



## **SUN LIFE CAPITAL MANAGEMENT (U.S.) LLC**

96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

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

March 31, 2023

This brochure supplement provides information about the supervised persons of Sun Life Capital Management (U.S.) LLC. You should have received a copy of that brochure. Please contact Thomas Watson at 646-480-5070 if you did not receive Sun Life Capital Management (U.S.) LLC's brochure or if you have any questions about the contents of this supplement.

The following paragraph describes the minimum qualifications for the "CFA" designation of certain Sun Life Capital Management (U.S.) LLC employees:

"To earn a CFA charter, you must have four years of qualified investment work experience, become a member of CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program. The CFA Program is organized into three levels, each culminating in a six-hour exam. Completing the Program takes most candidates between two and five years. The Program reflects a broad Candidate Body of Knowledge™ (CBOK) developed and continuously updated by active practitioners to ensure that charter holders possess knowledge grounded in the real world of today's global investment industry."

**Viola Adhami, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1987

B.A. – Smith College  
CFA Charterholder

Ms. Adhami is a Senior Director, Private Fixed Income of Sun Life Capital Management (U.S.) LLC. She has been associated with the Adviser since 2010.

**Disciplinary Information:**

None

**Other Business Activities:**

Ms. Adhami is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Ms. Adhami is supervised within the Sun Life Financial group of companies by Elaad Keren, Senior Managing Director and Head of PFI Portfolio Management at Sun Life Capital Management (U.S.) LLC. Mr. Keren may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and

strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Usman Bajwa, CFA**  
One York Street  
Toronto, Ontario  
Canada  
M5J 0B6  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1983

M.B.A – University of Toronto  
Bachelor of Business Administration – York University  
CFA Charterholder

Mr. Bajwa is a Managing Director, Head of Middle Market Private Debt of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He has been associated with Sun Life Assurance Company of Canada's investment team from 2014 to 2019 and then Sun Life Capital Management (Canada) Inc. from 2019 to present.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Bajwa is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Bajwa is supervised within the Sun Life Financial group of companies by Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

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**David Belanger**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1968

B.A. – McGill University  
M.B.A – Babson College

Mr. Belanger is a Managing Director, Private Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2007.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Belanger is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Belanger is supervised within the Sun Life Financial group of companies by Andrew Kleeman, Senior Managing Director and Head of Corporate Private Placements at Sun Life Capital Management (U.S.) LLC. Mr. Kleeman may be reached at 646-480-5070.

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**John Bichajian, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1980

B.S., B.A. – American University

M.B.A. – Boston College

CFA Charterholder

Mr. Bichajian is a Managing Director, Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2009.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Bichajian is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Bichajian is supervised within the Sun Life Financial group of companies by Brett Pacific, Head of Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. Mr. Pacific may be reached at 646-480-5070.

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investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Michael Bjelic**  
One York Street  
Toronto, Ontario  
Canada  
M5J 0B6  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1980

M.B.A – Niagara University  
Honors Bachelor of Arts in Economics – McMaster University

Mr. Bjelic is a Senior Managing Director, Head of Private Real Estate of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He has been associated with Sun Life Assurance Company of Canada's investment team from 2007 to 2019 and then Sun Life Capital Management (Canada) Inc. from 2019 to present.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Bjelic is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Bjelic is supervised within the Sun Life Financial group of companies by Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

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**Andrew Bloom**  
One York Street  
Toronto, Ontario  
Canada  
M5J 0B6  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1975

BCom – McGill University

Mr. Bloom is a Managing Director, Head of Project Finance of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He has been associated with Sun Life Assurance Company of Canada's investment team from 2011 to 2019 and then Sun Life Capital Management (Canada) Inc. from 2019 to present.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Bloom is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Bloom is supervised within the Sun Life Financial group of companies by Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers

are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Tim Boomer, FSA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1981

B.S. – University of Nottingham

Mr. Boomer is a Senior Managing Director, Head of Client Solutions of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2019. Prior to that, Mr. Boomer was employed by Income Research + Management from 2014 to 2019 services most recently as Senior Vice President – Product Manager, LDI and Pension Strategy.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Boomer is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Boomer is supervised within the Sun Life Financial group of companies by Steve Peacher, President, SLC Management. Mr. Peacher may be reached at 646-480-5070. Mr. Peacher has responsibilities for the overall SLC Management global operations.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment

professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Randolph Brown**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth –1962

B.S. – Engineering- Cornell University  
Master of Engineering- Cornell University  
M.B.A- Cornell University

Randolph, (“Randy”), Brown is Head of Insurance Asset Management, SLC Management. Mr. Brown also serves as Chief Investment Officer, Sun Life and has been associated with the Adviser since 2016. Prior to that, Mr. Brown was Head of the UK and Global Head of Insurance and Pension Solutions Deutsche Asset and Wealth Management from 2007-2015.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Brown, employed by Sun Life Financial (U.S.) Services Company, Inc., has significant responsibilities under service agreements with regard to other companies in the group in addition to the Adviser, including various life insurance and investment companies, some of which are clients of the adviser and others of which are not. Mr. Brown is a registered representative of Sun Life Institutional Distributors (U.S.) LLC. Sun Life Capital Management (U.S.) LLC does not utilize the services of Sun Life Institutional Distributors (U.S.), LLC and Mr. Brown receives no compensation from that company. He is the Chief Investment Officer for Sun Life Financial Inc. and many of its insurance and investment company subsidiaries in addition to the Adviser. There may be certain conflicts of interest regarding individuals who have responsibilities to other companies in the group including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests to govern the actions of their respective officers, managers, directors and personnel if and when such conflicts arise.

**Additional Compensation:**

None



**Supervision:**

Randolph Brown is supervised by Steve Peacher, President, SLC Management. Mr. Peacher may be reached at 646-480-5070. Mr. Peacher has responsibilities for the overall SLC Management global operations.

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**Geoffrey Caan**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1969

B.B.A, University of Wisconsin - Madison  
M.B.A University of Chicago Booth School of Business

Mr. Caan is a Managing Director, Public Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2011.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Caan is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Caan is supervised within the Sun Life Financial group of companies by Hussamuddin Syed, Senior Managing Director, Public Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Syed may be reached at 646-480-5070.

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strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Shisheng (Kyle) Chang, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth –1987

B.S. – Fudan University  
M.S.F – Boston College  
CFA Charterholder

Mr. Chang is a Senior Director, Investment Strategic Research & Initiatives of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2014.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Chang is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise..

**Additional Compensation:**

None

**Supervision:**

Mr. Chang is supervised within the Sun Life Financial group of companies by Dec Mullarkey, Managing Director, Investment Strategic Research & Initiatives of Sun Life Capital Management (U.S.) LLC. Mr. Mullarkey may be reached at 646-480-5070.

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investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Nitin Chhabra, FCAS**  
**One Financial Plaza, 9th Floor**  
**755 Main Street**  
**Hartford, CT 06103**  
**(860) 331-3000**

**Educational Background and Business Experience:**

Year of Birth – 1977

B.S. – Boston University

Mr. Chhabra is a Managing Director, Head of Insurance Client Relationships and Solutions of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2016. Mr. Chhabra spent the first ten years of his career at Liberty Mutual and Towers Watson before working on Wall Street for nearly five years as a sell-side equity research analyst covering the P&C industry at Sterne Agee.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Chhabra is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Chhabra is supervised within the Sun Life Financial group of companies by Tim Boomer, Senior Managing Director and Head of Client Solutions, SLC Management. Mr. Boomer may be reached at 646-480-5070. Mr. Boomer has certain oversight responsibilities for the investment advice activities of Sun Life Capital Management (U.S.) LLC.

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**Douglas Clark**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 202-2000

**Educational Background and Business Experience:**

Year of Birth – 1971

B.A. – University of Washington

Mr. Clark is a Managing Director and Portfolio Manager, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 1992.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Clark is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Clark is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

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**Peter Cramer, CFA**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 471-9373

**Educational Background and Business Experience:**

Year of Birth – 1979

B.A. – Claremont McKenna College  
CFA Charterholder

Mr. Cramer is a Senior Managing Director and Senior Portfolio Manager, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2016. Prior to that, Mr. Cramer served as a Senior Portfolio Manager at Pugh Capital Management, LLC. Previous to that, Mr. Cramer was a Portfolio Manager at Black Rock and worked in Credit Trading at PIMCO.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Cramer is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Cramer is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

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**Michael Donelan, CFA**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8041

**Educational Background and Business Experience:**

Year of Birth – 1966

B.S. – Seton Hall University  
M.B.A. – Fordham University  
CFA Charterholder

Mr. Donelan is a Senior Managing Director and Senior Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2003.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Donelan is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Donelan is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

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**Laila Dunphy, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1984

B.A. – Skidmore College  
M.S.F. – Boston College  
CFA Charterholder

Ms. Dunphy is a Senior Director, Insurance Client Relationships of Sun Life Capital Management (U.S.) LLC. She has been associated with the Adviser or its predecessor companies since 2015. Prior to that, Ms. Dunphy was employed by State Street Global Advisors from 2006 to 2015, most recently as a Client Support Senior Associate.

**Disciplinary Information:**

None

**Other Business Activities:**

Ms. Dunphy is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Ms. Dunphy is supervised within the Sun Life Financial group of companies by Nitin Chhabra. Mr. Chhabra, Managing Director, Head of Insurance Client Relationships and Solutions of SLC Management. Mr. Chhabra may be reached at 646-480-5070. Mr. Chhabra has certain oversight responsibilities for the investment advice activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in

accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Rawan El-Khatib**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1983

Bachelor of Mathematics – University of Waterloo

Ms. El-Khatib is a Senior Director, Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. She has been associated with the Adviser since 2008.

**Disciplinary Information:**

None

**Other Business Activities:**

Ms. El-Khatib is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Ms. El-Khatib is supervised within the Sun Life Financial group of companies by Brett Pacific, Head of Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. Mr. Pacific may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the



reviews depends on the nature of the account and any needs that may be specified by the client.

**Richard Familetti, CFA**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8058

**Educational Background and Business Experience:**

Year of Birth – 1964

B.A. – Hofstra University

M.B.A. – Fordham University

CFA Charterholder

Mr. Familetti is the Chief Investment Officer, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2000.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Familetti is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Familetti is supervised within the Sun Life Financial group of companies by Steve Peacher, President, SLC Management. Mr. Peacher may be reached at 646-480-5070. Mr. Peacher has responsibilities for the overall SLC Management global operations.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment

professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Victor Harned, CFA, CMT**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 202-2041

**Educational Background and Business Experience:**

Year of Birth – 1960

B.A. – University of New Hampshire

M.B.A. – Suffolk University

CFA Charterholder

Mr. Harned is a Senior Director and Trader, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2006.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Harned is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Harned is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing

evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client. Mr. Cramer has the responsibility of ongoing monitoring of each of Sun Life Capital Management (U.S.) LLC insurance asset management investment professional's compliance with investment policies and procedures.

**Elaad Keren, CFA**  
One York Street  
Toronto, Ontario  
Canada  
M5J 0B6  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1981

B. Comm. – Ryerson University  
M.B.A. – The University of Toronto  
CFA Charterholder

Mr. Keren is a Senior Managing Director, and Head of PFI Portfolio Management of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He was first associated with Sun Life Assurance Company of Canada's investment team from 2009 to 2015, returning in 2019, then Sun Life Capital Management (Canada) Inc. from 2019 to present. From 2015 to 2019, Mr. Keren was employed by CWB Maxium Financial.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Keren is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation**

None

**Supervision:**

Mr. Keren is supervised within the Sun Life Financial group of companies Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Andrew Kleeman, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1974

B.S. – United States Naval Academy

M.B.A. – University of Michigan

CFA Charterholder

Mr. Kleeman is a Senior Managing Director, Head of Corporate Private Placements of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2018. Prior to that, Mr. Kleeman was employed by Barings LLC as a Private Placement Analyst since 2007.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Kleeman is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation**

None

**Supervision:**

Mr. Kleeman is supervised within the Sun Life Financial group of companies Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely



discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Thomas F. Klem, ASA, MAAA**  
One Financial Plaza, 9th Floor  
755 Main Street  
Hartford, CT 06103  
(860)331-3000

**Educational Background and Business Experience:**

Year of Birth – 1974

B.A. – Bucknell University

Mr. Klem is a Managing Director and Head of Institutional Client Experience of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2005.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Klem is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Klem is supervised within the Sun Life Financial group of companies by Steve Weiss, Senior Managing Director and Head of U.S. Business Development, SLC Management. Mr. Weiss may be reached at 646-480-5070. Mr. Weiss has certain oversight responsibilities for the investment advice activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Justin P. Lessard, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1976

B.B.A – University of Massachusetts  
CFA Charterholder

Mr. Lessard is a Managing Director of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2006.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Lessard is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Lessard is supervised within the Sun Life Financial group of companies by Hussamuddin Syed, Senior Managing Director, Public Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Syed may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and

strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Brian Linde, CFA**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 202-2000

**Educational Background and Business Experience:**

Year of Birth – 1979

B.S. – Santa Clara University  
CFA Charterholder

Mr. Linde is a Managing Director and Portfolio Manager, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2015. Prior to that, Mr. Linde served as a Vice President, Research Analyst at Franklin Templeton.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Linde is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Linde is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing

evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Daniel J. Lucey, Jr., CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
(646) 708-8046

**Educational Background and Business Experience:**

Year of Birth – 1981

B.A. – College of the Holy Cross  
CFA Charterholder

Mr. Lucey is a Senior Managing Director and Senior Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2009.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Lucey is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Lucey is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment



professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Liam P. Mamikunian**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 202-2000

**Educational Background and Business Experience:**

Year of Birth – 1998

B.B.A. Concentrating in Finance and Economics, Gonzaga University

Mr. Mamikunian is an Associate Director, Portfolio Management, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2020, including an Investment Internship with SLCM Management in the summer of 2019. Prior to that, Mr. Mamikunian was an Institutional Reporting Intern at McKinley Capital Management LLC in summer 2018.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Mamikunian is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Mamikunian is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing

evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Jeffery Mayer, CFA, CPA, CMA**  
227 King Street South  
Waterloo, Ontario  
Canada  
N2J 1R2  
(519) 888-2058

**Educational Background and Business Experience:**

Year of Birth – 1970

Honors Bachelor of Mathematics –University of Waterloo

Mr. Mayer is a Senior Managing Director, Head of Private Securitization Finance of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He has been associated with Sun Life Assurance Company of Canada's investment team from 1994 to 2019 and then Sun Life Capital Management (Canada) Inc. from 2019 to present.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Mayer is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Mayer is supervised within the Sun Life Financial group of companies by Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers

are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Philip Mendonca**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8046

**Educational Background and Business Experience:**

Year of Birth – 1976

B.B.A. – Pace University

Mr. Mendonca is a Managing Director and Senior Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2003.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Mendonca is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Mendonca is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their

investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Colm D. Mullarkey, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1959

F.C.M.A. - Institute of Chartered Management Accountants  
C.S.S. – Harvard University  
M.S.F. – Boston College  
CFA Charterholder

Colm (“Dec”) Mullarkey is a Managing Director, Investment Strategy and Asset Allocation of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2010.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Mullarkey is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Mullarkey is supervised within the Sun Life Financial group of companies by Randy Brown, Head of Insurance Asset Management, SLC Management. Mr. Brown may be reached at 646-480-5070. Mr. Brown has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser’s investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser’s portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing



evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Johan Naco**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1987

B.A. – Baldwin Wallace University

M.B.A. – Baldwin Wallace University

Mr. Naco is an Associate Director, Insurance Client Relationships of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2016.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Naco is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Naco is supervised within the Sun Life Financial group of companies by Nitin Chhabra. Mr. Chhabra, Managing Director, Head of Insurance Client Relationships and Solutions of SLC Management. Mr. Chhabra may be reached at 646-480-5070. Mr. Chhabra has certain oversight responsibilities for the investment advice activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Brett W. Pacific, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1971

B.Sc., Finance – University of New Hampshire  
CFA Charterholder

Mr. Pacific is a Senior Managing Director, and Head of Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2004.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Pacific is employed by Sun Life Financial (U.S.) Services Company, Inc. Mr. Pacific is a registered representative of Sun Life Institutional Distributors (U.S.) LLC. Sun Life Capital Management (U.S.) LLC does not utilize the services of Sun Life Institutional Distributors (U.S.), LLC and Mr. Pacific receives no compensation from that company. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Pacific is supervised within the Sun Life Financial group of companies by Randy Brown, Head of Insurance Asset Management, SLC Management. Mr. Brown may be reached at 646-480-5070. Mr. Brown has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in

accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Louis Pelosi, ASA, MAAA**  
**One Financial Plaza, 9th Floor**  
**755 Main Street**  
**Hartford, CT 06103**  
**(860) 331-3000**

**Educational Background and Business Experience:**

Year of Birth – 1988

B.A. – University of Connecticut

Mr. Pelosi is a Managing Director, Client Relationships of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2010.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Pelosi is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Pelosi is supervised within the Sun Life Financial group of companies by Nitin Chhabra. Mr. Chhabra, Managing Director, Head of Insurance Client Relationships and Solutions of SLC Management. Mr. Chhabra may be reached at 646-480-5070. Mr. Chhabra has certain oversight responsibilities for the investment advice activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Matthew Salzillo**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8055

**Educational Background and Business Experience:**

Year of Birth – 1982

B.A. – Seton Hall University

M.B.A. – Rutgers University

Mr. Salzillo is a Managing Director and Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2004.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Salzillo is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Salzillo is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment



professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Annette Serrao, CFA**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8051

**Educational Background and Business Experience:**

Year of Birth – 1984

B.A. – St. Francis Institute of Technology

M.B.A. – Pace University

CFA Charterholder

Ms. Serrao is a Managing Director and Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. She has been associated with the Adviser or its predecessor companies since 2010.

**Disciplinary Information:**

None

**Other Business Activities:**

Ms. Serrao is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Ms. Serrao is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Steven W. Sims**  
15809 Bear Creek Pkwy, Suite 410  
Redmond, WA 98052  
(425) 202-2000

**Educational Background and Business Experience:**

Year of Birth – 1965

B.S. – University of Washington

M.B.A. – Seattle University

Mr. Sims is a Senior Director, Portfolio Manager and Trader, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2006.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Sims is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Sims is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client. Mr. Cramer has the responsibility of ongoing monitoring of each of Sun Life Capital Management (U.S.) LLC insurance asset management investment professional's compliance with investment policies and procedures.

**Greg Sooley, CFA**  
One York Street  
Toronto, Ontario  
Canada  
M5J 0B6  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1967

MBA – Dalhousie University

Mr. Sooley is a Managing Director, Head of Infrastructure Debt of Sun Life Capital Management (Canada) Inc. He is involved in the provision of investment advice to the Adviser's clients as an Affiliate Associated Person pursuant to a Memorandum of Understanding between Sun Life Capital Management (Canada) Inc. and the Adviser effective January 1, 2020. He has been associated with Sun Life Assurance Company of Canada's investment team from 1994 to 2019 and then Sun Life Capital Management (Canada) Inc. from 2019 to present.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Sooley is employed by Sun Life Assurance Company of Canada, an affiliate of Sun Life Capital Management (U.S.) LLC. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Sooley is supervised within the Sun Life Financial group of companies by Sam Tillinghast, Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. Mr. Tillinghast may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers

are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Hussamuddin A. Syed**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1978

B. Comm. – Osmania University  
M.B.A. – Oklahoma City University

Mr. Syed is Senior Managing Director, Public Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2001.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Syed is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Syed is supervised within the Sun Life Financial group of companies by Randy Brown, Head of Insurance Asset Management, SLC Management. Mr. Brown may be reached at 646-480-5070. Mr. Brown has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their



investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Sam Tillinghast**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1963

B.S., Finance – University of South Alabama

M.B.A., Marketing and Accounting – University of Texas

Mr. Tillinghast is a Senior Managing Director, and Head of Private Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2018. Prior to that, Mr. Tillinghast was employed by THL Credit from 2007 – 2017, most recently as Co-Chief Executive Officer from 2014 – 2017.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Tillinghast is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Tillinghast is supervised within the Sun Life Financial group of companies by Randy Brown, Head of Insurance Asset Management, SLC Management. Mr. Brown may be reached at 646-480-5070. Mr. Brown has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely

discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Raghava Vudata**  
500 Fifth Avenue, Suite 2500  
New York, NY 10110  
(646) 708-8046

**Educational Background and Business Experience:**

Year of Birth – 1981

MEM – New Mexico Tech  
B.TECH – JNT University

Mr. Vudata is a Senior Director and Portfolio Manager, U.S. Total Return Fixed Income of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since 2008.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Vudata is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Vudata is supervised within the Sun Life Financial group of companies by Richard Familetti, Chief Investment Officer, U.S. Total Return Fixed Income, SLC Management. Mr. Familetti may be reached at 646-708-8058. Mr. Familetti has certain oversight responsibilities for the investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment

professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Christopher Zeppieri, CFA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1973

BA- Fairfield University  
CFA Charterholder

Mr. Zeppieri is a Managing Director, Insurance Asset Management of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser or its predecessor companies since July 2020. Prior to that, Mr. Zeppieri served as a Senior Vice President, Senior Portfolio Manager at Hartford Financial Services Group from 2006 to 2019. Previous to that, Mr. Zeppieri was a Trader and Portfolio Manager at Payden & Rygel from 2004 to 2006.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Zeppieri is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Zeppieri is supervised within the Sun Life Financial group of companies by Peter Cramer, Senior Managing Director, Insurance Asset Management, SLC Management. Mr. Cramer may be reached at 425-471-9373. Mr. Cramer has certain oversight responsibilities for the insurance asset management investment activities of Sun Life Capital Management (U.S.) LLC.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers

are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.

**Peng Zhou, CFA, FSA**  
96 Worcester Street  
Wellesley Hills, MA 02481-5699  
646-480-5070

**Educational Background and Business Experience:**

Year of Birth – 1974

Ph.D. – The University of Connecticut

M.S. – The University of Connecticut

B.S. – Fudan University

CFA Charterholder

Mr. Zhou is a Managing Director, Derivative and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. He has been associated with the Adviser since 2003.

**Disciplinary Information:**

None

**Other Business Activities:**

Mr. Zhou is employed by Sun Life Financial (U.S.) Services Company, Inc. There are certain conflicts of interest regarding individuals who have the Sun Life Financial companies as a client, including allocation of investment opportunities for clients by Sun Life Capital Management (U.S.) LLC. The Sun Life Financial group of companies and Sun Life Capital Management (U.S.) LLC individually have established policies and procedures to mitigate the potential for conflicts of interests which govern the actions of their respective officers, managers, directors and personnel as and when such conflicts arise.

**Additional Compensation:**

None

**Supervision:**

Mr. Zhou is supervised within the Sun Life Financial group of companies by Brett Pacific, Head of Derivatives and Quantitative Strategy of Sun Life Capital Management (U.S.) LLC. Mr. Pacific may be reached at 646-480-5070.

The Adviser's investment professionals generally work in teams, each of which is dedicated to a specific asset class, strategy or client type. The Adviser's portfolio managers are responsible for making day-to-day management decisions for their accounts in accordance with applicable investment objectives and guidelines, and for ongoing evaluation of their accounts against those parameters. The portfolio managers routinely discuss market developments, investment ideas and strategy with other investment professionals of the Adviser who have appropriate knowledge of the accounts and their



investment strategies. The Adviser's investment teams review account performance and strategy more formally, generally on a monthly or quarterly basis. The content of the reviews depends on the nature of the account and any needs that may be specified by the client.