

Trading Compliance Analysis

Ex-Ante vs Ex-Post Comparison - 2025-11-21

Compliance Status Changes

Total Funds Analyzed: 1

Total Funds Traded: 1

Fund	Status Change	Viol. Before	Viol. After	Net Change
RDVI	UNCHANGED	2	2	0
Totals		2	2	0

Trading Compliance Analysis

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Detailed Comparison by Compliance Check

Compliance Check	RDVI		
	Before	After	Changed
diversification_IRS_check	FAIL	FAIL	NO
max_15pct_illiquid_sai	FAIL	FAIL	NO

Trading Compliance Analysis

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Trade Activity

Trade Activity Summary

Fund	Asset Class	Total Net Assets	Total Assets	Trade Value	% of TNA	% of Assets	Ex-Ante MV	Ex-Post MV	Market Value Delta	Net Trade Value	Net Buy Value	Net Sell Value
RDVI	Equity	0.00	0.00	3,777,897.65	0.00%	0.00%	2,449,752,492.10	2,445,974,594.45	-3,777,897.65	0.00	0.00	0.00
	Options	0.00	0.00	3,696,850.00	0.00%	0.00%	0.00	-3,696,850.00	-3,696,850.00	-3,696,850.00	0.00	3,696,850.00

Trade Activity Details

Fund	Asset Class	Direction	Ticker	Quantity	Market Value
RDVI	Equity	Net Sell		24,000.00	0.00
	Options	Net Sell		535.00	3,696,850.00
	Options	Sell	SPXW US 11/28/25 C6610	535.00	3,696,850.00