mr. Yang 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. Yang 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  
DSM Capital Partners LLC  
7111 Fairway Drive, Suite  
Palm Beach Gardens, Florida 33418

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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.