

### Initial and Annual Compliance Training

All persons must complete compliance training during their orientation and annually thereafter.

Name: TAMANNA SHARMA

Trading Unit  
Name/Group: MLP

Date of Orientation: 2017-12-28

Start Date: 2017-12-20

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1. Strategy (if applicable)  
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2. Insider Trading Policy and Procedures
3. Chinese Wall Procedures
4. Confidentiality Policy
5. Contracts on Behalf of the Firm
6. Communication Guidelines
7. Rumors
8. Restricted List Procedures
9. Activist Investing and Coordination Policy
10. Compliance Certifications
11. Personal Trading Policies and Procedures
12. Outside Business Activities
13. Gifts and Entertainment Expenses (including the Foreign Corrupt Practices Act)
14. Best Execution Policy
15. Short Sale Policy/Short Sale Certification and Re-Certification
16. Trade Error Policy
17. Policies and Procedures regarding Manipulation and Other Inappropriate Activity

18. Securities Act Issues (Reg D, Reg S, prospectus delivery)
19. New Issues Policy
20. Concentration Policy
21. Odd-lot and Mixed-lot Policy
22. Gambling Policy
23. Credit Default Swaps Policy
24. Anti-Money Laundering
25. Code of Ethics
26. Email/Instant Messaging Policy and Procedures
27. Registrations/License Procedures
28. Fingerprints
29. Continuing Education Requirements
30. Harassment (including sexual harassment)
31. Privacy Policy
32. EthicsPoint

By signing below you are certifying that on the date noted you completed compliance training addressing the substantive areas listed above.

TAMANNA SHARMA  
Printed Name

Tamanna  
Signature

**COMPLIANCE APPROVAL**

Name and Title of Person Conducting  
Training Seminar

Reviewed and approved by (signature of  
person conducting training seminar):