FORM ADV
UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Primary Business Name: ALLIANCEBERNSTEIN L.P.

CRD Number: 108477

Other-Than-Annual Amendment - All Sections

4/7/2020 6:08:02 PM

WARNING: Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an umbrella registration, the information in Item 1 should be provided for the filing adviser only. General Instruction 5 provides information to assist you with filing an umbrella registration.

A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):

   ALLIANCEBERNSTEIN L.P.

B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.

   ALLIANCEBERNSTEIN L.P.

   List on Section 1.B. of Schedule D any additional names under which you conduct your advisory business.

   (2) If you are using this Form ADV to register more than one investment adviser under an umbrella registration, check this box

   If you check this box, complete a Schedule R for each relying adviser.

C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B,(1)), enter the new name and specify whether the name change is of

   your legal name or your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: 801-56720

   (2) If you report to the SEC as an exempt reporting adviser, your SEC file number:

   (3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

   CIK Number
   1109448

E. (1) If you have a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system, your CRD number: 108477

   If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.

   (2) If you have additional CRD Numbers, your additional CRD numbers:

   No Information Filed

F. Principal Office and Place of Business

   (1) Address (do not use a P.O. Box):

   Number and Street 1: 1345 AVE OF THE AMERICAS
   City: NEW YORK
   State: New York
   Country: United States
   ZIP+4/Postal Code: 10105

   If this address is a private residence, check this box

   List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

   (2) Days of week that you normally conduct business at your principal office and place of business:

   ☑ Monday - Friday
   ☐ Other:

   Normal business hours at this location:
   9:00AM - 5:00PM

   (3) Telephone number at this location:
   212-969-1000

   (4) Facsimile number at this location, if any:
   212-969-2293

   (5) What is the total number of offices, other than your principal office and place of business, at which you conduct investment advisory business as of the end of your most recently completed fiscal year?
G. Mailing address, if different from your principal office and place of business address:

Number and Street 1: ________________________________  Number and Street 2: ________________________________
City: _____________________________  State: ________  Country: _____________________________  ZIP+4/Postal Code: _____________________________

If this address is a private residence, check this box: [ ]

H. If you are a sole proprietor, state your full residence address, if different from your principal office and place of business address in Item 1.F.:

Number and Street 1: ________________________________  Number and Street 2: ________________________________
City: _____________________________  State: ________  Country: _____________________________  ZIP+4/Postal Code: _____________________________

I. Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)?

[ ] Yes  [ ] No

If "yes," list all firm website addresses and the address for each of the firm’s accounts on publicly available social media platforms on Section 1.I. of Schedule D. If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. You may need to list more than one portal address. Do not provide the addresses of websites or accounts on publicly available social media platforms where you do not control the content. Do not provide the individual electronic mail (e-mail) addresses of employees or the addresses of employee accounts on publicly available social media platforms.

J. Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an exempt reporting adviser, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

Name: ________________________________  Telephone number: ________________________________
Number and Street 1: ________________________________  Facsimile number, if any: ________________________________
City: _____________________________  State: ________  Country: _____________________________  ZIP+4/Postal Code: _____________________________

Electronic mail (e-mail) address, if Chief Compliance Officer has one:

(2) If your Chief Compliance Officer is compensated or employed by any person other than you, a related person or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the person’s name and IRS Employer Identification Number (if any):

Name: ________________________________  IRS Employer Identification Number: ________________________________

K. Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

Name: ________________________________  Titles: ________________________________
Telephone number: ________________________________  Facsimile number, if any: ________________________________
Number and Street 1: ________________________________  Number and Street 2: ________________________________
City: _____________________________  State: ________  Country: _____________________________  ZIP+4/Postal Code: _____________________________

Electronic mail (e-mail) address, if contact person has one: ________________________________

L. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your principal office and place of business?

[ ] Yes  [ ] No

If "yes," complete Section 1.L. of Schedule D.

M. Are you registered with a foreign financial regulatory authority?

[ ] Yes  [ ] No

Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete Section 1.M. of Schedule D.

N. Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934?

[ ] Yes  [ ] No

O. Did you have $1 billion or more in assets on the last day of your most recent fiscal year?

[ ] Yes  [ ] No

If yes, what is the approximate amount of your assets:

[ ] $1 billion to less than $10 billion
[ ] $10 billion to less than $50 billion
[ ] $50 billion or more
For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your Legal Entity Identifier if you have one:
0JK55UGWSWNF3X7KLO85

A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. You may not have a legal entity identifier.

SECTION 1.B. Other Business Names

No Information Filed

SECTION 1.F. Other Offices

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: 
2000 MCKINNEY AVENUE
City: DALLAS
State: Texas
Country: United States
ZIP+4/Postal Code: 75201

If this address is a private residence, check this box: □

Telephone Number: 214-860-5200
Facsimile Number, if any: 214-860-5222

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:
121705

How many employees perform investment advisory functions from this office location?
19

Are other business activities conducted at this office location? (check all that apply)
☑ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: 
6000 1H 10 WEST
City: SAN ANTONIO
State: Texas
Country: United States
ZIP+4/Postal Code: 78230

If this address is a private residence, check this box: □

Telephone Number: 210-384-6000
Facsimile Number, if any: 

WARNING: If this address is a private residence, check this box:
If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 164028

How many employees perform investment advisory functions from this office location?
11

Are other business activities conducted at this office location? (check all that apply)

- [ ] (1) Broker-dealer (registered or unregistered)
- [ ] (2) Bank (including a separately identifiable department or division of a bank)
- [ ] (3) Insurance broker or agent
- [ ] (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- [ ] (5) Registered municipal advisor
- [ ] (6) Accountant or accounting firm
- [ ] (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

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**Number and Street 1:** 601 UNION STREET

**City:** SEATTLE

**State:** Washington

**Country:** United States

**ZIP+4/Postal Code:** 98101

If this address is a private residence, check this box: 

**Telephone Number:** 206-342-1300

**Facsimile Number, if any:** 206-342-1300

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121709

How many employees perform investment advisory functions from this office location?
11

Are other business activities conducted at this office location? (check all that apply)

- [ ] (1) Broker-dealer (registered or unregistered)
- [ ] (2) Bank (including a separately identifiable department or division of a bank)
- [ ] (3) Insurance broker or agent
- [ ] (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- [ ] (5) Registered municipal advisor
- [ ] (6) Accountant or accounting firm
- [ ] (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

**Number and Street 1:** 800 CONNECTICUT AVENUE, NW

**State:** District of Columbia

**Country:** United States

**ZIP+4/Postal Code:** 20006
If this address is a private residence, check this box: ☐

Telephone Number: 202-261-6700
Facsimile Number, if any: 202-261-6767

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:
121707

How many employees perform investment advisory functions from this office location?
33

Are other business activities conducted at this office location? (check all that apply)
☐ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: 50 BERKELEY STREET
Number and Street 2: 
City: LONDON
State: United Kingdom
Country: United Kingdom
ZIP+4/Postal Code: W1J8HA

If this address is a private residence, check this box: ☐

Telephone Number: 44-20-7470-0100
Facsimile Number, if any: 44-20-7470-0111

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?
210

Are other business activities conducted at this office location? (check all that apply)
☐ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

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Number and Street 1: 150 4TH AVENUE NORTH
Number and Street 2: 
City: 
State: 
Country: 
ZIP+4/Postal Code: 

If this address is a private residence, check this box: ☐

Telephone Number: 
Facsimile Number, if any: 

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?

Are other business activities conducted at this office location? (check all that apply)

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If this address is a private residence, check this box: ☐

Telephone Number: 6292136000

Facsimile Number, if any: 

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

706514

How many employees perform investment advisory functions from this office location?

0

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

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Number and Street 1: 18 WESTLANDS ROAD
City: QUARRY BAY
State: 
Country: 
ZIP+4/Postal Code: 

If this address is a private residence, check this box: ☐

Telephone Number: 852-2918-7888
Facsimile Number, if any: 852-2918-0200

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?

100

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).
Number and Street 1: 1000 LOUISIANA STREET
Number and Street 2: SUITE 3600
City: HOUSTON State: Texas Country: United States ZIP+4/Postal Code: 77002

If this address is a private residence, check this box: 


If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 143333

How many employees perform investment advisory functions from this office location? 27

Are other business activities conducted at this office location? (check all that apply)
- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

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Number and Street 1: 227 WEST MONROE STREET
Number and Street 2: SUITE 5900

If this address is a private residence, check this box: 

Telephone Number: 312-696-7800 Facsimile Number, if any: 312-357-1197

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121704

How many employees perform investment advisory functions from this office location? 58

Are other business activities conducted at this office location? (check all that apply)
- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:
Complete the following information for each office, other than your \textit{principal office and place of business}, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an \textit{exempt reporting adviser}, list only the largest twenty-five offices (in terms of numbers of \textit{employees}).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>555 CALIFORNIA STREET</td>
<td>SUITE 4400</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>SAN FRANCISCO</td>
<td>California</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: 

<table>
<thead>
<tr>
<th>Telephone Number:</th>
<th>Facsimile Number, if any:</th>
</tr>
</thead>
<tbody>
<tr>
<td>415-217-8000</td>
<td>415-217-8111</td>
</tr>
</tbody>
</table>

If this office location is also required to be registered with FINRA or a \textit{state securities authority} as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the 	extit{CRD} Branch Number here: 121706

How many \textit{employees} perform investment advisory functions from this office location? 47

Are other business activities conducted at this office location? (check all that apply)

- [ ] (1) Broker-dealer (registered or unregistered)
- [ ] (2) Bank (including a separately identifiable department or division of a bank)
- [ ] (3) Insurance broker or agent
- [ ] (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- [ ] (5) Registered municipal advisor
- [ ] (6) Accountant or accounting firm
- [ ] (7) Lawyer or law firm

Describe any other \textit{investment-related} business activities conducted from this office location:

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Complete the following information for each office, other than your \textit{principal office and place of business}, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an \textit{exempt reporting adviser}, list only the largest twenty-five offices (in terms of numbers of \textit{employees}).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>701 BRICKELL AVENUE</td>
<td>SUITE 2240</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>MIAMI</td>
<td>Florida</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: 

<table>
<thead>
<tr>
<th>Telephone Number:</th>
<th>Facsimile Number, if any:</th>
</tr>
</thead>
<tbody>
<tr>
<td>305-530-6200</td>
<td>305-530-6264</td>
</tr>
</tbody>
</table>

If this office location is also required to be registered with FINRA or a \textit{state securities authority} as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the 	extit{CRD} Branch Number here: 143334

How many \textit{employees} perform investment advisory functions from this office location? 23

Are other business activities conducted at this office location? (check all that apply)

- [ ] (1) Broker-dealer (registered or unregistered)
- [ ] (2) Bank (including a separately identifiable department or division of a bank)
- [ ] (3) Insurance broker or agent
- [ ] (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
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Describe any other investment-related business activities conducted from this office location:

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Number and Street 1:  
TAIPEI 101 TOWER, 7 XIN YI ROAD, SEC. 5  
City: TAIPEI  
State:  
Country: Taiwan, Republic of China  
ZIP+4/Postal Code: 110

If this address is a private residence, check this box: 

Telephone Number: 886-2-87583888

Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?  
49

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)  
☐ (2) Bank (including a separately identifiable department or division of a bank)  
☐ (3) Insurance broker or agent  
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  
☐ (5) Registered municipal advisor  
☐ (6) Accountant or accounting firm  
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Number and Street 1:  
127 PUBLIC SQUARE  
City: CLEVELAND  
State: Ohio  
Country: United States  
ZIP+4/Postal Code: 44122

If this address is a private residence, check this box: 

Telephone Number: 216-263-8090

Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

121710

How many employees perform investment advisory functions from this office location?  
16

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)  
☐ (2) Bank (including a separately identifiable department or division of a bank)  
☐ (3) Insurance broker or agent  
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(5) Registered municipal advisor
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<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>53 STATE STREET</td>
<td>SUITE 2900</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>BOSTON</td>
<td>Massachusetts</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>02109</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: 

Telephone Number: 617-788-3700
Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121711

How many employees perform investment advisory functions from this office location?
32

Are other business activities conducted at this office location? (check all that apply)

- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>101 EAST KENNEDY BOULEVARD</td>
<td>32ND FLOOR</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>TAMPA</td>
<td>Florida</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>33602</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: 

Telephone Number: 813-314-3300
Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121712

How many employees perform investment advisory functions from this office location?
22

Are other business activities conducted at this office location? (check all that apply)
Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section I.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1999 AVENUE OF THE STARS</td>
<td>SUITE 2150</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>LOS ANGELES</td>
<td>California</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td>United States</td>
<td>90067</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: □

Telephone Number: 310-286-6000
Facsimile Number, if any: 310-286-6000

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121702

How many employees perform investment advisory functions from this office location?
62

Are other business activities conducted at this office location? (check all that apply)

☑ (1) Broker-dealer (registered or unregistered)
☑ (2) Bank (including a separately identifiable department or division of a bank)
☑ (3) Insurance broker or agent
☑ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☑ (5) Registered municipal advisor
☑ (6) Accountant or accounting firm
☑ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section I.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>777 SOUTH FLAGLER DRIVE</td>
<td>SUITE 1601</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>WEST PALM BEACH</td>
<td>Florida</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td>United States</td>
<td>33401</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: □

Telephone Number: 561-820-2100
Facsimile Number, if any: 561-820-2121

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 121703
How many employees perform investment advisory functions from this office location?

20

Are other business activities conducted at this office location? (check all that apply)

☑ (1) Broker-dealer (registered or unregistered)
☑ (2) Bank (including a separately identifiable department or division of a bank)

☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>161 BAY STREET</td>
<td>27TH FLOOR</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>TORONTO</td>
<td>Country:</td>
</tr>
<tr>
<td></td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>Canada</td>
</tr>
<tr>
<td></td>
<td>MSJ 2S1</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☑

Telephone Number: 416-572-2534

Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?

5

Are other business activities conducted at this office location? (check all that apply)

☑ (1) Broker-dealer (registered or unregistered)
☑ (2) Bank (including a separately identifiable department or division of a bank)

☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-4, RUE EUGENE RUPPERT</td>
<td>L-2453</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>LUXEMBOURG</td>
<td>Country:</td>
</tr>
<tr>
<td></td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>Luxembourg</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☑

Telephone Number: 95246396320

Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:
Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?
41

Are other business activities conducted at this office location? (check all that apply)

- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: 1735 MARKET STREET
Number and Street 2: SUITE 3800
City: PHILADELPHIA
State: Pennsylvania
Country: United States
ZIP+4/Postal Code: 19103

If this address is a private residence, check this box: □

Telephone Number: 215-430-5600
Facsimile Number, if any:

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:
121713

How many employees perform investment advisory functions from this office location?
22

Are other business activities conducted at this office location? (check all that apply)

- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: 1225 17TH STREET
Number and Street 2: SUITE 2900
City: DENVER
State: Colorado
Country: United States
ZIP+4/Postal Code: 80202

If this address is a private residence, check this box: □

Telephone Number: Facsimile Number, if any:
If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

202519

How many employees perform investment advisory functions from this office location?

18

Are other business activities conducted at this office location? (check all that apply)

☑ (1) Broker-dealer (registered or unregistered)
☑ (2) Bank (including a separately identifiable department or division of a bank)
☑ (3) Insurance broker or agent
☑ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☑ (5) Registered municipal advisor
☑ (6) Accountant or accounting firm
☑ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:
4385 EXECUTIVE DRIVE SUITE 700
City: State: Country: ZIP+4/Postal Code:
SAN DIEGO California United States 92121

If this address is a private residence, check this box: □

Telephone Number: Facsimile Number, if any:
858-812-2200

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

210273

How many employees perform investment advisory functions from this office location?

15

Are other business activities conducted at this office location? (check all that apply)

☑ (1) Broker-dealer (registered or unregistered)
☑ (2) Bank (including a separately identifiable department or division of a bank)
☑ (3) Insurance broker or agent
☑ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☑ (5) Registered municipal advisor
☑ (6) Accountant or accounting firm
☑ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:
3475 PIEDMONT ROAD NE SUITE 1900
City: State: Country: ZIP+4/Postal Code:
ATLANTA Georgia United States 30305
Complete the following information for each office, other than your primary office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>601 LEXINGTON AVE</td>
<td>17TH FLOOR</td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>NEW YORK</td>
<td>New York</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
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<tr>
<td></td>
<td>United States</td>
</tr>
<tr>
<td></td>
<td>10022</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

Telephone Number: 212-693-8823  
Facsimile Number, if any:  

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:  

How many employees perform investment advisory functions from this office location? 4

Are other business activities conducted at this office location? (check all that apply)
- ✔ (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:
FORM ADV
UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

If this address is a private residence, check this box: □

Telephone Number: 612-9255-1200
Facsimile Number, if any: 612-9247-9766

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?
24

Are other business activities conducted at this office location? (check all that apply)
□ (1) Broker-dealer (registered or unregistered)
□ (2) Bank (including a separately identifiable department or division of a bank)
□ (3) Insurance broker or agent
□ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
□ (5) Registered municipal advisor
□ (6) Accountant or accounting firm
□ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1: MARUNOUCHI TRUST TOWER MAIN 17F
City: TOKYO
State: Japan
Country: Japan
ZIP+4/Postal Code: 100-0005

If this address is a private residence, check this box: □

Telephone Number: 81-3-5962-9000
Facsimile Number, if any: 81-3-3240-8534

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location?
37

Are other business activities conducted at this office location? (check all that apply)
□ (1) Broker-dealer (registered or unregistered)
□ (2) Bank (including a separately identifiable department or division of a bank)
□ (3) Insurance broker or agent
□ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
□ (5) Registered municipal advisor
□ (6) Accountant or accounting firm
□ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).
If this address is a private residence, check this box: [ ]

Telephone Number: 612-758-5000
Facsimile Number, if any: 612-342-2149

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: 200086

How many employees perform investment advisory functions from this office location?

17

Are other business activities conducted at this office location? (check all that apply)

☐ (1) Broker-dealer (registered or unregistered)
☐ (2) Bank (including a separately identifiable department or division of a bank)
☐ (3) Insurance broker or agent
☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (5) Registered municipal advisor
☐ (6) Accountant or accounting firm
☐ (7) Lawyer or law firm

Describe any other investment-related business activities conducted from this office location:

SECTION 1.I. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.I. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.YOUTUBE.COM/USER/ALLIANCEBERNSTEINLP

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.YOUTUBE.COM/CHANNEL/UCJZCOPQDZRXHXM6OBUJ44ZQ

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://TWITTER.COM/BERNSTEINPWM

Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.BERNSTEIN.COM

Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.ALLIANCEBERNSTEIN.COM

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.FACEBOOK.COM/ABINSIGHTS?REF=TS

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.LINKEDIN.COM/COMPANY/ABGLOBAL

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.INSTAGRAM.COM/ALLIANCEBERNSTEIN

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.LINKEDIN.COM/COMPANY/BERNSTEIN-GLOBAL-WEALTH-MANAGEMENT/
SECTION 1.L. Location of Books and Records

Complete the following information for each location at which you keep your books and records, other than your principal office and place of business. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

Number and Street 1: Number and Street 2:
225 SOUTH SIXTH STREET SUITE 2500

City: City:
MINNEAPOLIS MINNEAPOLIS

State: State:
Minnesota Minnesota

Country: Country:
United States United States

ZIP+4/Postal Code: ZIP+4/Postal Code:
55402 55402

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
612-758-5000 612-342-2149

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
FORM ADV
UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN AUSTRALIA LIMITED

Number and Street 1: 88 PHILLIP STREET
City: SYDNEY
State: Australia
Country: Australia
ZIP+4/Postal Code: NSW 2000

Telephone Number: 61-2-92551200
Facsimile number, if any: 61-2-92479766

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 8000 1H 10 WEST
City: SAN ANTONIO
State: Texas
Country: United States
ZIP+4/Postal Code: 78230

Telephone Number: 210-384-6000
Facsimile number, if any: 210-384-6101

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 4365 EXECUTIVE DRIVE
City: SAN DIEGO
State: California
Country: United States
ZIP+4/Postal Code: 92121

Telephone Number: 858-812-2200
Facsimile number, if any: 858-812-2244

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
FORM ADV
UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Primary Name of entity where books and records are kept:
HAYS INFORMATION MANAGEMENT

Number and Street 1: QUADRANT HOUSE 15/16 STOCKWELL GREEN City: LONDON
Number and Street 2: State: Country: ZIP+4/Postal Code: United Kingdom SW9 9JJ

If this address is a private residence, check this box: ☑

Telephone Number: 020-7540-2300 Facsimile number, if any:

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN JAPAN LTD.

Number and Street 1: MARUNOUCHI TRUST TOWER, MAIN 17F City: TOKYO
Number and Street 2: 1-8-3 MARUNOUCHI, CHIYODA-KU State: Country: ZIP+4/Postal Code: Japan 100-0005

If this address is a private residence, check this box: ☑

Telephone Number: 81-3-5962-9000 Facsimile number, if any: 81-3-3240-8534

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN HONG KONG LIMITED

Number and Street 1: 1 HARBOUR VIEW STREET, CENTRAL City: CENTRAL
Number and Street 2: SUITE 3401 State: Country: ZIP+4/Postal Code: Hong Kong

If this address is a private residence, check this box: ☑

Telephone Number: 852-2918-7888 Facsimile number, if any: 852-2918-0200

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
Name of entity where books and records are kept: ALLIANCEBERNSTEIN CANADA, INC.

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>161 BAY STREET</td>
<td>27TH FLOOR</td>
</tr>
<tr>
<td>City: TORONTO</td>
<td>State:</td>
</tr>
<tr>
<td></td>
<td>Country: Canada</td>
</tr>
<tr>
<td></td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>L4K 4L5</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

Telephone Number: 416-572-2534

This is (check one):
- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>150 4TH AVENUE NORTH</td>
<td></td>
</tr>
<tr>
<td>City: NASHVILLE</td>
<td>State: Tennessee</td>
</tr>
<tr>
<td></td>
<td>Country: United States</td>
</tr>
<tr>
<td></td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>37219</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

Telephone Number: 2129691000

This is (check one):
- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: IRON MOUNTAIN TORONTO

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>70 TALMAN COURT</td>
<td></td>
</tr>
<tr>
<td>City: CONCORD</td>
<td>State: Canada</td>
</tr>
<tr>
<td></td>
<td>ZIP+4/Postal Code:</td>
</tr>
<tr>
<td></td>
<td>L4K 4L5</td>
</tr>
</tbody>
</table>
Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  
227 WEST MONROE STREET

City:  
CHICAGO

This is (check one):  
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

If this address is a private residence, check this box: ☐

Telephone Number:  
312-696-7800

Facsimile number, if any:
312-357-1197

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORD MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  
1225 17TH STREET

City:  
DENVER

This is (check one):  
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

If this address is a private residence, check this box: ☐

Telephone Number:  
303-292-7400

Facsimile number, if any:
303-292-7575

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  
53 STATE STREET

City:  
New York

This is (check one):  
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

If this address is a private residence, check this box: ☐

Telephone Number:  
212-517-2730

Facsimile number, if any:
212-517-2747

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Number and Street 1: 3475 PIEDMONT ROAD, NE
City: ATLANTA
State: Georgia
Country: United States
ZIP+4/Postal Code: 30305

Number and Street 2: SUITE 1900

If this address is a private residence, check this box: ☐

Telephone Number: 404-279-4900
Facsimile number, if any: 404-279-4850

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN LTD

Number and Street 1: 50 BERKELEY STREET
City: LONDON
State: United Kingdom
Country: United Kingdom
ZIP+4/Postal Code: W1J 8HA

If this address is a private residence, check this box: ☐

Telephone Number: 44-20-7470-0100
Facsimile number, if any: 44-20-7470-0100

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

Number and Street 1: 101 EAST KENNEDY BOULEVARD
City: TAMPA
State: Florida
Country: United States
ZIP+4/Postal Code: 33602

If this address is a private residence, check this box: ☐

Telephone Number: 813-314-3300
Facsimile number, if any: 813-314-3400

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  Number and Street 2:
555 CALIFORNIA STREET SUITE 4400
City: State: Country: ZIP+4/Postal Code:
SAN FRANCISCO California United States 94104

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
415-217-8000 415-217-8111

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  Number and Street 2:
601 UNION STREET SUITE 4650
City: State: Country: ZIP+4/Postal Code:
SEATTLE Washington United States 98101

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
206-342-1300 206-342-1300

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1:  Number and Street 2:
1000 LOUISIANA STREET SUITE 3600
City: State: Country: ZIP+4/Postal Code:
HOUSTON Texas United States 77002

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of entity where books and records are kept:
IRON MOUNTAIN

Number and Street 1: 1 FEDERAL STREET
City: BOSTON
State: Massachusetts
Country: United States
ZIP+4/Postal Code: 02110

If this address is a private residence, check this box: ☐

Telephone Number: 800-899-4766
Facsimile number, if any:

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 53 STATE STREET
City: BOSTON
State: Massachusetts
Country: United States
ZIP+4/Postal Code: 02110

If this address is a private residence, check this box: ☐

Telephone Number: 617-788-3700
Facsimile number, if any: 617-788-3800

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: ONE NORTH LEXINGTON AVENUE
City: WHITE PLAINS
State: New York
Country: United States
ZIP+4/Postal Code: 10601

If this address is a private residence, check this box: ☐

Telephone Number: 914-993-2300
Facsimile number, if any: 914-993-2660

This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
INVESTMENT ADVISORY.
CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.
Number and Street 1: 53 STATE STREET
Number and Street 2: SUITE 2900
City: BOSTON
State: Massachusetts
Country: United States
ZIP+4/Postal Code: 02109
Telephone Number: 617-788-3700
Facsimile number, if any: 617-788-3800
This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.
Number and Street 1: ONE NORTH LEXINGTON AVENUE
Number and Street 2: FLOOR 17
City: WHITE PLAINS
State: New York
Country: United States
ZIP+4/Postal Code: 10601
Telephone Number: 914-993-2300
Facsimile number, if any: 914-993-2660
This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: DATALOK
Number and Street 1: 4881 W. 145TH STREET
Number and Street 2: 
City: HAWTHORNE
State: California
Country: United States
ZIP+4/Postal Code: 90250
Telephone Number: 310-973-6091
Facsimile number, if any: 
This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
Briefly describe the books and records kept at this location.
RECORDS OF ALLIANCEBERNSTEIN L.P.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN (SINGAPORE) LTD.
Number and Street 1: #27-11, SOUTH TOWER
Number and Street 2: 
City: SINGAPORE
State: Singapore
Country: Singapore
ZIP+4/Postal Code: 048583
Telephone Number: 65-230-4600
Facsimile number, if any: 65-535-2766
This is (check one):
☐ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.
Number and Street 1: 777 SOUTH FLAGLER DRIVE
Number and Street 2: SUITE 1601
City: WEST PALM BEACH
State: Florida
Country: United States
ZIP+4/Postal Code: 33401
Telephone Number: 
Facsimile number, if any:
<table>
<thead>
<tr>
<th>Name of entity where books and records are kept:</th>
<th>CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WANBISHI ARCHIVES CO., LTD</strong></td>
<td></td>
</tr>
<tr>
<td>Number and Street 1:</td>
<td>4-1-28 TORANOMON</td>
</tr>
<tr>
<td>City:</td>
<td>TOKYO</td>
</tr>
<tr>
<td>State:</td>
<td>MINATO-KU</td>
</tr>
<tr>
<td>Country:</td>
<td>Japan</td>
</tr>
<tr>
<td>ZIP+4/Postal Code:</td>
<td>105-0001</td>
</tr>
<tr>
<td>Telephone Number:</td>
<td>81-35-425-5100</td>
</tr>
<tr>
<td>Facsimile number, if any:</td>
<td>81-35-425-5035</td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

This is (check one):
- ☐ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

<table>
<thead>
<tr>
<th>Name of entity where books and records are kept:</th>
<th>CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PICKFORDS RECORDS MANAGEMENT</strong></td>
<td></td>
</tr>
<tr>
<td>Number and Street 1:</td>
<td>345 SOUTHBURY ROAD</td>
</tr>
<tr>
<td>City:</td>
<td>MIDDLESEX</td>
</tr>
<tr>
<td>State:</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>Country:</td>
<td></td>
</tr>
<tr>
<td>ZIP+4/Postal Code:</td>
<td>EN1 1UP</td>
</tr>
<tr>
<td>Telephone Number:</td>
<td>020-8219-8000</td>
</tr>
<tr>
<td>Facsimile number, if any:</td>
<td></td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

This is (check one):
- ☐ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

<table>
<thead>
<tr>
<th>Name of entity where books and records are kept:</th>
<th>CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ALLIANCEBERNSTEIN L.P.</strong></td>
<td></td>
</tr>
<tr>
<td>Number and Street 1:</td>
<td>345 SOUTHBURY ROAD</td>
</tr>
<tr>
<td>City:</td>
<td>WHITE PLAINS</td>
</tr>
<tr>
<td>State:</td>
<td>New York</td>
</tr>
<tr>
<td>Country:</td>
<td></td>
</tr>
<tr>
<td>ZIP+4/Postal Code:</td>
<td>10601</td>
</tr>
<tr>
<td>Telephone Number:</td>
<td>617-788-3700</td>
</tr>
<tr>
<td>Facsimile number, if any:</td>
<td></td>
</tr>
</tbody>
</table>

If this address is a private residence, check this box: ☐

This is (check one):
- ☐ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.

CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

This is (check one):
- one of your branch offices or affiliates.
- a third-party unaffiliated recordkeeper.
- other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 127 PUBLIC SQUARE Number and Street 2: SUITE 5000

If this address is a private residence, check this box: ☐

Telephone Number: 216-283-8090

This is (check one):
- one of your branch offices or affiliates.
- a third-party unaffiliated recordkeeper.
- other.

Facsimile number, if any:

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 1735 MARKET STREET Number and Street 2: SUITE 3800

If this address is a private residence, check this box: ☐

Telephone Number: 215-430-5600

This is (check one):
- one of your branch offices or affiliates.
- a third-party unaffiliated recordkeeper.
- other.

Facsimile number, if any:

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept:
ALLIANCEBERNSTEIN L.P.

Number and Street 1: 2000 MCKINNEY AVENUE Number and Street 2: SUITE 2100
City: DALLAS State: Texas Country: United States ZIP+4/Postal Code: 75201

If this address is a private residence, check this box: ☐

Telephone Number: 214-860-5200

This is (check one):
- one of your branch offices or affiliates.
- a third-party unaffiliated recordkeeper.
- other.

Facsimile number, if any:

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.
INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

Number and Street 1: 701 BRICKELL AVENUE
City: MIAMI
State: Florida
ZIP+4/Postal Code: 33131

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

Number and Street 1: 1999 AVENUE OF THE STARS, SUITE 2150
City: LOS ANGELES
State: California
ZIP+4/Postal Code: 90067

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT.

Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P.

Number and Street 1: 800 CONNECTICUT AVENUE, NW
City: WASHINGTON
State: District of Columbia
ZIP+4/Postal Code: 20006

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.
SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

No Information Filed

Item 2 SEC Registration/Reporting

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2.A. only if you are applying for SEC registration or submitting an annual updating amendment to your SEC registration. If you are filing an umbrella registration, the information in Item 2 should be provided for the filing adviser only.

A. To register (or remain registered) with the SEC, you must check at least one of the Items 2.A.(1) through 2.A.(12), below. If you are submitting an annual updating amendment to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A.(13). Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items.

You (the adviser):

☐ (1) are a **large advisory firm** that either:
   - (a) has regulatory assets under management of $100 million (in U.S. dollars) or more; or
   - (b) has regulatory assets under management of $90 million (in U.S. dollars) or more at the time of filing its most recent annual updating amendment and is registered with the SEC;

☐ (2) are a **mid-sized advisory firm** that has regulatory assets under management of $25 million (in U.S. dollars) or more but less than $100 million (in U.S. dollars) and you are either:
   - (a) not required to be registered as an adviser with the state securities authority of the state where you maintain your principal office and place of business; or
   - (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business;

   Click **HERE** for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.

☐ (3) Reserved

☐ (4) have your principal office and place of business outside the United States;

☐ (5) are an investment adviser (or subadviser) to an investment company registered under the Investment Company Act of 1940;

☐ (6) are an investment adviser to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least $25 million of regulatory assets under management;

☐ (7) are a pension consultant with respect to assets of plans having an aggregate value of at least $200,000,000 that qualifies for the exemption in rule 203A-2(a);

☐ (8) are a related adviser under rule 203A-2(b) that controls, is controlled by, or is under common control with, an investment adviser that is registered with the SEC, and your principal office and place of business is the same as the registered adviser;

*If you check this box, complete Section 2.A.(8) of Schedule D.*
(9) are an adviser relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days;
   If you check this box, complete Section 2.A.(9) of Schedule D.

(10) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
   If you check this box, complete Section 2.A.(10) of Schedule D.

(11) are an Internet adviser relying on rule 203A-2(e);

(12) have received an SEC order exempting you from the prohibition against registration with the SEC;
   If you check this box, complete Section 2.A.(12) of Schedule D.

(13) are no longer eligible to remain registered with the SEC.

State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers

Under state laws, SEC-registered advisers may be required to provide to state securities authorities a copy of the Form ADV and any amendments they file with the SEC. These are called notice filings. In addition, exempt reporting advisers may be required to provide state securities authorities with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your notice filings or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your notice filings or reports from going to state(s) that currently receive them, uncheck the box(es) next to those state(s).

Jurisdictions

- AL
- AK
- AZ
- AR
- CA
- CO
- CT
- DE
- DC
- FL
- GA
- GU
- HI
- ID
- IL
- IN
- IA
- KS
- KY
- LA
- ME
- MD
- MA
- MI
- MN
- MS
- MO
- MT
- NE
- NV
- NH
- NJ
- NM
- NY
- NC
- ND
- OH
- OK
- OR
- PA
- PR
- RI
- SC
- SD
- TN
- NV
- TX
- UT
- VT
- VI
- VA
- WA
- WV
- WI
- WY

If you are amending your registration to stop your notice filings or reports from going to a state that currently receives them and you do not want to pay that state's notice filing or report filing fee for the coming year, your amendment must be filed before the end of the year (December 31).

SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you control, are controlled by, or are under common control with an investment adviser that is registered with the SEC and your principal office and place of business is the same as that of the registered adviser, provide the following information:

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser

SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days

If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:

- I am not registered or required to be registered with the SEC or a state securities authority and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.

- I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.

SECTION 2.A.(10) Multi-State Adviser
If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.

If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:

☐ I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the state securities authorities in those states.

☐ I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the state securities authorities of those states.

If you are submitting your annual updating amendment, you must make this representation:

☐ Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the state securities authorities in those states.

SECTION 2.A.(12) SEC Exemptive Order

If you are relying upon an SEC order exempting you from the prohibition on registration, provide the following information:

Application Number:
803-

Date of order:

Item 3 Form of Organization

If you are filing an umbrella registration, the information in Item 3 should be provided for the filing adviser only.

A. How are you organized?
- Corporation
- Sole Proprietorship
- Limited Liability Partnership (LLP)
- Partnership
- Limited Liability Company (LLC)
- Limited Partnership (LP)
- Other (specify):

If you are changing your response to this Item, see Part 1A Instruction 4.

B. In what month does your fiscal year end each year?
DECEMBER

C. Under the laws of what state or country are you organized?
State Country
Delaware United States

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.

If you are changing your response to this Item, see Part 1A Instruction 4.

Item 4 Successions

A. Are you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your structure or legal status (e.g., form of organization or state of incorporation)?

If "yes", complete Item 4.B. and Section 4 of Schedule D.

B. Date of Succession: (MM/DD/YYYY)

If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4.
Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

Responses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5.

Employees

If you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

A. Approximately how many employees do you have? Include full- and part-time employees but do not include any clerical workers.
   3691

B. (1) Approximately how many of the employees reported in 5.A. perform investment advisory functions (including research)?
   2243

   (2) Approximately how many of the employees reported in 5.A. are registered representatives of a broker-dealer?
   1178

   (3) Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives?
   400

   (4) Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser representatives for an investment adviser other than you?
   0

   (5) Approximately how many of the employees reported in 5.A. are licensed agents of an insurance company or agency?
   38

   (6) Approximately how many firms or other persons solicit advisory clients on your behalf?
   30

In your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.

Clients

In your responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

C. (1) To approximately how many clients for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?
   10

   (2) Approximately what percentage of your clients are non-United States persons?
   3%

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.

   The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (d)(1) or (d)(3) below.

Indicate the approximate number of your clients and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of client. If you have fewer than 5 clients in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a client fits into more than one category, select one category that most accurately represents the client to avoid double counting clients and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

<table>
<thead>
<tr>
<th>Type of Client</th>
<th>(1) Number of Client(s)</th>
<th>(2) Fewer than 5 Clients</th>
<th>(3) Amount of Regulatory Assets under Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Individuals (other than high net worth individuals)</td>
<td>0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>(b) High net worth individuals</td>
<td>19340</td>
<td></td>
<td>$36,177,792,819</td>
</tr>
<tr>
<td>(c) Banking or thrift institutions</td>
<td>0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>(d) Investment companies</td>
<td>110</td>
<td></td>
<td>$106,201,344,496</td>
</tr>
<tr>
<td>(e) Business development companies</td>
<td>1</td>
<td></td>
<td>$189,787,196</td>
</tr>
<tr>
<td>Item</td>
<td>Description</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>------</td>
<td>-------------</td>
<td>-----</td>
<td>----</td>
</tr>
<tr>
<td>f.</td>
<td>Pooled investment vehicles (other than investment companies and business development companies)</td>
<td>373</td>
<td>$ 162,164,684,326</td>
</tr>
<tr>
<td>g.</td>
<td>Pension and profit sharing plans (but not the plan participants or government pension plans)</td>
<td>791</td>
<td>$ 19,998,291,023</td>
</tr>
<tr>
<td>h.</td>
<td>Charitable organizations</td>
<td>1096</td>
<td>$ 5,318,572,317</td>
</tr>
<tr>
<td>i.</td>
<td>State or municipal government entities (including government pension plans)</td>
<td>56</td>
<td>$ 47,494,191,738</td>
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<tr>
<td>j.</td>
<td>Other investment advisers</td>
<td>72</td>
<td>$ 37,298,457,627</td>
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<tr>
<td>k.</td>
<td>Insurance companies</td>
<td>71</td>
<td>$ 152,503,988,086</td>
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<tr>
<td>l.</td>
<td>Sovereign wealth funds and foreign official institutions</td>
<td>16</td>
<td>$ 11,276,832,695</td>
</tr>
<tr>
<td>m.</td>
<td>Corporations or other businesses not listed above</td>
<td>1001</td>
<td>$ 7,338,975,912</td>
</tr>
<tr>
<td>n.</td>
<td>Other:</td>
<td>0</td>
<td>$ 0</td>
</tr>
</tbody>
</table>

**Compensation Arrangements**

E. You are compensated for your investment advisory services by (check all that apply):

- [ ] (1) A percentage of assets under your management
- [ ] (2) Hourly charges
- [ ] (3) Subscription fees (for a newsletter or periodical)
- [ ] (4) Fixed fees (other than subscription fees)
- [ ] (5) Commissions
- [ ] (6) Performance-based fees
- [ ] (7) Other (specify):

**Item 5 Information About Your Advisory Business - Regulatory Assets Under Management**

**Regulatory Assets Under Management**

<table>
<thead>
<tr>
<th>U.S. Dollar Amount</th>
<th>Total Number of Accounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discretionary:</td>
<td>(a) $ 566,320,024,005</td>
</tr>
<tr>
<td></td>
<td>(d) 43,855</td>
</tr>
<tr>
<td>Non-Discretionary:</td>
<td>(b) $ 19,642,858,230</td>
</tr>
<tr>
<td></td>
<td>(e) 64</td>
</tr>
<tr>
<td>Total:</td>
<td>(c) $ 585,962,882,235</td>
</tr>
<tr>
<td></td>
<td>(f) 43,919</td>
</tr>
</tbody>
</table>

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

- (3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to clients who are non-United States persons?
  - $ 214,882,195,093

**Item 5 Information About Your Advisory Business - Advisory Activities**

**Advisory Activities**

G. What type(s) of advisory services do you provide? Check all that apply.

- [ ] (1) Financial planning services
- [ ] (2) Portfolio management for individuals and/or small businesses
- [ ] (3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940)
- [ ] (4) Portfolio management for pooled investment vehicles (other than investment companies)
- [ ] (5) Portfolio management for businesses (other than small businesses) or institutional clients (other than registered investment companies and other pooled investment vehicles)
- [ ] (6) Pension consulting services
- [ ] (7) Selection of other advisers (including private fund managers)
- [ ] (8) Publication of periodicals or newsletters
- [ ] (9) Security ratings or pricing services
- [ ] (10) Market timing services
- [ ] (11) Educational seminars/workshops
- [ ] (12) Other (specify): ASSET ALLOCATION

*Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D.*

H. If you provide financial planning services, to how many clients did you provide these services during your last fiscal year?

- [ ] 0
- [ ] 1 - 10
- [ ] 11 - 25
In your responses to this Item H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

I. (1) Do you participate in a wrap fee program? 
   Yes No
   
   (2) If you participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting as:
   
   (a) sponsor to a wrap fee program
   $ 0
   
   (b) portfolio manager for a wrap fee program?
   $ 18,500,542,511
   
   (c) sponsor to and portfolio manager for the same wrap fee program?
   $ 0

   If you report an amount in Item I.(2)(c), do not report that amount in Item I.(2)(a) or Item I.(2)(b).

   If you are a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in Section I.(2) of Schedule D.

   If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered through a wrap fee program, do not check Item I.(1) or enter any amounts in response to Item I.(2).

J. (1) In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments? 
   Yes No
   
   (2) Do you report client assets in Item 4.E. of Part 2A that are computed using a different method than the method used to compute your regulatory assets under management? 
   Yes No

K. Separately Managed Account Clients 

   (1) Do you have regulatory assets under management attributable to clients other than those listed in Item D.(3)(d)-(f) (separately managed account clients)?
   Yes No
   
   If yes, complete Section K.(1) of Schedule D.

   (2) Do you engage in borrowing transactions on behalf of any of the separately managed account clients that you advise? 
   Yes No
   
   If yes, complete Section K.(2) of Schedule D.

   (3) Do you engage in derivative transactions on behalf of any of the separately managed account clients that you advise? 
   Yes No
   
   If yes, complete Section K.(2) of Schedule D.

   (4) After subtracting the amounts in Item D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management? 
   Yes No
   
   If yes, complete Section K.(3) of Schedule D for each custodian.

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

If you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business development companies to which you act as an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each registered investment company and business development company to which you act as an adviser.

SEC File Number
811 - 00126

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed

SEC File Number
811 - 06554

SEC File Number
811 - 06730

SEC File Number
811 - 07391

SEC File Number
811 - 07618

SEC File Number
811 - 07707

Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

No Information Filed
Provide the regulatory assets under management of all parallel managed accounts related to a registered investment company (or series thereof) or business development company that you advise.

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<tr>
<th>SEC File Number</th>
<th>811 - 23100</th>
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</table>

<table>
<thead>
<tr>
<th>Name of Wrap Fee Program</th>
<th>ACCESS</th>
</tr>
</thead>
</table>

| Name of Sponsor | UBS          |

| Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): | - |

| Sponsor's CRD Number (if any): | No Information Filed |

<table>
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<tr>
<th>Name of Wrap Fee Program</th>
<th>CONSULTING AND EVALUATION SERVICES</th>
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</thead>
</table>

| Name of Sponsor | MORGAN STANLEY |

| Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): | - |

| Sponsor's CRD Number (if any): | No Information Filed |

<table>
<thead>
<tr>
<th>Name of Wrap Fee Program</th>
<th>FIDUCIARY SERVICES</th>
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</table>

| Name of Sponsor | CITIGROUP CAPITAL MARKETS |

| Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-): | - |

<p>| Sponsor's CRD Number (if any): | No Information Filed |</p>
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<tr>
<th>Name of Wrap Fee Program</th>
<th>Name of Sponsor</th>
<th>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</th>
<th>Sponsor's CRD Number (if any):</th>
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<tbody>
<tr>
<td>INVESTMENT ADVISORY PROGRAM</td>
<td>HUB24 CUSTODIAL SERVICES</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>INVESTMENT ADVISORY PROGRAM</td>
<td>MERRILL LYNCH/BANK OF AMERICA</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>MANAGED ACCOUNT ACCESS</td>
<td>CHARLES SCHWAB</td>
<td>-</td>
<td>-</td>
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<td>MANAGED ACCOUNT MARKETPLACE</td>
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### Name of Wrap Fee Program
MANAGED ACCOUNT PROGRAM

### Name of Sponsor

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<td>RBC WEALTH MANAGEMENT</td>
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- 

### Sponsor's CRD Number (if any):

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<td>WILMINGTON TRUST</td>
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<tbody>
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<td>Name of Sponsor</td>
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<tr>
<td>HILLIARD LYONS</td>
<td></td>
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<td>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</td>
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<td>Name of Sponsor</td>
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<td>LAFFER TENGLER</td>
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<tr>
<td>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</td>
<td></td>
</tr>
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</table>
INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of Sponsor
TRADEPMR

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):

Name of Wrap Fee Program
MANAGED ACCOUNT PROGRAM

Name of Sponsor
SMARTX

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):

Name of Wrap Fee Program
MANAGED ACCOUNT PROGRAM

Name of Sponsor
SAWTOOTH SOLUTIONS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):

Name of Wrap Fee Program
MANAGED ACCOUNT PROGRAM

Name of Sponsor
PRAEMIUM

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):

Name of Wrap Fee Program
MANAGED ACCOUNT PROGRAM

Name of Sponsor
PNC BANK

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any):
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<tr>
<td>Name of Sponsor</td>
<td>RW BAIRD</td>
</tr>
<tr>
<td>Sponsor's CRD Number</td>
<td></td>
</tr>
<tr>
<td>Sponsor's SEC File Number</td>
<td>801-, 8-, 866-, 802-</td>
</tr>
<tr>
<td>Sponsor's CRD Number</td>
<td></td>
</tr>
</tbody>
</table>
MANAGED ACCOUNT PROGRAM

Name of Sponsor
GREYCOURT

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any): 

Name of Wrap Fee Program
MANAGED ACCOUNT SELECT

Name of Sponsor
CHARLES SCHWAB

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any): 

Name of Wrap Fee Program
MANAGED ASSETS PROGRAM

Name of Sponsor
STEPHENS

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any): 

Name of Wrap Fee Program
MANAGER ACCESS NETWORK

Name of Sponsor
LPL FINANCIAL

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any): 

Name of Wrap Fee Program
MANAGER ACCESS SELECT

Name of Sponsor
LPL FINANCIAL

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
-

Sponsor's CRD Number (if any): 

Section 5.I.(2)
Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

Instruction 5.a.

J.

E.

B.

C.

Provide the regulatory assets under management of all company that you advise.

Number (if any): 38
Number (if any): 38
Number (if any): 1,739
Number (if any): 566,320,024,005
Number (if any): 37,298,457,627
Number (if any): 214,882,195,093
Number (if any): 152,503,988,086

WASHINGTON
ALLIANCEBERNSTEIN L.P.
Telephone Number: 206-664-1000
This is (check one): Office Location
If this address is a private residence, check this box:
If yes, complete:
If yes, complete:
If yes, complete:
If yes, complete:

One or more of the locations at which you maintain books and records to your SEC registration. If you are filing an
Number (if any):

INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of
Name of
Name of
Name of

SMARTX
FUNDQUEST
UBS
MANAGED ACCOUNT PROGRAM

Sponsor's
Sponsor's
Sponsor's
Sponsor's

SEC File Number
SEC File Number
SEC File Number
SEC File Number

Provide the regulatory assets under management of all company that you advise.

Number (if any): 811
Number (if any): 811
Number (if any): 38
Number (if any): 38
Number (if any): 1,739
Number (if any): 1,739
Number (if any): 566,320,024,005
Number (if any): 37,298,457,627
Number (if any): 214,882,195,093
Number (if any): 152,503,988,086

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If yes, complete:

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Number (if any):

INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of
Name of
Name of
Name of

SMARTX
FUNDQUEST
UBS
MANAGED ACCOUNT PROGRAM

Sponsor's
Sponsor's
Sponsor's
Sponsor's

SEC File Number
SEC File Number
SEC File Number
SEC File Number

Provide the regulatory assets under management of all company that you advise.

Number (if any): 811
Number (if any): 811
Number (if any): 38
Number (if any): 38
Number (if any): 1,739
Number (if any): 1,739
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If yes, complete:

One or more of the locations at which you maintain books and records to your SEC registration. If you are filing an
Number (if any):

INVESTMENT ADVISORY. CERTAIN OF REGISTRANT'S RECORDS ARE MAINTAINED IN IRON MOUNTAIN LOCATIONS ACROSS THE GLOBE.

Name of
Name of
Name of
Name of

SMARTX
FUNDQUEST
UBS
MANAGED ACCOUNT PROGRAM

Sponsor's
Sponsor's
Sponsor's
Sponsor's

SEC File Number
SEC File Number
SEC File Number
SEC File Number

Provide the regulatory assets under management of all company that you advise.

Number (if any): 811
Number (if any): 811
Number (if any): 38
Number (if any): 38
Number (if any): 1,739
Number (if any): 1,739
Number (if any): 566,320,024,005
Number (if any): 37,298,457,627
Number (if any): 214,882,195,093
Number (if any): 152,503,988,086

WASHINGTON
ALLIANCEBERNSTEIN L.P.
Telephone Number: 206-664-1000
This is (check one): Office Location
If this address is a private residence, check this box:
If yes, complete:
If yes, complete:
If yes, complete:
If yes, complete:

One or more of the locations at which you maintain books and records to your SEC registration. If you are filing an
Number (if any):
<table>
<thead>
<tr>
<th>Name of Wrap Fee Program</th>
<th>Name of Sponsor</th>
<th>Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</th>
<th>Sponsor's CRD Number (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>MANAGER SELECT</td>
<td>LPL FINANCIAL</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>OPPORTUNITY PROGRAM</td>
<td>STIFEL, NICOLAUS &amp; COMPANY</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>OUTSIDE MANAGER MANAGED ACCOUNT PROGRAM</td>
<td>RAYMOND JAMES</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>PERSHING ADVISOR SOLUTIONS</td>
<td>PERSHING</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>PERSONALIZED UMA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name of Wrap Fee Program</td>
<td>Name of Sponsor</td>
<td>Sponsor’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):</td>
<td>Sponsor’s CRD Number (if any):</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-----------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td>MANAGER ACCESS SELECT</td>
<td>LPL FINANCIAL</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>OPPORTUNITY PROGRAM</td>
<td>STIFEL, NICOLAUS &amp; COMPANY</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>OUTSIDE MANAGER MANAGED ACCOUNT PROGRAM</td>
<td>RAYMOND JAMES</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>PERSONALIZED UMA</td>
<td>WELLS FARGO</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>PRIVATE ADVISORS NETWORK</td>
<td>WELLS FARGO</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>SELECT UNIFIED MANAGEMENT ACCOUNT</td>
<td>MORGAN STANLEY</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>SEPARATE ACCOUNT NETWORK</td>
<td>FIDELITY</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>SPA</td>
<td>MERRILL LYNCH/BANK OF AMERICA</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>SEPARATE ACCOUNT NETWORK</td>
<td>FIDELITY</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>SPA</td>
<td>MERRILL LYNCH/BANK OF AMERICA</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>
## SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least $10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than $10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvice.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your annual updating amendment. Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers’ acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

<table>
<thead>
<tr>
<th>Asset Type</th>
<th>Mid-year</th>
<th>End of year</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i) Exchange-Traded Equity Securities</td>
<td>42 %</td>
<td>43 %</td>
</tr>
<tr>
<td>(ii) Non Exchange-Traded Equity Securities</td>
<td>0 %</td>
<td>0 %</td>
</tr>
</tbody>
</table>
Generally describe any assets included in "Other"

STRUCTURED DEBT PRODUCTS, LIKE MORTGAGE AND OTHER ASSET BACKED SECURITIES.

(b) Asset Type

<table>
<thead>
<tr>
<th>Asset Type</th>
<th>End of year</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i) Exchange-Traded Equity Securities</td>
<td>%</td>
</tr>
<tr>
<td>(ii) Non Exchange-Traded Equity Securities</td>
<td>%</td>
</tr>
<tr>
<td>(iii) U.S. Government/Agency Bonds</td>
<td>%</td>
</tr>
<tr>
<td>(iv) U.S. State and Local Bonds</td>
<td>%</td>
</tr>
<tr>
<td>(v) Sovereign Bonds</td>
<td>%</td>
</tr>
<tr>
<td>(vi) Investment Grade Corporate Bonds</td>
<td>%</td>
</tr>
<tr>
<td>(vii) Non-Investment Grade Corporate Bonds</td>
<td>%</td>
</tr>
<tr>
<td>(viii) Derivatives</td>
<td>%</td>
</tr>
<tr>
<td>(ix) Securities Issued by Registered Investment Companies or Business Development Companies</td>
<td>%</td>
</tr>
<tr>
<td>(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)</td>
<td>%</td>
</tr>
<tr>
<td>(xi) Cash and Cash Equivalents</td>
<td>%</td>
</tr>
<tr>
<td>(xii) Other</td>
<td>%</td>
</tr>
</tbody>
</table>

Generally describe any assets included in "Other"

SECTION 5.K.(2) Separately Managed Accounts - Use of Borrowings and Derivatives

No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least $10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least $500 million but less than $10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your annual updating amendment. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any borrowings and (b) the gross notional value of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

In column 3, provide aggregate gross notional value of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than $10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

(i) Mid-Year

<table>
<thead>
<tr>
<th>Gross Notional Exposure</th>
<th>(1) Regulatory Assets Under Management</th>
<th>(2) Borrowings</th>
<th>(3) Derivative Exposures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>(a) Interest Rate Derivative</td>
</tr>
<tr>
<td>Less than 10%</td>
<td>$ 211,698,476,521</td>
<td>$ 0</td>
<td>0.11 %</td>
</tr>
</tbody>
</table>
Optional: Use the space below to provide a narrative description of the strategies and/or manner in which borrowings and derivatives are used in the management of the separately managed accounts that you advise.

(ii) End of Year

<table>
<thead>
<tr>
<th>Gross Notional Exposure</th>
<th>(1) Regulatory Assets Under Management</th>
<th>(2) Borrowings</th>
<th>(3) Derivative Exposures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(a) Interest Rate Derivative</td>
<td>(b) Foreign Exchange Derivative</td>
<td>(c) Credit Derivative</td>
</tr>
<tr>
<td>Less than 10%</td>
<td>$229,025,258,857</td>
<td>$0</td>
<td>0.19 %</td>
</tr>
<tr>
<td>10-149%</td>
<td>$50,781,572,502</td>
<td>$0</td>
<td>16.92 %</td>
</tr>
<tr>
<td>150% or more</td>
<td>$7,410,584,854</td>
<td>$0</td>
<td>47.78 %</td>
</tr>
</tbody>
</table>

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which borrowings and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your annual updating amendment. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadviser.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any borrowings and (b) the gross notional value of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of borrowings for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than $10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

<table>
<thead>
<tr>
<th>Gross Notional Exposure</th>
<th>(1) Regulatory Assets Under Management</th>
<th>(2) Borrowings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 10%</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>10-149%</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>150% or more</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which borrowings and derivatives are used in the management of the separately managed accounts that you advise.

SECTION 5.K.(3) Custodians for Separately Managed Accounts

Complete a separate Schedule D Section 5.K.(3) for each custodian that holds ten percent or more of your aggregate separately managed account regulatory assets under management.

(a) Legal name of custodian:
SANDFORD C. BERNSTEIN & CO., LLC

(b) Primary business name of custodian:
SANDFORD C. BERNSTEIN & CO., LLC

(c) The location(s) of the custodian’s office(s) responsible for custody of the assets:
City: NEW YORK
State: New York
Country: United States

(d) Is the custodian a related person of your firm?
Yes ☒ No ☐

(e) If the custodian is a broker-dealer, provide its SEC registration number (if any)
8 - 52942

(f) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

(g) What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?
$44,404,199,494
Item 6 Other Business Activities

In this Item, we request information about your firm’s other business activities.

A. You are actively engaged in business as a (check all that apply):

☐ (1) broker-dealer (registered or unregistered)
☐ (2) registered representative of a broker-dealer
☐ (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
☐ (4) futures commission merchant
☐ (5) real estate broker, dealer, or agent
☐ (6) insurance broker or agent
☐ (7) bank (including a separately identifiable department or division of a bank)
☐ (8) trust company
☐ (9) registered municipal advisor
☐ (10) registered security-based swap dealer
☐ (11) major security-based swap participant
☐ (12) accountant or accounting firm
☐ (13) lawyer or law firm
☐ (14) other financial product salesperson (specify):

If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.

B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?

☐ (2) If yes, is this other business your primary business?

If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.

(3) Do you sell products or provide services other than investment advice to your advisory clients?

If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.

SECTION 6.A. Names of Your Other Businesses

No Information Filed

SECTION 6.B.(2) Description of Primary Business

Describe your primary business (not your investment advisory business):

If you engage in that business under a different name, provide that name:

SECTION 6.B.(3) Description of Other Products and Services

Describe other products or services you sell to your client. You may omit products and services that you listed in Section 6.B.(2) above.
Item 7 Financial Industry Affiliations

In this item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur between you and your clients.

A. This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of your advisory affiliates and any person that is under common control with you.

You have a related person that is a (check all that apply):

- (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)
- (2) other investment adviser (including financial planners)
- (3) registered municipal advisor
- (4) registered security-based swap dealer
- (5) major security-based swap participant
- (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (7) futures commission merchant
- (8) banking or thrift institution
- (9) trust company
- (10) accountant or accounting firm
- (11) lawyer or law firm
- (12) insurance company or agency
- (13) pension consultant
- (14) real estate broker or dealer
- (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representatives of a broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of your firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).

Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to complete Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

SECTION 7.A. Financial Industry Affiliations

Complete a separate Schedule D Section 7.A. for each related person listed in Item 7.A.

1. Legal Name of Related Person:
   ALLIANCEBERNSTEIN AUSTRALIA LIMITED

2. Primary Business Name of Related Person:
   ALLIANCEBERNSTEIN AUSTRALIA LIMITED

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or
   Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):
   No Information Filed

5. Related Person is: (check all that apply)
   (a) Broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) Other investment adviser (including financial planners)
6. Do you control or are you controlled by the related person?

Yes  No

7. Are you and the related person under common control?

Yes  No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes  No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

Yes  No

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1: ____________________________  Number and Street 2: ____________________________  City: ____________________________  State: ____________________________  Country: ____________________________  ZIP+4/Postal Code: ____________________________

If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?

Yes  No

(b) If the answer is yes, under what exemption?

DOES NOT PROVIDE SERVICES IN US.

10. (a) Is the related person registered with a foreign financial regulatory authority?

Yes  No

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Australia - Australian Securities and Investments Commission

11. Do you and the related person share any supervised persons?

Yes  No

12. Do you and the related person share the same physical location?

Yes  No

1. Legal Name of Related Person:

SANFORD C. BERNSTEIN (HONG KONG) LIMITED

2. Primary Business Name of Related Person:

SANFORD C. BERNSTEIN (HONG KONG) LIMITED

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-  

or  

Other

4. Related Person's

(a) CRD Number (if any):  

(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer

(b) ☐ other investment adviser (including financial planners)

(c) ☐ registered municipal advisor  

(d) ☐ registered security-based swap dealer

(e) ☐ major security-based swap participant

(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
### Item 6. Do you control or are you controlled by the related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

### Item 7. Are you and the related person under common control?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

### Item 8. Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

#### (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

#### (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

#### (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

- **Number and Street 1:**
- **City:**
- **State:**
- **ZIP+4/Postal Code:**

If this address is a private residence, check this box:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

### Item 9. If the related person is an investment adviser, is it exempt from registration?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

#### (a) If the answer is yes, under what exemption?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

### Item 10. Is the related person registered with a foreign financial regulatory authority?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

#### (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hong Kong - Securities and Futures Commission</td>
</tr>
</tbody>
</table>

### Item 11. Do you and the related person share any supervised persons?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

### Item 12. Do you and the related person share the same physical location?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

---

**1. Legal Name of Related Person:**

ALLIANCEBERNSTEIN HONG KONG LIMITED

**2. Primary Business Name of Related Person:**

ALLIANCEBERNSTEIN HONG KONG LIMITED

**3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)**

- -

**4. Related Person’s**

**(a) CRD Number (if any):**

**(b) CIK Number(s) (if any):**

No Information Filed

**5. Related Person is: (check all that apply)**

**(a) broker-dealer, municipal securities dealer, or government securities broker or dealer**

**(b) registered investment adviser (including financial planners)**

**(c) registered municipal advisor**

**(d) registered security-based swap dealer**

**(e) major security-based swap participant**

**(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)**

**(g) futures commission merchant**

**(h) banking or thrift institution**

**(i) trust company**

**(j) accountant or accounting firm**

**(k) lawyer or law firm**
6. Do you control or are you controlled by the related person?  
   Yes □  No □  

7. Are you and the related person under common control?  
   Yes □  No □  

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?  
   Yes □  No □  

(b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?  
   Yes □  No □  

(c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:  
   Number and Street 1:  
   City:  
   State:  
   Country:  
   ZIP+4/Postal Code:  
   Yes □  No □  

9. (a) If the related person is an investment adviser, is it exempt from registration?  
   Yes □  No □  

(b) If the answer is yes, under what exemption?  
   DOES NOT PROVIDE SERVICES IN US.  

10. (a) Is the related person registered with a foreign financial regulatory authority?  
    Yes □  No □  

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  

   Name of Country/English Name of Foreign Financial Regulatory Authority  
   Hong Kong - Securities and Futures Commission  

11. Do you and the related person share any supervised persons?  
    Yes □  No □  

12. Do you and the related person share the same physical location?  
    Yes □  No □  

---

1. Legal Name of Related Person:  
   PLANMEMBER SECURITIES CORPORATION  

2. Primary Business Name of Related Person:  
   PLANMEMBER SECURITIES CORPORATION  

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
   801 - 39177  
   or  
   Other  

4. Related Person’s  
   (a) CRD Number (if any):  
      11869  
   (b) CIK Number(s) (if any):  
      No Information Filed  

5. Related Person is: (check all that apply)  
   (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer  
   (b) □ other investment adviser (including financial planners)  
   (c) □ registered municipal advisor  
   (d) □ registered security-based swap dealer  
   (e) □ major security-based swap participant  
   (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  
   (g) □ futures commission merchant  
   (h) □ banking or thrift institution  
   (i) □ trust company  
   (j) □ accountant or accounting firm  
   (k) □ lawyer or law firm  
   (l) □ insurance company or agency  
   (m) □ pension consultant  
   (n) □ real estate broker or dealer  
   (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  
   Yes □  No □
6. Do you control or are you controlled by the related person?
   - Yes [ ] No [ ]

7. Are you and the related person under common control?
   - Yes [ ] No [ ]

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   - Yes [ ] No [ ]

   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   - Yes [ ] No [ ]

   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
      Number and Street 1: __________________________
      State: __________________________
      City: __________________________
      Country: __________________________
      ZIP+4/Postal Code: __________________________
      Yes [ ] No [ ]

      If this address is a private residence, check this box: [ ]

9. (a) If the related person is an investment adviser, is it exempt from registration?
   - Yes [ ] No [ ]

   (b) If the answer is yes, under what exemption?
   - [ ] 15% or less [ ] 15% or more
   - [ ] 10% or less [ ] 10% or more
   - [ ] 1% or less [ ] 1% or more
   - [ ] None

10. (a) Is the related person registered with a foreign financial regulatory authority?
    - Yes [ ] No [ ]

    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
    - No Information Filed

11. Do you and the related person share any supervised persons?
    - Yes [ ] No [ ]

12. Do you and the related person share the same physical location?
    - Yes [ ] No [ ]

---

1. Legal Name of Related Person:
   AB BROADLY SYNDICATED LOAN MANAGER LLC

2. Primary Business Name of Related Person:
   AB BROADLY SYNDICATED LOAN MANAGER LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   - [ ]
   - or [ ] Other

4. Related Person's
   (a) CRD Number (if any):
      308135
   (b) CIK Number(s) (if any):
      No Information Filed

5. Related Person is: (check all that apply)
   (a) [ ] broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) [ ] other investment adviser (including financial planners)
   (c) [ ] registered municipal advisor
   (d) [ ] registered security-based swap dealer
   (e) [ ] major security-based swap participant
   (f) [ ] commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) [ ] futures commission merchant
   (h) [ ] banking or thrift institution
   (i) [ ] trust company
   (j) [ ] accountant or accounting firm
   (k) [ ] lawyer or law firm
   (l) [ ] insurance company or agency
   (m) [ ] pension consultant
   (n) [ ] real estate broker or dealer
   (o) [ ] sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) [ ] sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   - Yes [ ] No [ ]

7. Are you and the related person under common control?
   - Yes [ ] No [ ]
8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   ☐ Yes ☐ No

   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8. (a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
   ☐ Yes ☐ No

   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

   Number and Street 1: __________________________
   City: __________________________ State: __________ Country: __________________________
   ZIP+4/Postal Code: __________________________
   If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   ☐ Yes ☐ No

   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
   ☐ Yes ☐ No

   (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
   No Information Filed

11. Do you and the related person share any supervised persons?
   ☐ Yes ☐ No

12. Do you and the related person share the same physical location?
   ☐ Yes ☐ No

1. Legal Name of Related Person:
   EQUITABLE FINANCIAL SERVICES COMPANY OF AMERICA

2. Primary Business Name of Related Person:
   EQUITABLE FINANCIAL SERVICES COMPANY OF AMERICA

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or Other

4. Related Person’s
   (a) CRD Number (if any):
   -
   (b) CIK Number(s) (if any):
   No Information Filed

5. Related Person is: (check all that apply)
   (a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☒ other investment adviser (including financial planners)
   (c) ☒ registered municipal advisor
   (d) ☒ registered security-based swap dealer
   (e) ☒ major security-based swap participant
   (f) ☒ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☒ futures commission merchant
   (h) ☒ banking or thrift institution
   (i) ☒ trust company
   (j) ☒ accountant or accounting firm
   (k) ☒ lawyer or law firm
   (l) ☒ insurance company or agency
   (m) ☒ pension consultant
   (n) ☒ real estate broker or dealer
   (o) ☒ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☒ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles
   Yes ☐ No

6. Do you control or are you controlled by the related person?
   ☐ Yes ☐ No

7. Are you and the related person under common control?
   ☐ Yes ☐ No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   ☐ Yes ☐ No

   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8. (a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
   ☐ Yes ☐ No

   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

   Number and Street 1: __________________________
   City: __________________________ State: __________ Country: __________________________
   ZIP+4/Postal Code: __________________________
   If this address is a private residence, check this box: ☐
1. Legal Name of Related Person:
   U.S. FINANCIAL LIFE INSURANCE COMPANY

2. Primary Business Name of Related Person:
   U.S. FINANCIAL LIFE INSURANCE COMPANY

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or
   Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any): No Information Filed

5. Related Person is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☐ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   ☐ Yes ☐ No

7. Are you and the related person under common control?
   ☐ Yes ☐ No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   ☐ Yes ☐ No
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   ☐ Yes ☐ No
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
      Number and Street 1: ____________________________
      Number and Street 2: ____________________________
      City: ____________________________ State: ___________
      Country: ____________________________ ZIP+4/Postal Code: ____________________________
      If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   ☐ Yes ☐ No
   (b) If the answer is yes, under what exemption?
10. (a) Is the related person registered with a foreign financial regulatory authority?
   (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
      No Information Filed

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

1. Legal Name of Related Person:
   AUTONOMOUS RESEARCH LLP

2. Primary Business Name of Related Person:
   AUTONOMOUS RESEARCH LLP

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or
   Other

4. Related Person’s
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):
      No Information Filed

5. Related Person is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☐ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:
      Number and Street 1: ____________________________  Number and Street 2: ____________________________
      City: ____________________________  State: __________  Country: ____________________________  ZIP+4/Postal Code: __________
      If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
        No Information Filed

11. Do you and the related person share any supervised persons?
1. Legal Name of Related Person:
ASTURIAS CAPITAL LLC

2. Primary Business Name of Related Person:
ASTURIAS CAPITAL LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
801 - 80901

4. Related Person's
   (a) CRD Number (if any):
       174759
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) [ ] broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) [ ] other investment adviser (including financial planners)
   (c) [ ] registered municipal advisor
   (d) [ ] registered security-based swap dealer
   (e) [ ] major security-based swap participant
   (f) [ ] commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) [ ] futures commission merchant
   (h) [ ] banking or thrift institution
   (i) [ ] trust company
   (j) [ ] accountant or accounting firm
   (k) [ ] lawyer or law firm
   (l) [ ] insurance company or agency
   (m) [ ] pension consultant
   (n) [ ] real estate broker or dealer
   (o) [ ] sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) [ ] sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   [ ] Yes  [ ] No

7. Are you and the related person under common control?
   [ ] Yes  [ ] No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   [ ] Yes  [ ] No
   (b) If you are registering or registered with the SEC and you have answered "yes" to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   [ ] Yes  [ ] No
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

   Number and Street 1: [ ]
   City: [ ]
   State: [ ]
   ZIP+4/Postal Code: [ ]

   If this address is a private residence, check this box: [ ]

9. (a) If the related person is an investment adviser, is it exempt from registration?
   [ ] Yes  [ ] No
   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
    [ ] Yes  [ ] No
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

   No Information Filed

11. Do you and the related person share any supervised persons?
    [ ] Yes  [ ] No

12. Do you and the related person share the same physical location?
    [ ] Yes  [ ] No
2. Primary Business Name of Related Person:
ALLIANCEBERNSTEIN CANADA INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
- or
Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☑ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   Yes ☐ No ☐

7. Are you and the related person under common control?
   Yes ☐ No ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes ☐ No ☐
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   Yes ☐ No ☐
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
       Number and Street 1:
       City: State:
       Number and Street 2:
       Country: ZIP+4/Postal Code:

9. (a) If the related person is an investment adviser, is it exempt from registration?
   Yes ☐ No ☐
   (b) If the answer is yes, under what exemption?
   DOES NOT PROVIDE SERVICES IN US.

10. (a) Is the related person registered with a foreign financial regulatory authority?
    Yes ☐ No ☐
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

<table>
<thead>
<tr>
<th>Name of Country</th>
<th>Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canada</td>
<td>Alberta Securities Commission</td>
</tr>
<tr>
<td></td>
<td>British Columbia Securities Commission</td>
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<tr>
<td></td>
<td>Manitoba Securities Commission</td>
</tr>
<tr>
<td></td>
<td>Nova Scotia Securities Commission</td>
</tr>
<tr>
<td></td>
<td>Ontario Securities Commission</td>
</tr>
</tbody>
</table>

11. Do you and the related person share any supervised persons?
    Yes ☐ No ☐

12. Do you and the related person share the same physical location?
    Yes ☐ No ☐

13. Legal Name of Related Person:
1. Legal Name of Related Person:
AXA EQUITABLE FUNDS MANAGEMENT GROUP, LLC

2. Primary Business Name of Related Person:
AXA EQUITABLE FUNDS MANAGEMENT GROUP, LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801-61428

4. Related Person's
   (a) CRD Number (if any):
       122048
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☑ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   ☐ Yes  ☐ No

7. Are you and the related person under common control?
   ☐ Yes  ☐ No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   ☐ Yes  ☐ No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   ☐ Yes  ☐ No

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
   Number and Street 1: __________________________
   City: __________________________  State: ____________  Country: ____________  ZIP+4/Postal Code: ____________
   If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   ☐ Yes  ☐ No

(b) If the answer is yes, under what exemption?
   ☐ Yes  ☐ No

10. (a) Is the related person registered with a foreign financial regulatory authority?
    ☐ Yes  ☐ No

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

   Name of Country/English Name of Foreign Financial Regulatory Authority
   Netherlands - The Netherlands Authority for the Financial Markets

11. Do you and the related person share any supervised persons?
    ☐ Yes  ☐ No

12. Do you and the related person share the same physical location?
    ☐ Yes  ☐ No
4. Related Person's
   (a) CRD Number (if any):
       156933
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☑ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   Yes ☐ No ☐

7. Are you and the related person under common control?
   Yes ☐ No ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes ☐ No ☐
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   Yes ☐ No ☐
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
       Number and Street 1: ___________________________ Number and Street 2: ___________________________
       City: ___________________________ State: ______ Country: ___________________________ ZIP+4/Postal Code: ___________________________
       If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   Yes ☐ No ☐
   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
    Yes ☐ No ☐
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
       No Information Filed

11. Do you and the related person share any supervised persons?
    Yes ☐ No ☐

12. Do you and the related person share the same physical location?
    Yes ☐ No ☐

1. Legal Name of Related Person:
   ALLIANCEBERNSTEIN ASSET MANAGEMENT (KOREA) LTD.

2. Primary Business Name of Related Person:
   ALLIANCEBERNSTEIN ASSET MANAGEMENT (KOREA) LTD.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or Other

4. Related Person's
5. **Related Person** is: (check all that apply)
   (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☒ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

   [Yes] [No]

6. Do you control or are you controlled by the related person?
   [☐] [☐]

7. Are you and the related person under common control?
   [☐] [☐]

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
    [☐] [☐]
   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
    [☐] [☐]
   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

   Number and Street 1: __________________________
   City: __________________________ State: ________
   Country: __________________________ ZIP+4/Postal Code: _______

   If this address is a private residence, check this box: [☐]

   [Yes] [No]

9. (a) If the related person is an investment adviser, is it exempt from registration?
    [☐] [☐]
   (b) If the answer is yes, under what exemption?

   DOES NOT PROVIDE SERVICES IN US.

10. (a) Is the related person registered with a foreign financial regulatory authority?
    [☐] [☐]
   (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

   Name of Country/English Name of Foreign Financial Regulatory Authority
   Other - FINANCIAL SUPERVISORY COMMISSION (SOUTH KOREA)

11. Do you and the related person share any supervised persons?
    [☐] [☐]

12. Do you and the related person share the same physical location?
    [☐] [☐]
5. Related Person is: (check all that apply)
   (a) [ ] broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) [ ] other investment adviser (including financial planners)
   (c) [ ] registered municipal advisor
   (d) [ ] registered security-based swap dealer
   (e) [ ] major security-based swap participant
   (f) [ ] commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) [ ] futures commission merchant
   (h) [ ] banking or thrift institution
   (i) [ ] trust company
   (j) [ ] accountant or accounting firm
   (k) [ ] lawyer or law firm
   (l) [ ] insurance company or agency
   (m) [ ] pension consultant
   (n) [ ] real estate broker or dealer
   (o) [ ] sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) [ ] sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   [ ] Yes  [ ] No

7. Are you and the related person under common control?
   [ ] Yes  [ ] No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   [ ] Yes  [ ] No
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   [ ] Yes  [ ] No
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
       Number and Street 1:  [ ]
       Number and Street 2:  [ ]
       City:  [ ]
       State:  [ ]
       Zip+4/Postal Code:  [ ]
   [ ] Yes  [ ] No

9. (a) If the related person is an investment adviser, is it exempt from registration?
   [ ] Yes  [ ] No
   (b) If the answer is yes, under what exemption?
       DOES NOT PROVIDE SERVICES IN US.

10. (a) Is the related person registered with a foreign financial regulatory authority?
    [ ] Yes  [ ] No
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

11. Do you and the related person share any supervised persons?
    [ ] Yes  [ ] No

12. Do you and the related person share the same physical location?
    [ ] Yes  [ ] No

---

1. Legal Name of Related Person:
   AB BERNSTEIN ISRAEL LTD.

2. Primary Business Name of Related Person:
   AB BERNSTEIN ISRAEL LTD.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or
   Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):

5. Related Person is: (check all that apply)
   (a) [ ] broker-dealer, municipal securities dealer, or government securities broker or dealer
6. **Do you control or are you controlled by the related person?**

7. **Are you and the related person under common control?**

8. (a) **Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?**

   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

   - Number and Street 1:
   - City:
   - State:
   - ZIP+4/Postal Code:

9. (a) **If the related person is an investment adviser, is it exempt from registration?**

   (b) If the answer is yes, under what exemption?

   **DOES NOT PROVIDE SERVICES IN US.**

10. (a) **Is the related person registered with a foreign financial regulatory authority?**

   (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Israel - Israel Securities Authority</td>
</tr>
</tbody>
</table>

11. **Do you and the related person share any supervised persons?**

12. **Do you and the related person share the same physical location?**

---

1. **Legal Name of Related Person:**
   AB PRIVATE CREDIT INVESTORS LLC

2. **Primary Business Name of Related Person:**
   AB PRIVATE CREDIT INVESTORS LLC

3. **Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):**
   801 - 80389
   or
   Other

4. **Related Person's**
   (a) **CRD Number (if any):**
       173027
   (b) **CIK Number(s) (if any):**
       No Information Filed

5. **Related Person is: (check all that apply)**
   (a) broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) other investment adviser (including financial planners)
   (c) registered municipal advisor
   (d) registered security-based swap dealer
   (e) major security-based swap participant
6. Do you control or are you controlled by the related person?  

Yes ☐ No ☑

7. Are you and the related person under common control?  

☐ ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?  

☐ ☐

(b) If you are registering or registered with the SEC and you have answered "yes" to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?  

☐ ☐

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

Number and Street 1: 1345 AVENUE OF THE AMERICAS

If this address is a private residence, check this box: ☐ Yes ☑ No

9. (a) If the related person is an investment adviser, is it exempt from registration?  

☐ ☐

(b) If the answer is yes, under what exemption?  

☐ ☐

10. (a) Is the related person registered with a foreign financial regulatory authority?  

☐ ☐

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  

No Information Filed

11. Do you and the related person share any supervised persons?  

☐ ☐

12. Do you and the related person share the same physical location?  

☐ ☐

1. Legal Name of Related Person:  

SANFORD C. BERNSTEIN (SCHWEIZ) GMBH

2. Primary Business Name of Related Person:  

SANFORD C. BERNSTEIN (SCHWEIZ) GMBH

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  

☐ - or Other

No Information Filed

4. Related Person's  

(a) CRD Number (if any):  

No Information Filed

(b) CIK Number(s) (if any):  

No Information Filed

5. Related Person is: (check all that apply)  

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer  

(b) ☐ other investment adviser (including financial planners)  

(c) ☐ registered municipal advisor  

(d) ☐ registered security-based swap dealer  

(e) ☐ major security-based swap participant  

(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  

(g) ☐ futures commission merchant  

(h) ☐ banking or thrift institution  

(i) ☐ trust company
6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

- Number and Street 1:
- City:
- State:
- Country:
- ZIP+4/Postal Code:
- If this address is a private residence, check this box:

9. (a) If the related person is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

<table>
<thead>
<tr>
<th>Name of Country</th>
<th>English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Switzerland</td>
<td>Swiss Financial Market Supervisory Authority</td>
</tr>
</tbody>
</table>

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

---

1. Legal Name of Related Person:
SANFORD C. BERNSTEIN & CO., LLC

2. Primary Business Name of Related Person:
SANFORD C. BERNSTEIN & CO., LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 57937
or
Other

4. Related Person's CRD Number (if any):
104474
or
Other

5. Related Person is: (check all that apply)
(a) ✔ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ✔ other investment adviser (including financial planners)
(c) ✔ registered municipal advisor
(d) ✔ registered security-based swap dealer
(e) ✔ major security-based swap participant
(f) ✔ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ✔ futures commission merchant
(h) ✔ banking or thrift institution
(i) ✔ trust company
(j) ✔ accountant or accounting firm
(k) ✔ lawyer or law firm
(l) ✔ insurance company or agency
(m) ✔ pension consultant
(n) ✔ real estate broker or dealer
6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes / No

   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
   Yes / No

   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

   Number and Street 1: 1345 AVENUE OF THE AMERICAS

   Yes / No

9. (a) If the related person is an investment adviser, is it exempt from registration?
   Yes / No

   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
    Yes / No

    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

| Canada - Alberta Securities Commission |
| Canada - British Columbia Securities Commission |
| Canada - Manitoba Securities Commission |
| Canada - New Brunswick Securities Commission |
| Canada - Newfoundland and Labrador, Financial Services Regulation Division |
| Canada - Nova Scotia Securities Commission |
| Canada - Ontario Securities Commission |
| Canada - Prince Edward Island, Securities Office |
| Canada - Quebec, Financial Markets Authority |
| Canada - Saskatchewan Financial Services Commission |

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

1. Legal Name of Related Person:
   AXA ADVISORS, LLC

2. Primary Business Name of Related Person:
   AXA ADVISORS, LLC

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   801 - 14065
   or Other

4. Related Person’s
   (a) CRD Number (if any): 6627
   (b) CIK Number(s) (if any): No Information Filed

5. Related Person is: (check all that apply)
   (a) broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) other investment adviser (including financial planners)
   (c) registered municipal advisor
   (d) registered security-based swap dealer
   (e) major security-based swap participant
   (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1: ___________________________  Number and Street 2: ___________________________
City: ___________________________  State: ___________________________  Country: ___________________________  ZIP+4: ___________________________

If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

No Information Filed

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

1. Legal Name of Related Person:
AXA EQUITABLE LIFE INSURANCE COMPANY

2. Primary Business Name of Related Person:
AXA EQUITABLE LIFE INSURANCE COMPANY

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
- or Other
812-14036

4. Related Person's
(a) CRD Number (if any):
(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

<table>
<thead>
<tr>
<th>Number and Street 1:</th>
<th>Number and Street 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>Country:</td>
<td>ZIP+4/Postal Code:</td>
</tr>
</tbody>
</table>

9. (a) If the related person is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

DEREGISTERED

10. (a) Is the related person registered with a foreign financial regulatory authority?

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

No Information Filed

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

---

1. Legal Name of Related Person:
ALLIANCBERNSTEIN CORPORATION

2. Primary Business Name of Related Person:
ALLIANCBERNSTEIN CORPORATION

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 39910
or
Other

4. Related Person’s
(a) CRD Number (if any):
107445
(b) CIK Number(s) (if any):
No Information Filed

5. Related Person is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles
6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
(c) If you have answered "yes" to question 8.(a) above, provide the location of the other investment adviser (including financial planners) by the related person:

9. (a) If the related person is an investment adviser, is it exempt from registration?
(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1: ____________________________ Number and Street 2: ____________________________
City: ____________________________ State: __________ Country: __________ Zip+4/Postal Code: __________

If this address is a private residence, check this box: Yes No

9. (a) If the related person is an investment adviser, is it exempt from registration?
   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

---

1. Legal Name of Related Person:
   AB TRUST COMPANY, LLC

2. Primary Business Name of Related Person:
   AB TRUST COMPANY, LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):

5. Related Person is: (check all that apply)
   (a) broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) broker-dealer, municipal securities dealer, or government securities broker or dealer
   (c) registered municipal advisor
   (d) registered security-based swap dealer
   (e) major security-based swap participant
   (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) futures commission merchant
   (h) trust company
   (i) accountant or accounting firm
   (j) lawyer or law firm
   (k) insurance company or agency
   (l) account or accounting firm
   (m) pension consultant
   (n) real estate broker or dealer
   (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
    (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:
Number and Street 1: ____________________________
Number and Street 2: ____________________________
City: __________ State: __________ Country: __________
ZIP+4/Postal Code: ____________________________

If this address is a private residence, check this box: ☑

Yes ☐ No ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
☐ ☐

(b) If the answer is yes, under what exemption?
☐ ☐

10. (a) Is the related person registered with a foreign financial regulatory authority? ☐ ☐

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

No Information Filed

11. Do you and the related person share any supervised persons? ☐ ☐

12. Do you and the related person share the same physical location? ☐ ☐
10. (a) Is the related person registered with a foreign financial regulatory authority? ☐ ☐
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

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<thead>
<tr>
<th>Name of Country</th>
<th>Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other</td>
<td>COMISSAO DE VALORES MOBILIARIOS</td>
</tr>
</tbody>
</table>

11. Do you and the related person share any supervised persons? ☐ ☐

12. Do you and the related person share the same physical location? ☐ ☐
11. Do you and the related person share any supervised persons?  
   - [ ] Yes  
   - [ ] No

12. Do you and the related person share the same physical location?  
   - [ ] Yes  
   - [ ] No

1. Legal Name of Related Person:  
   SANFORD C. BERNSTEIN (CANADA) LTD.

2. Primary Business Name of Related Person:  
   SANFORD C. BERNSTEIN (CANADA) LTD.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)  
   - [ ] -  
   - [ ] Other

4. Related Person's  
   (a) CRD Number (if any):  
      No Information Filed  
   (b) CIK Number(s) (if any):

5. Related Person is: (check all that apply)  
   (a) [ ] broker-dealer, municipal securities dealer, or government securities broker or dealer  
   (b) [ ] other investment adviser (including financial planners)  
   (c) [ ] registered municipal advisor  
   (d) [ ] registered security-based swap dealer  
   (e) [ ] major security-based swap participant  
   (f) [ ] commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  
   (g) [ ] futures commission merchant  
   (h) [ ] banking or thrift institution  
   (i) [ ] trust company  
   (j) [ ] accountant or accounting firm  
   (k) [ ] lawyer or law firm  
   (l) [ ] insurance company or agency  
   (m) [ ] pension consultant  
   (n) [ ] real estate broker or dealer  
   (o) [ ] sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles  
   (p) [ ] sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?  
   - [ ] Yes  
   - [ ] No

7. Are you and the related person under common control?  
   - [ ] Yes  
   - [ ] No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?  
   - [ ] Yes  
   - [ ] No

   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?  
   - [ ] Yes  
   - [ ] No

   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:  
      Number and Street 1:  
      City:  
      State:  
      Number and Street 2:  
      Country:  
      ZIP+4/Postal Code:  
      If this address is a private residence, check this box:  
      - [ ] Yes  
      - [ ] No

9. (a) If the related person is an investment adviser, is it exempt from registration?  
   - [ ] Yes  
   - [ ] No

   (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?  
    - [ ] Yes  
    - [ ] No

    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.  
    Name of Country/English Name of Foreign Financial Regulatory Authority  
    Canada - Alberta Securities Commission  
    Canada - British Columbia Securities Commission
1. Legal Name of Related Person:
ALLIANCEBERNSTEIN JAPAN LTD.

2. Primary Business Name of Related Person:
ALLIANCEBERNSTEIN JAPAN LTD.

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
- 
   or

   Other

(b) CIK Number(s) (if any):
No Information Filed

4. Related Person’s
(a) CRD Number (if any):

(b) CIK Number(s) (if any):

5. Related Person is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

   (b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?

   (c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:

      Number and Street 1: ____________________________
      City: ____________________________ State: ____________ Country: ____________ ZIP+4/Postal Code: ________

      If this address is a private residence, check this box: ☐

5. Related Person is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

9. (a) If the related person is an investment adviser, is it exempt from registration?

   (b) If the answer is yes, under what exemption?
10. (a) Is the related person registered with a foreign financial regulatory authority?
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
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<tbody>
<tr>
<td>Japan - Financial Services Agency</td>
</tr>
</tbody>
</table>

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?
11. Do you and the related person share any supervised persons?

Yes ☐  No ☐

12. Do you and the related person share the same physical location?

Yes ☐  No ☐

1. Legal Name of Related Person:
   ALLIANCEBERNSTEIN INVESTMENTS, INC.

2. Primary Business Name of Related Person:
   ALLIANCEBERNSTEIN INVESTMENTS, INC.

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   8 - 30851
   or
   Other

4. Related Person’s
   (a) CRD Number (if any):
       14549
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) ☑ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☐ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☑ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☑ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

Yes ☐  No ☐

7. Are you and the related person under common control?

Yes ☐  No ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes ☐  No ☐

(b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?

Yes ☐  No ☐

(c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:
   Number and Street 1: __________________________
   Number and Street 2: __________________________
   City: __________________________ State: __________ Country: __________ ZIP+4/Postal Code: __________
   If this address is a private residence, check this box: ☐

Yes ☐  No ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?

Yes ☐  No ☐

(b) If the answer is yes, under what exemption?

Yes ☐  No ☐

10. (a) Is the related person registered with a foreign financial regulatory authority?

Yes ☐  No ☐

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

No Information Filed

11. Do you and the related person share any supervised persons?

Yes ☐  No ☐

12. Do you and the related person share the same physical location?

Yes ☐  No ☐
1. Legal Name of Related Person:
   SANFORD C. BERNSTEIN LIMITED

2. Primary Business Name of Related Person:
   SANFORD C. BERNSTEIN LIMITED

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   8 - 42123

4. Related Person’s
   (a) CRD Number (if any):
       25900
   (b) CIK Number(s) (if any):
       No Information Filed

5. Related Person is: (check all that apply)
   (a) ☑ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☐ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☑ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☒ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   Yes ☐ No ☑

7. Are you and the related person under common control?
   Yes ☐ No ☑

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
    Yes ☐ No ☑
    (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
       Yes ☑ No ☐
    (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:
       Number and Street 1: 
       Number and Street 2: 
       City: 
       State: 
       Country: 
       ZIP+4/Postal Code: ☑
       If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
    Yes ☐ No ☑
    (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority?
     Yes ☐ No ☑
     (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.
         No Information Filed

11. Do you and the related person share any supervised persons?
    Yes ☐ No ☑

12. Do you and the related person share the same physical location?
    Yes ☐ No ☑
3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   -
   or
   Other

4. Related Person's
   (a) CRD Number (if any):
   (b) CIK Number(s) (if any):

   No Information Filed

5. Related Person is: (check all that apply)
   (a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☐ other investment adviser (including financial planners)
   (c) ☐ registered municipal advisor
   (d) ☐ registered security-based swap dealer
   (e) ☐ major security-based swap participant
   (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
   (g) ☐ futures commission merchant
   (h) ☐ banking or thrift institution
   (i) ☐ trust company
   (j) ☐ accountant or accounting firm
   (k) ☐ lawyer or law firm
   (l) ☐ insurance company or agency
   (m) ☐ pension consultant
   (n) ☐ real estate broker or dealer
   (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

   Yes ☐ No ☒

6. Do you control or are you controlled by the related person?
   ☐ Yes ☐ No

7. Are you and the related person under common control?
   ☐ Yes ☐ No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   ☐ Yes ☐ No
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   ☐ Yes ☐ No
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:
      Number and Street 1: ________________________________
      City: ___________________ State: ___________
      If this address is a private residence, check this box: ☐
      Number and Street 2: ________________________________
      City: ___________________ State: ___________
      ZIP+4/Postal Code: ___________

   Yes ☐ No ☒

9. (a) If the related person is an investment adviser, is it exempt from registration?
   ☐ Yes ☐ No
   (b) If the answer is yes, under what exemption?
   ☐ ☐

10. (a) Is the related person registered with a foreign financial regulatory authority?
    ☐ Yes ☐ No
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

    Name of Country/Name of Foreign Financial Regulatory Authority
    Canada - Ontario Securities Commission
    United Kingdom - Financial Conduct Authority

11. Do you and the related person share any supervised persons?
    ☐ Yes ☐ No

12. Do you and the related person share the same physical location?
    ☐ Yes ☐ No

---

1. Legal Name of Related Person:
   AB CUSTOM ALTERNATIVE SOLUTIONS LLC

2. Primary Business Name of Related Person:
   AB CUSTOM ALTERNATIVE SOLUTIONS LLC

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
   801 - 60159
   or
4. Related Person's
(a) CRD Number (if any):
   110879
(b) CIK Number(s) (if any):
   No Information Filed

5. Related Person is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☑ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
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(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   Yes ☐ No ☐

7. Are you and the related person under common control?
   Yes ☐ No ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes ☐ No ☐
(b) If you are registering or registered with the SEC and you have answered “yes,” to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients’ funds or securities that are maintained at the related person?
   Yes ☐ No ☐
(c) If you have answered “yes” to question 8.(a) above, provide the location of the related person’s office responsible for custody of your clients’ assets:
   Number and Street 1: ___________________________ Number and Street 2: ___________________________
   City: ___________________________ State: __________ Country: ___________________________
   ZIP+4/Postal Code: ___________________________
   If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?
   Yes ☐ No ☐
(b) If the answer is yes, under what exemption?
   ☐

10. (a) Is the related person registered with a foreign financial regulatory authority?
    Yes ☐ No ☐
(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

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<thead>
<tr>
<th>Name of Country</th>
<th>Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Luxembourg</td>
<td>Grand Duchy of Luxembourg - Commission to Surveillance of the Finance Sector</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>Financial Conduct Authority</td>
</tr>
</tbody>
</table>

11. Do you and the related person share any supervised persons?
    Yes ☐ No ☐

12. Do you and the related person share the same physical location?
    Yes ☐ No ☐

1. Legal Name of Related Person:
   ALLIANCEBERNSTEIN (LUXEMBOURG) S.A.

2. Primary Business Name of Related Person:
   ALLIANCEBERNSTEIN (LUXEMBOURG) S.A.

3. Related Person’s SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):
   -
   or
   Other

4. Related Person’s
5. Related Person is: (check all that apply)
   (a) ☑ broker-dealer, municipal securities dealer, or government securities broker or dealer
   (b) ☑ other investment adviser (including financial planners)
   (c) ☑ registered municipal advisor
   (d) ☑ registered security-based swap dealer
   (e) ☑ major security-based swap participant
   (f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
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   (h) ☑ banking or thrift institution
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   (k) ☑ lawyer or law firm
   (l) ☑ insurance company or agency
   (m) ☑ pension consultant
   (n) ☑ real estate broker or dealer
   (o) ☑ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
   (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?
   Yes ☐ No ☑

7. Are you and the related person under common control?
   Yes ☑ No ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes ☑ No ☐
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   Yes ☑ No ☐
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

   Number and Street 1: ____________________________
   City: ____________________________ State: __________

   Number and Street 2: ____________________________
   City: ____________________________ State: __________

   Number and Street: ____________________________
   City: ____________________________ State: __________

   ZIP+4/Postal Code: ________________

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?
   Yes ☑ No ☐
   (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?
   Yes ☑ No ☐
   (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

   Number and Street 1: ____________________________
   City: ____________________________ State: __________

   Number and Street 2: ____________________________
   City: ____________________________ State: __________

   Number and Street: ____________________________
   City: ____________________________ State: __________

   ZIP+4/Postal Code: ________________

9. (a) If the related person is an investment adviser, is it exempt from registration?
   Yes ☑ No ☐
   (b) If the answer is yes, under what exemption?
   DOES NOT PROVIDE SERVICES IN US.

10. (a) Is the related person registered with a foreign financial regulatory authority?
    Yes ☑ No ☐
    (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

    Name of Country/English Name of Foreign Financial Regulatory Authority
    Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector

11. Do you and the related person share any supervised persons?
    Yes ☑ No ☐

12. Do you and the related person share the same physical location?
    Yes ☑ No ☐
### Item 7 Private Fund Reporting

**B. Are you an adviser to any private fund?**

If "yes," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the next sentence and in Instruction 6 of the Instructions to Part 1A. If you are registered or applying for registration with the SEC or reporting as an SEC exempt reporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such private fund in Section 7.B.(1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that private fund. You must, instead, complete Section 7.B.(2) of Schedule D.

In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.

#### SECTION 7.B.(1) Private Fund Reporting

**A. PRIVATE FUND**

**Information About the Private Fund**

1. (a) Name of the private fund:
   - AB ARYA PARTNERS (CAYMAN) FUND, L.P.

   (b) Private fund identification number:
   - (include the "805-" prefix also)
   - 805-1539377236

2. Under the laws of what state or country is the private fund organized:
   - State: 
   - Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   - Name of General Partner, Manager, Trustee, or Director
     - AB ARYA PARTNERS (DELAWARE) MANAGEMENT, LLC

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   - No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   - Country/English Name of Foreign Financial Regulatory Authority
     - Cayman Islands - Cayman Islands Monetary Authority

6. (a) Is this a "master fund" in a master-feeder arrangement?
   - (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
     - No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   - (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
     - Private fund identification number:
     - (include the "805-" prefix also)
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Private Fund Reporting</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Are you an adviser to any private fund?</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>If &quot;yes,&quot; then for each private fund ... any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?</td>
<td>No</td>
<td>No</td>
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<td></td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 364,676,506

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

302

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

46%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
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</tbody>
</table>

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3(b)) advise the private fund?
Item 7 Private Fund Reporting

Yes No

B. Are you an adviser to any private fund? If “yes,” then for each private fund...
No

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
Yes No

Form D file number (if any):
021-274804

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?
Yes No

(1) If the answer to question 23.(a)(1) is “yes,” are the financial statements prepared in accordance with U.S. GAAP?
Yes No

If the answer to question 23.(a)(1) is “yes,” respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

- Name of the auditing firm: PRICEWATERHOUSECOOPERS

- The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
  City: NEW YORK State: New York Country: United States

- Is the auditing firm an independent public accountant?
Yes No

- Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes No

  If yes, Public Company Accounting Oversight Board-Assigned Number:

  238

- If “yes” to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
Yes No

- Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
Yes No

- Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes No Report Not Yet Received

  If you check “Report Not Yet Received,” you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
Yes No

If the answer to question 24.(a) is “yes,” respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.
Additional Prime Broker Information: 1 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
MORGAN STANLEY

(c) If the prime broker is registered with the SEC, its registration number:
8 - 168191
CRD Number (if any):

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?
Yes No

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
INTERNATIONAL FUND SERVICES

(c) Primary business name of custodian:
IFS

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: DUBLIN
State: Ireland
Country: Ireland

(e) Is the custodian a related person of your firm?
Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
- CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?
Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB ARYA PARTNERS (CAYMAN) FUND, LTD.
   (b) Private fund identification number:
   (include the *805-* prefix also)
   805-7545513419

2. Under the laws of what state or country is the private fund organized:
   State: Cayman Islands
   Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   AB ARYA PARTNERS (LUXEMBOURG) MANAGEMENT, S.À R.L.
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

B. SERVICE PROVIDERS

A. PRIVATE FUND

1. (a) Name of fund:
   AB ARYA PARTNERS (CAYMAN) FUND, LTD.

2. (a) Prime broker:
   Name(s) of Prime Broker:
   LUXEMBOURG
   City:
   Luxembourg
   State:
   Country:
   CRD Number (if any):
   021-274804
   City:
   New York
   State:
   New York
   Country:
   USA
   Country:
   Ireland
   Country:
   Luxembourg
   City:
   Luxembourg

3. (a) Administrator:
   Name(s) of Administrator:
   INTERNATIONAL FUND SERVICES
   City:
   LUXEMBOURG
   State:
   Country:
   Luxembourg
   Yes
   No

4. (a) Custodian:
   Name(s) of Custodian:
   Legal name of custodian:
   Current gross asset value of the private fund:
   $100,000,000
   Country:
   Luxembourg
   City:
   Luxembourg
   State:
   Country:
   Luxembourg
   Yes
   No

5. (a) Auditor:
   Name(s) of Auditor:
   Additional Auditor Information : 1 Record(s) Filed.
   CRD Number (if any):
   302660
   Country:
   Luxembourg
   City:
   Luxembourg
   State:
   Country:
   Luxembourg
   Yes
   No

6. (a) Auditor:
   Name(s) of Auditor:
   Additional Auditor Information : 1 Record(s) Filed.
   CRD Number (if any):
   302660
   Country:
   Luxembourg
   City:
   Luxembourg
   State:
   Country:
   Luxembourg
   Yes
   No

7. (a) Auditor:
   Name(s) of Auditor:
   Additional Auditor Information : 1 Record(s) Filed.
   CRD Number (if any):
   302660
   Country:
   Luxembourg
   City:
   Luxembourg
   State:
   Country:
   Luxembourg
   Yes
   No

B. SERVICE PROVIDERS

B. Are you an adviser to any private fund? 
If "yes," then for each private fund: 
☑ Yes (check all that apply; you must check at least one):
☒ No

1. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

2. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

3. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

4. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

5. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

6. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

7. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

8. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

9. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

10. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

11. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

12. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

13. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

14. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

15. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

16. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

17. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

18. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

19. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

20. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

21. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

22. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

23. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

24. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

25. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

26. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

27. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

28. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

29. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

30. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

31. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

32. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

33. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

34. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

35. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

36. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

37. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

38. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

39. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

40. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

41. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

42. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

43. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

44. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

45. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

46. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

B. Are you an adviser to any private fund? 
If "yes," then for each private fund:
☑ Yes
☒ No

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 
100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? 
Yes

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB ARYA PARTNERS (CAYMAN) FUND, LTD.
   (b) Private fund identification number:
   (include the *805-* prefix also)
   805-7545513419

2. Under the laws of what state or country is the private fund organized:
   State: Cayman Islands
   Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   AB ARYA PARTNERS (LUXEMBOURG) MANAGEMENT, S.À R.L.
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
6. (a) Is this a "master fund" in a master-feeder arrangement?
   
   Yes No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   Yes No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:
   AB ARYA PARTNERS (LUXEMBOURG) FUND, SICAV-RAIF S.C.S.P.
   
   Private fund identification number:
   (include the "805-" prefix also)
   805-1904606750

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

   Yes No

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.a.)?

10. What type of fund is the private fund?

   - [ ] hedge fund  [ ] liquidity fund  [ ] private equity fund  [ ] real estate fund  [ ] securitized asset fund  [ ] venture capital fund  [ ] Other private fund:

   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 67,956,504

   Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 5,000,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   16

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   36%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
62%

Your Advisory Services

17. (a) Are you a subadviser to this private fund? Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund? Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund? Yes No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? Yes No

22. If yes, provide the private fund's Form D file number (if any):

Form D file number
021-274805

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit? Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP? Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country): City: NEW YORK State: New York Country: United States

Yes No

d) Is the auditing firm an independent public accountant? Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board? Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:
(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?  
Yes ☐  No ☐  Report Not Yet Received ☐

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?  
Yes ☐  No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information : 1 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
MORGAN STANLEY

(c) If the prime broker is registered with the SEC, its registration number:
8 - 168191
CRD Number (if any):

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK  State: New York  Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?  
Yes ☐  No ☐

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?  
Yes ☐  No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
INTERNATIONAL FUND SERVICES

(c) Primary business name of custodian:
IFS

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: DUBLIN  State:  Country: Ireland

(e) Is the custodian a related person of your firm?  
Yes ☐  No ☐

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):  
805-1904606750

Name of administrator:
INTERNATIONAL FUND SERVICES

City:
DUBLIN

Country:
Ireland

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?  
Yes ☐  No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?  
Yes ☐  No ☐  Report Not Yet Received ☐

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.
Administrators

26. (a) Does the private fund use an administrator other than your firm?
Yes ☐ No ☐

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES

(c) Location of administrator (city, state and country):
City: LUXEMBOURG
State: Country: Luxembourg

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors) ☐

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes ☐ No ☐

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
AB ARYA PARTNERS (DELAWARE) FUND, L.P.

(b) Private fund identification number:
(include the "805-" prefix also)
805-3265800610
2. Under the laws of what state or country is the private fund organized:

State: Delaware Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director
AB ARYA PARTNERS (DELACARE) MANAGEMENT, LLC

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

☐ Yes ☐ No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

☐ Yes ☐ No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

☐ Yes ☐ No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

☐ Yes ☐ No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

☐ Yes ☐ No

10. What type of fund is the private fund?

☐ hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☐ Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
**Ownership**

12. Minimum investment commitment required of an investor in the private fund: $ 250,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners: 659

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons: 8%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%

**Your Advisory Services**

17. (a) Are you a subadviser to this private fund? Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund? Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed

19. Are your clients solicited to invest in the private fund? Yes No

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund? 1%

**Private Offering**

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? Yes No

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-274806

**B. SERVICE PROVIDERS**

**Auditors**

23. (a) (1) Are the private fund's financial statements subject to an annual audit? Yes No

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d) Is the auditing firm an independent public accountant?

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information : 1 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
MORGAN STANLEY

(c) If the prime broker is registered with the SEC, its registration number:
8 - 168191

CRD Number (if any):

(d) Location of prime broker's office used principally by the private fund (city, state and country):
<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

Yes No

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Name of the custodian:
AB ARYA PARTNERS (CAYMAN) FUND, L.P.

Name of General Partner, Manager, Trustee, or Director
AB ARYA PARTNERS (LUXEMBOURG) MANAGEMENT, S.À R.L.

Cayman Islands - Cayman Islands Monetary Authority

Form D file number
021-274805

City:
NEW YORK

State:
New York

Country:
United States

Yes No

(c) If you check "Yes," indicate whether the fee arrangement for services provided by the custodian is based on a percentage of assets:

Yes No

Yes

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(d) Minimum investment commitment required of an investor in the private fund:
$ 250,000

(e) What is the approximate percentage of the private fund's assets:
$ 67,956,504

(f) Is the custodian a foreign financial regulatory authority?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
INTERNATIONAL FUND SERVICES

c) Primary business name of custodian:
IFS

d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: DUBLIN
State: Ireland
Country: Yes No
(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES

c) Location of administrator (city, state and country):
City: LUXEMBOURG
State: Luxembourg
Country: Yes No

d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer was "yes," respond to questions (b) through (f) below. If the private fund uses more than one person, you must complete questions (b) through (f) separately for each person.

(b) Location of person's office:

(c) Is the person a related person of your firm?

(d) Describe the services provided by the person:

(e) Does the person have a legal entity identifier (LEI)?

(f) If the answer to question 28.(e) is "no," provide the person's identification number (if any):
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB ARYA PARTNERS (LUXEMBOURG) FUND, SICAV-RAIF S.C.SP.
   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-1904606750

2. Under the laws of what state or country is the private fund organized:
   State: 
   Country: Luxembourg

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB ARYA PARTNERS (LUXEMBOURG) MANAGEMENT, S.A.R.L.</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector</td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB ARYA PARTNERS (CAYMAN) FUND, LTD.</td>
<td>805-7545513419</td>
</tr>
</tbody>
</table>

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
      (include the "805-" prefix also)

   Yes No

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed
8. (a) Is this private fund a “fund of funds”?  
NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than money market funds,” to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 1,859,107,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

18

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

1%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?

1%
21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

   Yes  No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-274805</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

**Auditors**

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

   Yes  No

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   Yes  No

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

<table>
<thead>
<tr>
<th>Additional Auditor Information : 1 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the answer to question 23.(a)(1) is &quot;yes,&quot; respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.</td>
</tr>
</tbody>
</table>

   (b) Name of the auditing firm:

   PRICewaterHouSeCooPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

   City: NEW YORK  State: New York  Country: United States

   Yes  No

   (d) Is the auditing firm an independent public accountant?

   Yes  No

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   Yes  No

   If yes, Public Company Accounting Oversight Board-Assigned Number:

   238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   Yes  No

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

   Yes  No

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

   Yes  O  No  O  Report Not Yet Received

   *If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.*

**Prime Broker**

24. (a) Does the private fund use one or more prime brokers?

   Yes  No

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Additional Prime Broker Information : 1 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the answer to question 24.(a) is &quot;yes,&quot; respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</td>
</tr>
</tbody>
</table>

   (b) Name of the prime broker:

   MORGAN STANLEY

   (c) If the prime broker is registered with the SEC, its registration number:
B. Are you an adviser to any private fund? If "yes," then for each private fund:

- Is the private fund organized in the United States?
  - Yes
  - No

- Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
  - Yes
  - No

- Are you a subadviser to this private fund?
  - Yes
  - No

Additional Custodian Information: 1 Record(s) Filed.

- Legal name of custodian: INTERNATIONAL FUND SERVICES
- Primary business name of custodian: IFS
- Location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
  - City: DUBLIN
  - State: Ireland
- Is the custodian a related person of your firm?
  - Yes
  - No

- If the custodian is a broker-dealer, provide its SEC registration number (if any):
  - CRD Number (if any):

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

- Name of administrator: INTERNATIONAL FUND SERVICES
- Location of administrator (city, state and country):
  - City: LUXEMBOURG
  - Country: Luxembourg
- Is the administrator a related person of your firm?
27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB COMMERCIAL REAL ESTATE DEBT FUND III, SICAV-SIF S.C.SP.
   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-9685437027

2. Under the laws of what state or country is the private fund organized:
   State: Luxembourg
   Country:

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director
   AB COMMERCIAL REAL ESTATE DEBT MANAGEMENT, S.A.R.L.,

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   ❑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ❑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   Name of Country/English Name of Foreign Financial Regulatory Authority
   Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector

   Yes No

6. (a) Is this a "master fund" in a master-feeder arrangement?

   Yes No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed
(c) Is this a “feeder fund” in a master-feeder arrangement?  
Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
Name of private fund:

Private fund identification number:
(include the “805-” prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

| No Information Filed |

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (“feeder funds”) invest all or substantially all of their assets in a single fund (“master fund”). A fund would also be a “feeder fund” investing in a “master fund” for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a “fund of funds”?  
Yes No

NOTE: For purposes of this question only, answer “yes” if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?  
Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?  
Yes No

10. What type of fund is the private fund?

- ☐ hedge fund  ☐ liquidity fund  ☐ private equity fund  ☐ real estate fund  ☐ securitized asset fund  ☐ venture capital fund  ☐ Other private fund: LUX FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 513,781,157

Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 25,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund’s beneficial owners:

   14

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   33%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

   0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?  
Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

   0%

Your Advisory Services
17. (a) Are you a subadviser to this private fund?
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Report Not Yet Received</th>
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</table>

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Report Not Yet Received</th>
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19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Report Not Yet Received</th>
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</table>

20. Approximately what percentage of your clients has invested in the private fund?

1%

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Report Not Yet Received</th>
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22. If yes, provide the private fund's Form D file number (if any):

<table>
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<tr>
<th>Yes</th>
<th>No</th>
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B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: LUXEMBOURG
State:                          Country: Luxembourg

(d) Is the auditing firm an independent public accountant?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>
### Prime Broker

24. (a) Does the private fund use one or more prime brokers?  
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Prime Broker</th>
<th></th>
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<tbody>
<tr>
<td>Yes</td>
<td>No</td>
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</tbody>
</table>

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### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?  
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>Custodian</th>
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<tbody>
<tr>
<td>Yes</td>
<td>No</td>
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</table>

#### Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

- (b) Legal name of custodian:  
  STATE STREET BANK LUXEMBOURG S.A.

- (c) Primary business name of custodian:  
  STATE STREET BANK LUXEMBOURG S.A.

- (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):  
  City: LUXEMBOURG  
  State:  
  Country: Luxembourg

- (e) Is the custodian a related person of your firm?  
  Yes No

- (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):  
  CRD Number (if any):

- (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

---

### Administrator

26. (a) Does the private fund use an administrator other than your firm?  
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

<table>
<thead>
<tr>
<th>Administrator</th>
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<tbody>
<tr>
<td>Yes</td>
<td>No</td>
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</table>

#### Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

- (b) Name of administrator:  
  STATE STREET BANK LUXEMBOURG S.A.

- (c) Location of administrator (city, state and country):  
  City: LUXEMBOURG  
  State:  
  Country: Luxembourg

---

*(Note: Use of terms like 'prime broker' and 'custodian' indicates the context of fund management, where 'related person' and 'related persons' may refer to individuals or entities associated with the investor or fund management)*
7. Private Fund Reporting

Yes No

B. Are you an adviser to any private fund? If "yes," then for each private fund: (i) is the private fund an independent public accountant (check all that apply; you must check at least one): (ii) qualify for the exclusion from the definition of investment company under section 3(c)(3) of the Investment Company Act of 1940 (iii) qualify for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

No Information Filed

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB COMMERCIAL REAL ESTATE DEBT FUND, SICAV-SIF S.C.SP.
   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-8369005337

2. Under the laws of what state or country is the private fund organized:
   State: Luxembourg
   Country: Luxembourg

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   AB COMMERCIAL REAL ESTATE DEBT MANAGEMENT, SÀ R.L.,
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   Name of Country/English Name of Foreign Financial Regulatory Authority
   Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector
   Yes No

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   No Information Filed
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes  No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes  No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes  No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: LUX FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 662,464,685

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 25,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

18

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

69%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

Yes  No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes  No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%
Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
   Yes No

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No

22. If yes, provide the private fund's Form D file number (if any):
   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   Yes No

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
   Yes No

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information: 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
       City: LUXEMBOURG
       State: Luxembourg

   (d) Is the auditing firm an independent public accountant?
       Yes No

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
       Yes No

       If yes, Public Company Accounting Oversight Board-Assigned Number:
       238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
       Yes No

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
       Yes No

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
       Yes No

       If "yes" to (h) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
       Yes No
Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
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<tr>
<th>Record(s) Filed</th>
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<tr>
<td>No Information Filed</td>
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</table>

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
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<tr>
<th>Record(s) Filed</th>
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<tbody>
<tr>
<td>No Information Filed</td>
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</tbody>
</table>

| (b) Legal name of custodian: |
| STATE STREET BANK LUXEMBOURG S.A. |

| (c) Primary business name of custodian: |
| STATE STREET BANK LUXEMBOURG S.A. |

| (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): |
| City: LUXEMBOURG | State: Luxembourg | Country: Luxembourg |

| (e) Is the custodian a related person of your firm? |
| No |

| (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): |
| CRD Number (if any): |

| (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any): |
| No Information Filed |

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) for each administrator. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) for each administrator. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

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<th>Record(s) Filed</th>
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<tbody>
<tr>
<td>No Information Filed</td>
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</tbody>
</table>

| (b) Name of administrator: |
| STATE STREET BANK LUXEMBOURG S.A. |

| (c) Location of administrator (city, state and country): |
| City: LUXEMBOURG | State: Luxembourg | Country: Luxembourg |
27. During your last fiscal year, what percentage of the private fund’s assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

AB EARLY STAGE MANAGER (DELAWARE) FUND L.P.

(b) Private fund identification number:

(include the "805-" prefix also)

805-7580714133

2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB EARLY STAGE MANAGER G.P. LLC</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

☐ ☐

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed
(c) Is this a "feeder fund" in a master-feeder arrangement?

Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- ☐ hedge fund
- ☐ liquidity fund
- ☐ private equity fund
- ☐ real estate fund
- ☐ securitized asset fund
- ☐ venture capital fund
- ☐ Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 54,403,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

284

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

5%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%
17. (a) Are you a subadviser to this private fund?
Yes ☐ No ☐
(b) If the answer to question 17.(a) is “yes,” provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is “no,” leave this question blank.
No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
Yes ☐ No ☐
(b) If the answer to question 18.(a) is “yes,” provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is “no,” leave this question blank.
No Information Filed

19. Are your clients solicited to invest in the private fund?
Yes ☐ No ☐
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
Yes ☐ No ☐

22. If yes, provide the private fund’s Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-247569</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund’s financial statements subject to an annual audit?
Yes ☐ No ☐
(2) If the answer to question 23.(a)(1) is “yes,” are the financial statements prepared in accordance with U.S. GAAP?
Yes ☐ No ☐
If the answer to question 23.(a)(1) is “yes,” respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is “yes,” respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICWATERHOUSECOOPERS

c) The location of the auditing firm’s office responsible for the private fund’s audit (city, state and country):

<table>
<thead>
<tr>
<th>City:</th>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

d) Is the auditing firm an independent public accountant?
Yes ☐ No ☐

e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If “yes” to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
Yes ☐ No ☐

(g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund’s investors?
Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes ☐ No ☐
Report Not Yet Received
Prime Broker

24. (a) Does the private fund use one or more prime brokers?
   Yes No
   ☐ ☐

   If the answer to question 24.(a) is “yes,” respond to questions (b) through (e) for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
   Yes No
   ☐ ☐

   If the answer to question 25.(a) is “yes,” respond to questions (b) through (g) for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

   Additional Custodian Information : 1 Record(s) Filed.

   If the answer to question 25.(a) is “yes,” respond to questions (b) through (g) for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

   (b) Legal name of custodian:
   STATE STREET BANK AND TRUST COMPANY

   (c) Primary business name of custodian:
   STATE STREET BANK AND TRUST COMPANY

   (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
   City: Boston State: Massachusetts Country: United States
   Yes No
   ☐ ☐

   (e) Is the custodian a related person of your firm?
   Yes No
   ☐ ☐

   (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
   CRD Number (if any):

   (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?
   Yes No
   ☐ ☐

   If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) for each administrator the private fund uses. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

   Additional Administrator Information : 1 Record(s) Filed.

   If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) for each administrator the private fund uses. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

   (b) Name of administrator:
   INTERNATIONAL FUND SERVICES

   (c) Location of administrator (city, state and country):
   City: Dublin State: Country:
   Ireland
   Yes No
   ☐ ☐
27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   100%
   Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
   You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   AB FINANCIAL SERVICES OPPORTUNITIES MASTER FUND L.P.

(b) Private fund identification number:
   (include the "805-" prefix also)
   805-3411574851

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   ALLANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   Yes ☐ No ☐

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB FINANCIAL SERVICES OPPORTUNITIES CAYMAN FUND, L.P.</td>
<td>805-9111725196</td>
</tr>
<tr>
<td>AB FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P.</td>
<td>805-6643270593</td>
</tr>
</tbody>
</table>
(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Additional Feeder Fund Information : 2 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:</td>
</tr>
<tr>
<td>(a) Name of the private fund:</td>
</tr>
<tr>
<td>AB FINANCIAL SERVICES OPPORTUNITIES CAYMAN FUND, L.P.</td>
</tr>
</tbody>
</table>
| (b) Private fund identification number:
(include the "805-" prefix also) |
| 805-9111725196 |
| (c) Under the laws of what state or country is the private fund organized: |
| State: Cayman Islands |
| Country: Cayman Islands |
| (d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): |
| Name of General Partner, Manager, Trustee or Director |
| AB FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC |
| (d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: |
| No Information Filed |
| (e) The private fund (check all that apply; you must check at least one): |
| ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 |
| ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 |
| (f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. |
| Name of Country/English Name of Foreign Financial Regulatory Authority |
| Cayman Islands - Cayman Islands Monetary Authority |

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the private fund:

AB FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P.

(b) Private fund identification number:
(include the "805-" prefix also)

805-6643270593

(c) Under the laws of what state or country is the private fund organized:

State: Country:
(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

No Information Filed

(e) The private fund (check all that apply; you must check at least one):

- ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   - ○ Yes
   - ☑ No

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?
   - ○ Yes
   - ○ No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
   - ○ Yes
   - ○ No

10. What type of fund is the private fund?
    - ☑ hedge fund
    - ○ liquidity fund
    - ○ private equity fund
    - ○ real estate fund
    - ○ securitized asset fund
    - ○ venture capital fund
    - ○ Other private fund: 

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 468,231,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 250,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
    1520

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
    1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
    0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
   - ○ Yes
   - ○ No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
    1%
17. (a) Are you a subadviser to this private fund?
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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<td></td>
</tr>
</tbody>
</table>

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>Yes</th>
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</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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</tbody>
</table>

19. Are your clients solicited to invest in the private fund?

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?

   1%

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-288734</td>
</tr>
<tr>
<td>021-288735</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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</tbody>
</table>

Additional Auditor Information : 1 Record(s) Filed:

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
   PRICewaterhousecoopers

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
   City: NEW YORK
   State: New York
   Country: United States

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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</table>

   (d) Is the auditing firm an independent public accountant?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>No</td>
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</table>

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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</table>

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</tr>
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<tbody>
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</table>

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>No Information Filed</td>
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</tbody>
</table>

Your Advisory Services

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

<table>
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23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

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<th>Yes</th>
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Additional Auditor Information : 1 Record(s) Filed:

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
   PRICewaterhousecoopers

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
   City: NEW YORK
   State: New York
   Country: United States

<table>
<thead>
<tr>
<th>Yes</th>
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   (d) Is the auditing firm an independent public accountant?

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   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

<table>
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   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

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   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

<table>
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<tr>
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</tbody>
</table>
24. (a) Does the private fund use one or more prime brokers?
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information: 1 Record(s) Filed.

(b) Legal name of prime broker:
STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of prime broker:
STATE STREET BANK AND TRUST COMPANY

(d) The location of the prime broker's office responsible for marketing purposes (city, state and country):
City: State: Country:
NEW YORK: New York: United States

(e) Is the prime broker a related person of your firm?
Yes ☐ No ☐

Administrator

26. (a) Does the private fund use an administrator other than your firm?
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

(b) Name of administrator:
STATE STREET BANK AND TRUST COMPANY

(c) Location of administrator (city, state and country):
City: State: Country:
BOSTON: Massachusetts: United States
(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

☐ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

STATE STREET BANK AND TRUST COMPANY

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

☐ Yes ☐ No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

AB NEXT 50 EMERGING MARKETS (LUXEMBOURG) FUND SICAV-SIF S.C.SP.

(b) Private fund identification number:

(include the "805-" prefix also)

805-1852909846

2. Under the laws of what state or country is the private fund organized:

State: 

Country: Luxembourg

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

ALLIANCEBERNSTEIN NEXT 50 EMERGING MARKETS (LUXEMBOURG) MANAGEMENT, S.À R.L.

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector

Yes No

6. (a) Is this a "master fund" in a master-feeder arrangement?

☐ Yes ☐ No

Instructions 6 of the Instructions to Part 1A

For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds invest in securities issued by investment companies registered under the Investment Company Act of 1940.

The location of the custodian's office responsible for custody of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person. If the answer to question 17(a) is "yes," provide the name and SEC file number.

The location of the custodian's office responsible for custody of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person. If the answer to question 18(a) is "yes," provide the name and SEC file number.

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

During your last fiscal year, did the private fund ever rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

If the answer to question 23(a)(1) is "yes," respond to questions (b) through (h) below.

During your last fiscal year, did the private fund ever rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940?

Yes No

If the answer to question 25(a) is "yes," respond to questions (b) through g) below for each of the feeder funds:

Under the laws of what state or country is the private fund registered?

Includes only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940, are sales of such securities under section 3(c)(7) of the Investment Company Act of 1940, and fee calculations (including allocations) was the valuation determined by such person.

If the answer to question 26(a) is "yes," respond to questions (b) through (f) below.

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If the answer to question 26(a) is "yes," provide the name and SEC file number.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?

Yes No

If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

List the name and country, in English, of each related person.

Is this a "master fund" in a master-feeder arrangement?
(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

.hedge fund .liquidity fund .private equity fund .real estate fund .securitized asset fund .venture capital fund .Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$92,117,211

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$10,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

85

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
   28%

**Your Advisory Services**

17. (a) Are you a subadviser to this private fund?
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed

19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

**Private Offering**

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-219169

B. SERVICE PROVIDERS

**Auditors**

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   **Additional Auditor Information : 1 Record(s) Filed.**

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
      PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
      City: LUXEMBOURG
      State: Luxembourg

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   Yes No
(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?  
Yes ☐ No ☐ Report Not Yet Received  
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?  
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

| Prime Broker | Yes ☐ No ☐ |  
| Prime Broker | No Information Filed |

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?  
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

| Custodian | Yes ☐ No ☐ |  
| Custodian | No Information Filed |

Additional Custodian Information : 1 Record(s) Filed.

| Additional Custodian Information | Yes ☐ No ☐ |  
| Additional Custodian Information | No Information Filed |

(b) Legal name of custodian:  
STATE STREET CAYMAN TRUST COMPANY LTD.

(c) Primary business name of custodian:  
STATE STREET CAYMAN TRUST COMPANY LTD.

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):  
City: GRAND CAYMAN  
State:  
Country: Cayman Islands

(e) Is the custodian a related person of your firm?  
Yes ☐ No ☐

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):  
CRD Number (if any):  

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?  
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

| Administrator | Yes ☐ No ☐ |  
| Administrator | No Information Filed |

Additional Administrator Information : 1 Record(s) Filed.

| Additional Administrator Information | Yes ☐ No ☐ |  
| Additional Administrator Information | No Information Filed |

(b) Name of administrator:  
STATE STREET CAYMAN TRUST COMPANY LTD.
(c) Location of administrator (city, state and country):

City: GRAND CAYMAN
State: Country: Cayman Islands

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

◯ Yes (provided to all investors) ◯ Some (provided to some but not all investors) ◯ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

No Information Filed

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

   ABCLO 2007-1, LTD.

   (b) Private fund identification number:

   (include the "805-" prefix also)

   805-9153937241

2. Under the laws of what state or country is the private fund organized:

   State: Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director

   ALLIANCEBERNSTEIN L.P.

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   Yes No

   ☑
(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
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</tbody>
</table>

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:

(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer “yes” if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
</tr>
</tbody>
</table>

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 0

12. Minimum investment commitment required of an investor in the private fund:

$ 0

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed

19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

   Yes No

20. Approximately what percentage of your clients has invested in the private fund?
    0%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
    Yes No

22. If yes, provide the private fund's Form D file number (if any):

   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
    (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   No Information Filed

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

   Yes No Report Not Yet Received

   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

25. (a) Is the custodian a broker-dealer?
   (b) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its CRD number.
   (c) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements?
   (d) The location of the custodian's office responsible for custody of the private fund.
   (e) Are any investment advisers (other than the investment adviser listed in Section 7.B.(1).A.3.(b)) serving in a similar capacity?
   (f) If yes, United States or non-U.S. firm?
   (g) Are any investment advisers (other than the investment adviser listed in Section 7.B.(1).A.3.(b)) relying on a foreign Financial Regulatory Authority?
   (h) If yes, Public Company Accounting Oversight Board-Assigned Number?
   (i) If yes, what is the name of the auditing firm?
   (j) If yes, are the auditors subject to regular inspection by the Public Company Accounting Oversight Board?

   No Information Filed
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

**Additional Custodian Information : 1 Record(s) Filed.**

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.

(c) Primary business name of custodian:
THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: HOUSTON
State: Texas
Country: United States

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

---

**Administrator**

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

**Additional Administrator Information : 1 Record(s) Filed.**

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.

(c) Location of administrator (city, state and country):
City: HOUSTON
State: Texas
Country: United States

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 0%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such
28. (a) Does the **private fund** use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the **person** acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar **person**. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the **private fund** uses. If the **private fund** uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

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### A. PRIVATE FUND

#### Information About the **Private Fund**

1. (a) Name of the **private fund**:

   **ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - AB EMERGING MARKETS DEBT OPPORTUNITIES SERIES**

   (b) **Private fund** identification number:
   
   (include the "805-" prefix also)
   
   805-5149856184

2. Under the laws of what state or country is the **private fund** organized:

   - **State**: Delaware
   - **Country**: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or **persons** serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>WILMINGTON TRUST COMPANY</td>
</tr>
</tbody>
</table>

   (b) If filing an **umbrella registration**, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this **private fund**.

   No Information Filed

4. The **private fund** (check all that apply; you must check at least one):

   - ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the **private fund** is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and **private fund** identification number (if any) of the feeder funds investing in this **private fund**?

   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and **private fund** identification number (if any) of the master fund in which this **private fund** invests?

   **Name of private fund**:

   **Private fund** identification number:

   (include the "805-" prefix also)

   NO INFORMATION FILED

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

---

Marketers

---

Yes ☐ No ☑.
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes  No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes  No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes  No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: INSTITUTIONAL FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 358,862,523

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

2

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes  No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes  No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes  No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes  No
20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No ☐ ☐

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
Yes No ☐ ☐
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
Yes No ☐ ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (g) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK
State: New York
Country: United States

Yes No ☐ ☐

(d) Is the auditing firm an independent public accountant?

Yes No ☐ ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No ☐ ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No ☐ ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No ☐ ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No ☐ ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No ☐ ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
   Yes  No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
   STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
   SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
   City:  State:  Country:
   TORONTO  Canada

   Yes  No

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
   CRD Number (if any):
   8 - 73

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) :

Administrator

26. (a) Does the private fund use an administrator other than your firm?
   Yes  No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
   SSB

(c) Location of administrator (city, state and country):
   City:  State:  Country:
   TORONTO  Canada

   Yes  No

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors)  Some (provided to some but not all investors)  No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - AB EMERGING MARKETS STRATEGIC CORE EQUITY SERIES

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-862880454

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>WILMINGTON TRUST COMPANY</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   
   - No
   
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   
   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   
   - No
   
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Private fund identification number:
   (include the "805-" prefix also)

   No Information Filed

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

○ hedge fund ○ liquidity fund ○ private equity fund ○ real estate fund ○ securitized asset fund ○ venture capital fund ○ Other private fund: INSTITUTIONAL FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 15,246,644

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

3

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.1.A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No
20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
       City:
       NEW YORK
       State:
       New York
       Country:
       United States

   (d) Is the auditing firm an independent public accountant?
       Yes No

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
       Yes No

       If yes, Public Company Accounting Oversight Board-Assigned Number:
       238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
       Yes No

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
       Yes No

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

       Yes No Report Not Yet Received

       If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

No Information Filed

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Country: Canada

Yes No

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO
State: Country: Canada

Yes No

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

Yes No

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - AB GLOBAL RESEARCH INSIGHTS SERIES II

   (b) Private fund identification number:

      (include the “805-” prefix also)

      805-4715576314

2. Under the laws of what state or country is the private fund organized:

   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   **Name of General Partner, Manager, Trustee, or Director**

   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   **No Information Filed**
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATE FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 230,904,713

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

302

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: State: Country:

NEW YORK New York United States

Yes No

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Is this a "feeder fund" in a master-feeder arrangement?

Yes No

If yes, what is the name and location of the custodian's office responsible for

Country:

?

25. (b) Is this a "master fund" in a master-feeder arrangement?

Yes No

25. (c) Are your private funds subject to umbrella registration?

Yes No

If yes, which private funds are subject to umbrella registration?

25. (d) Are your private funds related persons?

Yes No

If yes, identify the related persons:

?

25. (e) Are your private funds beneficially owned by non-related persons?

Yes No

If yes, identify the non-related persons:

?

25. (f) Are your private funds subject to regular inspection by foreign financial regulatory authorities?

Yes No

If yes, identify the foreign financial regulatory authorities:

?

25. (g) Are your private funds subject to regular inspection by a foreign government?

Yes No

If yes, identify the foreign government:

?
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

c) Primary business name of custodian:
SSB

d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada
Country: Canada

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

c) Location of administrator (city, state and country):
City: TORONTO
State: Canada
Country: Canada

d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

- Yes (provided to all investors)
- Some (provided to some but not all investors)
- No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - AB INTERNATIONAL RESEARCH INSIGHTS SERIES

   (b) Private fund identification number:

   (include the "805-" prefix also)

   805-3181401363

2. Under the laws of what state or country is the private fund organized:

   State: Delaware

   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   **Name of General Partner, Manager, Trustee, or Director**

   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATE FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 183,539,843

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

310

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

11%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No
20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

No Information Filed

22. If yes, provide the private fund's Form D file number (if any):
No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: State: Country:
NEW YORK New York United States

Yes No
(d) Is the auditing firm an independent public accountant?

Yes No
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No
If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No
(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No
Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada
Country: Canada

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
CRD Number (if any): 8 - 73

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO
State: Canada
Country: Canada

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
### A. PRIVATE FUND

#### Information About the Private Fund

1. (a) Name of the private fund:
   
   **ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - AB OPTIONS RETURN ADVANTAGE SERIES**

2. Under the laws of what state or country is the private fund organized:
   - **State:** Delaware
   - **Country:** United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   **Name of General Partner, Manager, Trustee, or Director**
   
   **WILMINGTON TRUST COMPANY**

4. The private fund (check all that apply; you must check at least one):
   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?
   - Yes: No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

7. Is this a "feeder fund" in a master-feeder arrangement?
   - Yes: No

8. If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   **Private fund:**

   **Private fund identification number:**
   
   (include the "805-" prefix also)

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

   **NOTE:** You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

   **7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:**

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   Yes No
   <lorem ipsum>

(b) If yes, does the private fund invest in funds managed by you or by a related person?
   Yes No
   <lorem ipsum>

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
   Yes No
   <lorem ipsum>

10. What type of fund is the private fund?
    - hedge fund
    - liquidity fund
    - private equity fund
    - real estate fund
    - securitized asset fund
    - venture capital fund
    - Other private fund: PRIVATE FUND

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 5,000,000

    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
    0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
    0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
    0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
   Yes No
   <lorem ipsum>

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
    0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
    Yes No
    <lorem ipsum>

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
    Yes No
    <lorem ipsum>

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
    Yes No
    <lorem ipsum>
20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes  No
22. If yes, provide the private fund's Form D file number (if any):
   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
    Yes  No
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
    Yes  No
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (e) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
   PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
   City: NEW YORK  State: New York  Country: United States

(d) Is the auditing firm an independent public accountant?
   Yes  No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
   Yes  No
If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
   Yes  No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
   Yes  No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
   Yes  No  Report Not Yet Received
   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
    Yes  No
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Custodian

(Include the "805-" prefix also)
25. (a) Does the \textit{private fund} use any custodians (including the prime brokers listed above) to hold some or all of its assets?  

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the \textit{private fund} uses. If the \textit{private fund} uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

\begin{table}[h]
\begin{tabular}{|l|}
\hline
\textbf{Additional Custodian Information : 1 Record(s) Filed.} \\
\hline

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the \textit{private fund} uses. If the \textit{private fund} uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

\begin{itemize}
\item[(b)] Legal name of custodian: 
\textbf{STATE STREET BANK & TRUST COMPANY}
\item[(c)] Primary business name of custodian: 
\textbf{SSB}
\item[(d)] The location of the custodian's office responsible for \textit{custody} of the \textit{private fund}'s assets (city, state and country):
\begin{itemize}
\item City: \textbf{TORONTO}
\item State: \textbf{Canada}
\end{itemize}
\item[(e)] Is the custodian a related person of your firm?  
\begin{itemize}
\item Yes \hspace{1cm} No
\end{itemize}
\item[(f)] If the custodian is a broker-dealer, provide its SEC registration number (if any):
\begin{itemize}
\item CRD Number (if any): \textbf{8 - 73}
\end{itemize}
\item[(g)] If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its \textit{legal entity identifier} (if any)
\end{itemize}
\end{tabular}
\end{table}

\begin{table}[h]
\begin{tabular}{|l|}
\hline
\textbf{Administrator} \\
\hline

26. (a) Does the \textit{private fund} use an administrator other than your firm?  

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the \textit{private fund} uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

\begin{table}[h]
\begin{tabular}{|l|}
\hline
\textbf{Additional Administrator Information : 1 Record(s) Filed.} \\
\hline

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the \textit{private fund} uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

\begin{itemize}
\item[(b)] Name of administrator: 
\textbf{SSB}
\item[(c)] Location of administrator (city, state and country):
\begin{itemize}
\item City: \textbf{TORONTO}
\item State: \textbf{Canada}
\end{itemize}
\item[(d)] Is the administrator a related person of your firm?  
\begin{itemize}
\item Yes \hspace{1cm} No
\end{itemize}
\item[(e)] Does the administrator prepare and send investor account statements to the \textit{private fund}'s investors?  
\begin{itemize}
\item Yes (provided to all investors) \hspace{1cm} Some (provided to some but not all investors) \hspace{1cm} No (provided to no investors)
\end{itemize}
\item[(f)] If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) \textit{private fund}'s investors? If investor account statements are not sent to the (rest of the) \textit{private fund}'s investors, respond "not applicable."
\textbf{AB}
\end{itemize}
\end{tabular}
\end{table}

27. During your last fiscal year, what percentage of the \textit{private fund}'s assets (by value) was valued by a person, such as an administrator, that is not your related person?

\hspace{1.5cm} 100% \\

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - ALLIANCEBERNSTEIN EUROPEAN OPPORTUNITIES SERIES

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-9479999398

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director:
   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

   You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATE FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 823,823,390

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

1337

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

2%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?
20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):
No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK State: New York Country: United States

Yes No

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO
State: Canada

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

☐ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☑ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? 

Yes ☐ No ☐

You must answer “yes” whether the person acts as a placement agent, consultant, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is “yes,” respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - ALLIANCEBERNSTEIN FUNDAMENTAL INTERNATIONAL SMALL CAP SERIES

   (b) Private fund identification number:

   (include the “805-“ prefix also)

   805-8499294162

2. Under the laws of what state or country is the private fund organized:

   State: Delaware

   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director

   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a “master fund” in a master-feeder arrangement?

   Yes ☐ No ☐

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

   Yes ☐ No ☐

   (c) Is this a “feeder fund” in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:

   (include the “805-“ prefix also)

   No Information Filed

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
Yes No
NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 5.e.)?
Yes No

10. What type of fund is the private fund?
- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: INSTITUTIONAL FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
$ 96,943,521

Ownership

12. Minimum investment commitment required of an investor in the private fund:
$ 5,000,000
NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
41

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
Yes No
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
Yes No
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

19. Are your clients solicited to invest in the private fund?
Yes No
20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes ☐ No ☐

22. If yes, provide the private fund's Form D file number (if any):

Form D file number
021-1

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

Yes ☐ No ☐

(1) If the answer to question 23.(a) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes ☐ No ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK State: New York Country: United States

(d) Is the auditing firm an independent public accountant?

Yes ☐ No ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes ☐ No ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes ☐ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO State: Country: Canada

Yes No

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO State: Country: Canada

Yes No

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

Yes No

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%
28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer “yes” whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is “yes,” respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

Yes No

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLANCERBROENSTEIN DELAWARE BUSINESS TRUST - ALLANCERBROENSTEIN INTERNATIONAL ALL-COUNTRY PASSIVE SERIES

(b) Private fund identification number:

(include the "805-" prefix also)
805-2453565802

2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director
WILMINGTON TRUST COMPANY

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

Yes No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

Yes No

(c) Is this a "feeder fund" in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:

(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes  No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes  No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes  No

10. What type of fund is the private fund?

☐ hedge fund  ☐ liquidity fund  ☐ private equity fund  ☐ real estate fund  ☐ securitized asset fund  ☐ venture capital fund  ☐ Other private fund: INSTITUTIONAL FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 72,064,652

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund’s beneficial owners:

5

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes  No

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes  No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes  No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed
20. Approximately what percentage of your clients has invested in the private fund?
   1%

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes  No

22. If yes, provide the private fund's Form D file number (if any):
   Form D file number
   021-1

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
   
   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
      PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
      City: NEW YORK  State: New York  Country: United States

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
      Yes  No

      If yes, Public Company Accounting Oversight Board-Assigned Number:
      238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
      Yes  No

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
   Yes  No

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
      Yes  No  Report Not Yet Received

      If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

24. (a) Does the private fund use one or more prime brokers?
   Yes  No

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed
### Custodian

25. (a) Does the **private fund** use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the **private fund** uses. If the **private fund** uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

**Additional Custodian Information : 1 Record(s) Filed.**

<table>
<thead>
<tr>
<th>(b) Legal name of custodian:</th>
<th>STATE STREET BANK &amp; TRUST COMPANY</th>
</tr>
</thead>
<tbody>
<tr>
<td>(c) Primary business name of custodian:</td>
<td>SSB</td>
</tr>
<tr>
<td>(d) The location of the custodian's office responsible for custody of the <strong>private fund</strong>'s assets (city, state and country):</td>
<td>City: TORONTO</td>
</tr>
<tr>
<td>(e) Is the custodian a related person of your firm?</td>
<td>Yes No</td>
</tr>
<tr>
<td>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</td>
<td>8 - 73</td>
</tr>
<tr>
<td>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</td>
<td></td>
</tr>
</tbody>
</table>

### Administrator

26. (a) Does the **private fund** use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the **private fund** uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

**Additional Administrator Information : 1 Record(s) Filed.**

<table>
<thead>
<tr>
<th>(b) Name of administrator:</th>
<th>SSB</th>
</tr>
</thead>
<tbody>
<tr>
<td>(c) Location of administrator (city, state and country):</td>
<td>City: TORONTO</td>
</tr>
<tr>
<td>(d) Is the administrator a related person of your firm?</td>
<td>Yes No</td>
</tr>
<tr>
<td>(e) Does the administrator prepare and send investor account statements to the <strong>private fund</strong>'s investors?</td>
<td>Yes (provided to all investors)</td>
</tr>
<tr>
<td>(f) If the answer to question 26.(e) is &quot;no&quot; or &quot;some,&quot; who sends the investor account statements to the (rest of the) <strong>private fund</strong>'s investors? If investor account statements are not sent to the (rest of the) <strong>private fund</strong>'s investors, respond &quot;not applicable.&quot;</td>
<td>AB</td>
</tr>
</tbody>
</table>

27. During your last fiscal year, what percentage of the **private fund**'s assets (by value) was valued by a person, such as an administrator, that is not your related person?
Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

**Marketers**

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?  
   Yes ☐  No ☐  
   You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

   No Information Filed

A. PRIVATE FUND

**Information About the Private Fund**

1. (a) Name of the private fund:  
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST - ALLIANCEBERNSTEIN INTERNATIONAL STRATEGIC EQUITIES SERIES

   (b) Private fund identification number:  
   (include the "805-" prefix also)  
   805-8605771878

2. Under the laws of what state or country is the private fund organized:  
   State: Delaware  
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   **Name of General Partner, Manager, Trustee, or Director**
   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☒ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?  
   Yes ☐  No ☐

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?  
   Yes ☐  No ☐

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:  
   Private fund identification number:  
   (include the "805-" prefix also)

   No Information Filed

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   Note: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

   Yes No

8. (a) Is this private fund a "fund of funds"?

   Note: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or a related person?

   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

   Yes No

10. What type of fund is the private fund?

   - hedge fund
   - liquidity fund
   - private equity fund
   - real estate fund
   - securitized asset fund
   - venture capital fund
   - Other private fund: INSTITUTIONAL FUND

   Note: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $151,123,048

Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $1,000,000

   Note: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   19

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

   0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

   Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-united states persons:

   0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

   Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

   Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed
19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No

22. If yes, provide the private fund's Form D file number (if any):
   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
       City: NEW YORK State: New York Country: United States

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

       If yes, Public Company Accounting Oversight Board-Assigned Number:
       238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO  
State: Canada  
Country: Canada

(e) Is the custodian a related person of your firm?

No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
CRD Number (if any):
8 - 73

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO  
State: Country: Canada

(d) Is the administrator a related person of your firm?

No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors)  
Some (provided to some but not all investors)  
No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
In the clarifying note, 100% include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

**Marketers**

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?  
   [ ] Yes  [ ] No

   You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

   [ ] No Information Filed

### A. PRIVATE FUND

**Information About the Private Fund**

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST AB INTERNATIONAL STRATEGIC EQUITIES HARVESTING SERIES T

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-9176700778

2. Under the laws of what state or country is the private fund organized:
   State: Delaware  Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   [ ] Name of General Partner, Manager, Trustee, or Director
   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   [ ] No Information Filed

4. The private fund (check all that apply; you must check at least one):
   [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   [ ] No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   [ ] Yes  [ ] No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   [ ] No Information Filed

6. (b) Is this a "feeder fund" in a master-feeder arrangement?
   [ ] Yes  [ ] No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

   [ ] No Information Filed

**NOTE:** You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes No
8. (a) Is this private fund a "fund of funds"?

Yes No
(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATEFUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 71,908,196

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 1,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

3

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

Yes No
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

Yes No
17. (a) Are you a subadviser to this private fund?

Yes No
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed
19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.
   
20. Approximately what percentage of your clients has invested in the private fund?
   
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

    | Additional Auditor Information: 1 Record(s) Filed |
    |-----------------------------------------------|
    | If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. |
    | (b) Name of the auditing firm: |
    | PRICEWATERHOUSECOOPERS |
    | (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country): |
    | City: NEW YORK |
    | State: New York |
    | Country: United States |
    | (d) Is the auditing firm an independent public accountant? |
    | Yes No |
    | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? |
    | Yes No |
    | If yes, Public Company Accounting Oversight Board-Assigned Number: 238 |
    | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? |
    | Yes No |
    | (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors? |
    | Yes No |
    | (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions? |
    | Yes No  Report Not Yet Received |

   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.
Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY

(c) Primary business name of custodian:
SSB

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO State: Country: Canada

(e) Is the custodian a related person of your firm?
Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
CRD Number (if any):
8 - 73

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?
Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO State: Country: Canada

(d) Is the administrator a related person of your firm?
Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

<table>
<thead>
<tr>
<th>Marketers</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST-AB GLOBAL RESEARCH INSIGHTS SERIES
   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-1828627958

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   WILMINGTON TRUST COMPANY
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
      No Information Filed

4. The private fund (check all that apply; you must check at least one):
   [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed

   Yes No

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
      Name of private fund:
      Private fund identification number:
      (include the "805-" prefix also)

   Yes No

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

   Yes No

8. (a) Is this private fund a "fund of funds"?
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST-AB GLOBAL RESEARCH INSIGHTS SERIES

2. Is the private fund [ ] a (1) registered investment company under section 3(c)(1) of the Investment Company Act of 1940 or [ ] a (2) qualified for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940?
   [ ] No
   [X] Yes

22. If yes, provide the private fund's Form D file number (if any): [ ]

Approximate number of the beneficial owners:

1851

What is the approximate percentage of the private fund beneficially owned by you and your related persons:

2%

What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
   [ ] No
   [X] Yes

What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   [ ] Yes
   [ ] No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   [ ] Yes
   [ ] No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

Are your clients solicited to invest in the private fund?
   [ ] Yes
   [ ] No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   [ ] Yes
   [ ] No

22. If yes, provide the private fund's Form D file number (if any): [ ]
B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?
   Yes ☐ No ☐
   (1) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
      Yes ☐ No ☐
   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

   (b) Name of the auditing firm:
      PRICEWATERHOUSECOOPERS
   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
      City: NEW YORK
      State: New York
      Country: United States
   (d) Is the auditing firm an independent public accountant?
      Yes ☐ No ☐
   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
      Yes ☐ No ☐
   If yes, Public Company Accounting Oversight Board-Assigned Number:
      238
   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
      Yes ☐ No ☐
   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
      Yes ☐ No ☐
   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
      Yes ☐ No ☐ Report Not Yet Received
      If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
      Yes ☐ No ☐
      If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

      No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
      Yes ☐ No ☐
      If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information: 1 Record(s) Filed.

   If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
### Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

<table>
<thead>
<tr>
<th>Additional Administrator Information: 1 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the answer to question 26.(a) is &quot;yes,&quot; respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.</td>
</tr>
<tr>
<td>(b) Name of administrator:</td>
</tr>
<tr>
<td>(c) Location of administrator (city, state and country):</td>
</tr>
<tr>
<td>(d) Is the administrator a related person of your firm?</td>
</tr>
<tr>
<td>(e) Does the administrator prepare and send investor account statements to the private fund's investors?</td>
</tr>
<tr>
<td>(f) If the answer to question 26.(e) is &quot;no&quot; or &quot;some,&quot; who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond &quot;not applicable.&quot;</td>
</tr>
</tbody>
</table>

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

### Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST-AB INTERNATIONAL RESEARCH INSIGTS HARVESTING SERIES T

   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-8801648979

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director
   WILMINGTON TRUST COMPANY

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
      No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
      No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

      Name of private fund:

      Private fund identification number:
      (include the "805-" prefix also)

      NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
      No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN DELAWARE BUSINESS TRUST-AB GLOBAL RESEARCH INSIGHTS SERIES

(b) If yes, does the private fund invest in funds managed by you or by a related person?

No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATE FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 42,638,315

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

3

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

100%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds?

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes
B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit? 
(1) If yes, are the financial statements prepared in accordance with U.S. GAAP?
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm’s office responsible for the private fund's audit (city, state and country):
City: NEW YORK
State: New York
Country: United States

(d) Is the auditing firm an independent public accountant?
Yes

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
Yes

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
Yes

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
A. PRIVATE FUND
Information About the Private Fund
1. (a) Name of the private fund:
ALLIANCEBERNSTEIN DELAWARE ...
17. (a) Is the private fund a hedge fund, private equity fund, or real estate fund?
Yes No

(b) Legal name of custodian:
STATE STREET BANK & TRUST COMPANY
18. (b) Is the custodian a related person of your firm?
Yes No

(c) Primary business name of custodian:
SSB
19. (c) If the answer to question 18.(b) is "yes," respond to questions (d) through (h) below for each related person.

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada
Country: Yes No

(e) Is the custodian a related person of your firm?
Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any): Yes No

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator
26. (a) Does the private fund use an administrator other than your firm?
Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (g) below for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
SSB

(c) Location of administrator (city, state and country):
City: TORONTO
State: Canada
Country: Yes No

(d) Is the administrator a related person of your firm?
Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

Marketers
28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES CAYMAN FUND, L.P.

   (b) Private fund identification number:
       (include the "805-" prefix also)
       805-5602716319

2. Under the laws of what state or country is the private fund organized:
   State: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director
   ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

       No Information Filed

4. The private fund (check all that apply; you must check at least one):

   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   [ ] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

       No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

       No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

       Name of private fund:
       ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MASTER FUND, L.P.

       Private fund identification number:
       (include the "805-" prefix also)
       805-1120689111

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

       No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

2. (a)

3. (a)

4. (a)

5. (a)

6. (a)

7. (a)

8. (a)

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

  - hedge fund
  - liquidity fund
  - private equity fund
  - real estate fund
  - securitized asset fund
  - venture capital fund
  - Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 56,109,971

Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   202

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   28%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

   0%

Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

   10%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund:

   0%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No
B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?
Yes No

If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK State: New York Country: United States

(d) Is the auditing firm an independent public accountant?
Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK AND TRUST COMPANY

(c) Location of administrator (city, state and country):
City: BOSTON State: Massachusetts Country: United States

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

- Yes (provided to all investors)
- Some (provided to some but not all investors)
- No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

STATE STREET BANK AND TRUST COMPANY

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
### Information About the Private Fund

1. **(a) Name of the private fund:**
   
   ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P.

   **(b) Private fund identification number:**
   
   (include the "805-" prefix also)
   
   805-4004134439

2. Under the laws of what state or country is the private fund organized:
   
<table>
<thead>
<tr>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
</tbody>
</table>

3. **(a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):**

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC</td>
</tr>
</tbody>
</table>

   **(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.**

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. **(a) Is this a "master fund" in a master-feeder arrangement?**

   **(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?**

   No Information Filed

   **(c) Is this a "feeder fund" in a master-feeder arrangement?**

   **(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?**

   **Name of private fund:**
   
   ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MASTER FUND, L.P

   **Private fund identification number:**
   
   (include the "805-" prefix also)
   
   805-1120689111

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. **(a) Is this private fund a "fund of funds"?**

   No Information Filed
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund: ALLIANCEBERNSTEIN DELAWARE...

(b) If yes, does the private fund invest in funds managed by you or by a related person? 

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund?

0%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund: ALLIANCEBERNSTEIN DELAWARE OPPORTUNITIES PRIVATE FUND

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number: 238

Yes No

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS

Yes No

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK
State: New York
Country: United States

Yes No

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

Yes No

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE... uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

(b) Legal name of custodian:
   STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:
   STATE STREET BANK AND TRUST COMPANY

(d) The location of the custodian’s office responsible for custody of the private fund’s assets (city, state and country):
   City: BOSTON
   State: Massachusetts
   Country: United States

(e) Is the custodian a related person of your firm?
   Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
   - CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?
   Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
   STATE STREET BANK AND TRUST COMPANY

(c) Location of administrator (city, state and country):
   City: BOSTON
   State: Massachusetts
   Country: United States

(d) Is the administrator a related person of your firm?
   Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   STATE STREET BANK AND TRUST COMPANY

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
   Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MASTER FUND, L.P.

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-1120689111

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES CAYMAN FUND, L.P</td>
<td>805-5602716319</td>
</tr>
<tr>
<td>ALLIANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P</td>
<td>805-4004134439</td>
</tr>
</tbody>
</table>

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:
   Private fund identification number:
   (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   Additional Feeder Fund Information : 2 Record(s) Filed.

   7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   (a) Name of the private fund:
   ALLIANCBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES CAYMAN FUND, L.P
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the private fund:
ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P.

(b) Private fund identification number:
(include the “805-” prefix also)
805-4004134439

(c) Under the laws of what state or country is the private fund organized:

State: Delaware  
Country: United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee or Director
ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
No Information Filed

(e) The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered:

Name of Country/English Name of Foreign Financial Regulatory Authority
Cayman Islands - Cayman Islands Monetary Authority

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (“feeder funds”) invest all or substantially all of their assets in a single fund (“master fund”). A fund would also be a “feeder fund” investing in a “master fund” for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

23. **ALLIANCEBERNSTEIN FINANCIAL SERVICES OPPORTUNITIES DELAWARE FUND, L.P.**

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes  No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes  No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 10,150

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

1

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

100%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes  No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes  No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes  No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes  No

20. Approximately what percentage of your clients has invested in the private fund:

0%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes  No
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN DELAWARE PRIVATE FUND

   If yes, what is the name and Public Company Accounting Oversight Board-Assigned Number:

   If yes, registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:

   Yes

   No

   238

   Are the private fund's financial statements subject to an annual audit?

   Is the private fund subject to the requirements of section 206(2) and 206(4) of the Investment Advisers Act of 1940?

   Do all of the reports prepared by the auditing firm for the private fund contain unqualified opinions?

   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:

   PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

   City: NEW YORK
   State: New York
   Country: United States

   Yes

   No

   (d) Is the auditing firm an independent public accountant?

   Yes

   No

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:

   238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   Yes

   No

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

   Yes

   No

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

   Yes

   No

   Report Not Yet Received

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

   If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

   Additional Custodian Information : 1 Record(s) Filed.

   If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
ALLIANCEBERNSTEIN DELAWARE FINANCIAL SERVICES OPPORTUNITIES MANAGEMENT LLC

(b) Legal name of custodian:
STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:
STATE STREET BANK AND TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: BOSTON
State: Massachusetts
Country: United States

(e) Is the custodian a related person of your firm?

Yes No

0 0

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK AND TRUST COMPANY

(c) Location of administrator (city, state and country):
City: BOSTON
State: Massachusetts
Country: United States

Yes No

0 0

(d) Is the administrator a related person of your firm?

Yes No

0 0

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors)  Some (provided to some but not all investors)  No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some, who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

STATE STREET BANK AND TRUST COMPANY

Marketers

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

0 0

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN GROUP TRUST - EMERGING MARKETS FUND

   (b) Private fund identification number:
       (include the "805-" prefix also)
       805-5508514307

2. Under the laws of what state or country is the private fund organized:
   
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   
   Name of General Partner, Manager, Trustee, or Director
   NORTHERN TRUST COMPANY (CUSTODIAL TTEE)

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
       No Information Filed

4. The private fund (check all that apply; you must check at least one):
   
   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered:
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   ☐ Yes ☑ No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
       No Information Filed

6. (c) Is this a "feeder fund" in a master-feeder arrangement?
   ☜ Yes ☐ No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:
   
   Private fund identification number:
   (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   ☐ Yes ☑ No
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN DELAWARE

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: GROUP TRUST

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 198,648,362

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

2

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. (a) Name(s) and address(es) of each foreign financial regulatory authority that supervises or regulates the private fund.

23. (a) Name(s) of the custodian(s) or administrator(s) of the private fund:

24. (a) Name of the independent public accountant of the private fund:

25. (a) Qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940?

Yes No

(b) If yes: Is the auditing firm an independent public accountant?

Yes No

(c) If yes: Is the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

Yes ☐ No ☐

23. (b) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes ☐ No ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK  State: New York  Country: United States

(d) Is the auditing firm an independent public accountant?

Yes ☐ No ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes ☐ No ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes ☐ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes ☐ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
b) Legal name of custodian:
   NORTHERN TRUST COMPANY

c) Primary business name of custodian:
   NORTHERN TRUST

d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
   City: CHICAGO
   State: Illinois
   Country: United States

e) Is the custodian a related person of your firm?

f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
   CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

---

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
   STATE STREET BANK & TRUST CO

c) Location of administrator (city, state and country):
   City: TORONTO
   State: Canada

d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors)  Some (provided to some but not all investors)  No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

---

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN INSTITUTIONAL FUND - GLOBAL PLUS FIXED INCOME FUND

   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-2076572093

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   Yes No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   Yes No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
      Name of private fund:
      Private fund identification number:
      (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   Yes No
(b) If yes, does the private fund invest in funds managed by you or a related person?  

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: INSTITUTIONAL FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 41,314,480

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

4

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No
22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
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<tbody>
<tr>
<td>021-77410</td>
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</table>

B. SERVICE PROVIDERS

**Auditors**

23. (a) Are the private fund's financial statements subject to an annual audit?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

(2) If the answer to question 23.(a) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

**Additional Auditor Information : 1 Record(s) Filed.**

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICewaterhousecoopers

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

| City: NEW YORK | State: New York | Country: United States |

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
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</table>

(d) Is the auditing firm an independent public accountant?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
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<tbody>
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</table>

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Report Not Yet Received</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

**Prime Broker**

24. (a) Does the private fund use one or more prime brokers?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
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</tbody>
</table>

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>No Information Filed</th>
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</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</thead>
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</table>

**Custodian**

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

**Additional Custodian Information : 1 Record(s) Filed.**

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
Administrator

26. (a) Does the private fund use an administrator other than your firm?  
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:  
NORTHERN TRUST

(c) Primary business name of administrator:  
NORTHERN TRUST

(d) The location of the administrator's office responsible for custody of the private fund's assets (city, state and country):
City: CHICAGO  
State: Illinois  
Country: United States

Yes No

(e) Is the administrator a related person of your firm?

Yes No

(f) If the administrator is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

Yes No

(g) If the administrator is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCBERNSTEIN INSTITUTIONAL FUND - INTERNATIONAL LARGE CAP GROWTH FUND
   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-6334528824

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
      No Information Filed

4. The private fund (check all that apply; you must check at least one):
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed
   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
      Name of private fund:
      Private fund identification number:
      (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.
8. (a) Is this private fund a “fund of funds”?
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?
    - [ ] hedge fund
    - [ ] liquidity fund
    - [ ] private equity fund
    - [ ] real estate fund
    - [ ] securitized asset fund
    - [ ] venture capital fund
    - [ ] Other private fund: INSTITUTIONAL FUND
    
    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 32

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 5,000,000
    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund’s beneficial owners:
    2

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
    1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
    0%
    
    (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
    0%

Your Advisory Services

Yes No

17. (a) Are you a subadviser to this private fund?
    (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

    No Information Filed

Yes No

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
    (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

    No Information Filed

Yes No

19. Are your clients solicited to invest in the private fund?
    NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund?
    1%

Private Offering

Yes No

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
22. If yes, provide the private fund’s Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
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<tbody>
<tr>
<td>021-77410</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund’s financial statements subject to an annual audit?

   Yes ☐ No ☐

   (2) If the answer to question 23.(a)(1) is “yes,” are the financial statements prepared in accordance with U.S. GAAP?

   Yes ☐ No ☐

   If the answer to question 23.(a)(1) is “yes,” respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is “yes,” respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:

       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm’s office responsible for the private fund’s audit (city, state and country):

       City: NEW YORK State: New York Country: United States

   (d) Is the auditing firm an independent public accountant?

       Yes ☐ No ☐

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

       Yes ☐ No ☐

       If yes, Public Company Accounting Oversight Board-Assigned Number:

       238

   (f) If “yes” to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

       Yes ☐ No ☐

   (g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund’s investors?

       Yes ☐ No ☐

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

       Yes ☐ No ☐ Report Not Yet Received

       If you check “Report Not Yet Received,” you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   Yes ☐ No ☐

   If the answer to question 24.(a) is “yes,” respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

   Yes ☐ No ☐

   If the answer to question 25.(a) is “yes,” respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

   Additional Custodian Information : 1 Record(s) Filed.
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below for each administrator the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each administrator.

(b) Legal name of administrator:
NORTHERN TRUST COMPANY

(c) Primary business name of administrator:
NORTHERN TRUST

(d) The location of the administrator's office responsible for custody of the private fund's assets (city, state and country):
City: CHICAGO  State: Illinois  Country: United States

(e) Is the administrator a related person of your firm?

(f) Does the administrator prepare and send investor account statements to the private fund's investors?

- Yes (provided to all investors)
- Some (provided to some but not all investors)
- No (provided to no investors)

(g) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLANCHEBERNSTEIN INSTITUTIONAL FUND - US STYLE BLEND FUND
   (b) Private fund identification number:
      include the "805-" prefix also
      805-4068434644

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   NORTHERN TRUST COMPANY (CUSTODIAL TTIE), WILMINGTON TRUST COMPANY (DELWARE TTIE)

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
      No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ✓ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
      Name of private fund:
      Private fund identification number:
      include the "805-" prefix also

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests,
8. (a) Is this private fund a “fund of funds”?
   Yes No
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
   (b) If yes, does the private fund invest in funds managed by you or by a related person?
   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
   Yes No

10. What type of fund is the private fund?
    - hedge fund
    - liquidity fund
    - private equity fund
    - real estate fund
    - securitized asset fund
    - venture capital fund
    - Other private fund: INSTITUTIONAL FUND
    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 5,000,000
    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund’s beneficial owners:
    0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
    0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
    0%
    Yes No
    (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
    Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
    0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
    Yes No
    (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
    No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
    Yes No
    (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
    No Information Filed

19. Are your clients solicited to invest in the private fund?
    Yes No
    NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
    1%

Private Offering
21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-77410</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes ☐ No ☐

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes ☐ No ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm’s office responsible for the private fund’s audit (city, state and country):

City: NEW YORK
State: New York
Country: United States

Yes ☐ No ☐

(d) Is the auditing firm an independent public accountant?

Yes ☐ No ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes ☐ No ☐

(g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes ☐ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes ☐ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
NORTHERN TRUST COMPANY

c) Primary business name of custodian:
NORTHERN TRUST

d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: CHICAGO State: Illinois Country: United States

(e) Is the custodian a related person of your firm?
Yes ☐ No ☐

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
CRD Number (if any):

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
NORTHERN TRUST

c) Location of administrator (city, state and country):
City: CHICAGO State: Illinois Country: United States

d) Is the administrator a related person of your firm?
Yes ☐ No ☐

e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors) ☐

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100% ☐

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes ☐ No ☐
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN MULTI-MANAGER HEDGE FUND PORTFOLIO, LTD.

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-6375580002

2. Under the laws of what state or country is the private fund organized:
   State:  
   Country:  
   Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>DENNIS HUNTER, KARLA BODDEN, MARK MANLEY</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other - CAYMAN ISLANDS MONETARY AUTHORITY</td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed
8. (a) Is this private fund a “fund of funds”?  
   Yes  No  
   NOTE: For purposes of this question only, answer “yes” if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?  
   Yes  No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?  
   Yes  No

10. What type of fund is the private fund?  
   ◆ hedge fund  ◆ liquidity fund  ◆ private equity fund  ◆ real estate fund  ◆ securitized asset fund  ◆ venture capital fund  ◆ Other private fund:  
   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:  
   $53,895,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:  
   $5,000,000  
   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:  
   51

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:  
   25%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:  
   0%  
   Yes  No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?  
   Yes  No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:  
   8%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?  
   Yes  No

(b) If the answer to question 17.(a) is “yes,” provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is “no,” leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.1.A.3.(b)) advise the private fund?  
   Yes  No

(b) If the answer to question 18.(a) is “yes,” provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is “no,” leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?  
   Yes  No  
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?  
   1%
Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (g) separately for each administrator.

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-166625</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?  
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

<table>
<thead>
<tr>
<th>(b) Name of the auditing firm:</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRICEWATERHOUSECOOPERS</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):</th>
</tr>
</thead>
</table>
| City: NEW YORK  
| State: New York  
| Country: United States |

<table>
<thead>
<tr>
<th>(d) Is the auditing firm an independent public accountant?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes No</td>
</tr>
</tbody>
</table>

If yes, Public Company Accounting Oversight Board-Assigned Number: 238

<table>
<thead>
<tr>
<th>(f) If &quot;yes&quot; to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?</th>
</tr>
</thead>
</table>
| Yes No  
| Report Not Yet Received |

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>(b) Legal name of custodian:</th>
<th>STATE STREET BANK</th>
</tr>
</thead>
<tbody>
<tr>
<td>(c) Primary business name of custodian:</td>
<td>STATE STREET BANK</td>
</tr>
<tr>
<td>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>TORONTO</td>
<td></td>
</tr>
<tr>
<td>(e) Is the custodian a related person of your firm?</td>
<td></td>
</tr>
<tr>
<td>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</td>
<td>CRD Number (if any):</td>
</tr>
<tr>
<td>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</td>
<td></td>
</tr>
</tbody>
</table>

26. (a) Does the private fund use an administrator other than your firm? If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

<table>
<thead>
<tr>
<th>Administrator</th>
<th>Yes No</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b) Name of administrator:</td>
<td>INTERNATIONAL FUND SERVICES</td>
</tr>
<tr>
<td>(c) Location of administrator (city, state and country):</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>DUBLIN</td>
<td></td>
</tr>
<tr>
<td>(d) Is the administrator a related person of your firm?</td>
<td></td>
</tr>
<tr>
<td>(e) Does the administrator prepare and send investor account statements to the private fund's investors?</td>
<td>Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)</td>
</tr>
<tr>
<td>(f) If the answer to question 26.(e) is &quot;no&quot; or &quot;some,&quot; who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond &quot;not applicable.&quot;</td>
<td>ALLIANCEBERNSTEIN L.P.</td>
</tr>
</tbody>
</table>

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCERENNSTEIN NEXT 50 EMERGING MARKETS (DELAWARE) FUND, L.P.
   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-1677473550

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   ALLIANCERENNSTEIN NEXT 50 EMERGING MARKETS (DELAWARE) MANAGEMENT, LLC

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

      No Information Filed

4. The private fund (check all that apply; you must check at least one):
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

      No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

      No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

      Private fund identification number:
      (include the "805-" prefix also)

      No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

      No Information Filed
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   
   Yes No

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?
   
   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

   - hedge fund
   - liquidity fund
   - private equity fund
   - real estate fund
   - securitized asset fund
   - venture capital fund
   - Other private fund:

   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $ 426,232,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

    $ 250,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

    489

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

    1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

    1%

   Yes No

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

    1%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

    Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

    No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

    Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

    No Information Filed

19. Are your clients solicited to invest in the private fund?

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

   Yes No

20. Approximately what percentage of your clients has invested in the private fund?
Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-219167

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?
   Yes No

24. (a) Does the private fund use one or more prime brokers?
   Yes No

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
   Yes No

Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
   PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

   City: LUXEMBOURG
   State: 
   Country: Luxembourg

(d) Is the auditing firm an independent public accountant?
   Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
   Yes No

   If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
   Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
   Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
   Yes No Report Not Yet Received

   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
   Yes No

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
   Yes No
26. (a) Does the private fund use an administrator other than your firm?
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET CAYMAN TRUST COMPANY LTD.

(c) Location of administrator (city, state and country):
City: GRAND CAYMAN
State: Country: Cayman Islands

(d) Is the administrator a related person of your firm?

Yes No
☐ ☐

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
- Yes (provided to all investors)
- Some (provided to some but not all investors)
- No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCBERNSTEIN SECURITIZED ASSETS MASTER FUND, L.P.
   (b) Private fund identification number:
       (include the "805-" prefix also)
       805-8324349894

2. Under the laws of what state or country is the private fund organized:
   State:  
   Country:  
   Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director  
   ALLIANCBERNSTEIN SECURITIZED ASSETS MANAGEMENT LLC

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   [(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   Name of Country/English Name of Foreign Financial Regulatory Authority
   Other - CAYMAN ISLANDS MONETARY AUTHORITY
   Yes  No

6. (a) Is this a "master fund" in a master-feeder arrangement?
   Yes  No
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   Name of private fund | Private fund identification number
   -----------------------|----------------------------------
   ALLIANCBERNSTEIN SECURITIZED ASSETS FUND (CAYMAN), L.P. | 805-6893004061
   ALLIANCBERNSTEIN SECURITIZED ASSETS FUND (DELWARE), L.P. | 805-8577605406

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   Yes  No  
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:
   Private fund identification number:
   (include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the **private fund**:

**ALLIANCEBERNSTEIN SECURITIZED ASSETS FUND (CAYMAN), L.P.**

(b) **Private fund** identification number:

(include the "805-" prefix also)

805-8893004061

(c) Under the laws of what state or country is the **private fund** organized:

State:  
Country:  
Cayman Islands

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or **persons serving in a similar capacity**):

**Name of General Partner, Manager, Trustee or Director**

| ALLIANCEBERNSTEIN SECURITIZED ASSETS MANAGEMENT LLC |

(d) (2) If filing an **umbrella registration**, identify the **filing adviser and/or relying adviser(s)** that sponsor(s) or manage(s) this **private fund**:

No Information Filed

(e) The **private fund** (check all that apply; you must check at least one):

- □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each **foreign financial regulatory authority** with which the **private fund** is registered.

**Name of Country/English Name of Foreign Financial Regulatory Authority**

| Other - CAYMAN ISLANDS MONETARY AUTHORITY |

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the **private fund**:

**ALLIANCEBERNSTEIN SECURITIZED ASSETS FUND (DELAWARE), L.P.**

(b) **Private fund** identification number:

(include the "805-" prefix also)

805-8577605406

(c) Under the laws of what state or country is the **private fund** organized:

State:  
Country:  
United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or **persons serving in a similar capacity**):

**Name of General Partner, Manager, Trustee or Director**

| ALLIANCEBERNSTEIN SECURITIZED ASSETS MANAGEMENT LLC |

(d) (2) If filing an **umbrella registration**, identify the **filing adviser and/or relying adviser(s)** that sponsor(s) or manage(s) this **private fund**:

No Information Filed

(e) The **private fund** (check all that apply; you must check at least one):

- □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each **foreign financial regulatory authority** with which the **private fund** is registered.
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   
   ![Yes/No Options]

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   ![Yes/No Options]

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

   ![Yes/No Options]

10. What type of fund is the private fund?

    - [ ] hedge fund
    - [ ] liquidity fund
    - [ ] private equity fund
    - [ ] real estate fund
    - [ ] securitized asset fund
    - [ ] venture capital fund
    - [ ] Other private fund

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $2,292,954,000

**Ownership**

12. Minimum investment commitment required of an investor in the private fund:

    $5,000,000

    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

    2131

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

    0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

    0%

    ![Yes/No Options]

    (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

    ![Yes/No Options]

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

    0%

**Your Advisory Services**

17. (a) Are you a subadviser to this private fund?

    ![Yes/No Options]

    (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

    No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

    ![Yes/No Options]

    (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

    No Information Filed

19. Are your clients solicited to invest in the private fund?

    ![Yes/No Options]

    NOTE: For purposes of this question, do not consider feeder funds of the private fund.
20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes  No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-193509</td>
</tr>
<tr>
<td>021-193510</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

Yes  No

(1) If the answer to question 23.(a) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes  No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK  State: New York  Country: United States

Yes  No

(d) Is the auditing firm an independent public accountant?

Yes  No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes  No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes  No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes  No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes  No  Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes  No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed
24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Custodian</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

Additional Custodian Information : 1 Record(s) Filed.

- (b) Legal name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD
- (c) Primary business name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD
- (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
  - City: CAYMAN ISLANDS
  - State: Country: Cayman Islands
- (e) Is the custodian a related person of your firm? [ ] Yes [ ] No
- (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
  - CRD Number (if any):
- (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

- (b) Legal name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD
- (c) Primary business name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD
- (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
  - City: CAYMAN ISLANDS
  - State: Country: Cayman Islands
- (e) Is the custodian a related person of your firm? [ ] Yes [ ] No
- (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
  - CRD Number (if any):
- (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

- (b) Name of administrator: STATE STREET BANK CAYMAN TRUST COMPANY LTD
- (c) Location of administrator (city, state and country):
  - City: CAYMAN ISLANDS
  - State: Country: Cayman Islands
- (d) Is the administrator a related person of your firm? [ ] Yes [ ] No
- (e) Does the administrator prepare and send investor account statements to the private fund's investors?
  - Yes (provided to all investors) [ ]
  - Some (provided to some but not all investors) [ ]
  - No (provided to no investors) [ ]
- (f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
  - STATE STREET BANK AND TRUST COMPANY

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 0%
24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each such prime broker the private fund uses. If the private fund uses more than one prime broker you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>No</td>
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<td>No</td>
</tr>
<tr>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

24. (c) Is the administrator a related person?

If yes, what is the name and identification number of the related person?

24. (d) Is the custodian a related person?

If yes, what is the name and identification number of the related person?

24. (e) Is the custodian a foreign financial regulatory authority?

If yes, what is the name and identification number of the foreign financial regulatory authority?

NOTE: You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

25. Is this a "master fund" in a master-feeder arrangement?

If yes, what is the name and country, in English, of each master fund in which this private fund is registered?

26. (a) Are filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund?

If yes, what is the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered?

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

### A. PRIVATE FUND

#### Information About the Private Fund

1. (a) Name of the private fund:

   ALLIANCEBERNSTEIN SELECT US EQUITY HOLDINGS LP

   (b) Private fund identification number:

   (include the "805-" prefix also)

   805-4379556060

2. Under the laws of what state or country is the private fund organized:

   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   - Name of General Partner, Manager, Trustee, or Director
     ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY (BVI) LIMITED</td>
<td>805-7151027046</td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY LLC</td>
<td>805-5344596545</td>
</tr>
</tbody>
</table>

6. (c) Is this a "feeder fund" in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:

   (include the "805-" prefix also)
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

**Additional Feeder Fund Information : 2 Record(s) Filed.**

<table>
<thead>
<tr>
<th>Name of the <strong>private fund</strong>:</th>
<th>ALLIANCEBERNSTEIN SELECT US EQUITY (BVI) LIMITED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Private fund</strong> identification number:</td>
<td>(include the &quot;805-&quot; prefix also)</td>
</tr>
<tr>
<td>805-7151027046</td>
<td></td>
</tr>
<tr>
<td>Under the laws of what state or country is the <strong>private fund</strong> organized:</td>
<td></td>
</tr>
<tr>
<td>State:</td>
<td>Country:</td>
</tr>
<tr>
<td>British Virgin Islands</td>
<td></td>
</tr>
<tr>
<td>Name(s) of General Partner, Manager, Trustee or Directors (or <strong>persons serving in a similar capacity</strong>):</td>
<td></td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC</td>
<td></td>
</tr>
<tr>
<td>The <strong>private fund</strong> (check all that apply; you must check at least one):</td>
<td></td>
</tr>
<tr>
<td>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940</td>
<td></td>
</tr>
<tr>
<td>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940</td>
<td></td>
</tr>
<tr>
<td>List the name and country, in English, of each <strong>foreign financial regulatory authority</strong> with which the <strong>private fund</strong> is registered.</td>
<td></td>
</tr>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

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7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Name of the <strong>private fund</strong>:</th>
<th>ALLIANCEBERNSTEIN SELECT US EQUITY LLC</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Private fund</strong> identification number:</td>
<td>(include the &quot;805-&quot; prefix also)</td>
</tr>
<tr>
<td>805-5344596545</td>
<td></td>
</tr>
<tr>
<td>Under the laws of what state or country is the <strong>private fund</strong> organized:</td>
<td></td>
</tr>
<tr>
<td>State:</td>
<td>Country:</td>
</tr>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
<tr>
<td>Name(s) of General Partner, Manager, Trustee or Directors (or <strong>persons serving in a similar capacity</strong>):</td>
<td></td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC</td>
<td></td>
</tr>
<tr>
<td>The <strong>private fund</strong> (check all that apply; you must check at least one):</td>
<td></td>
</tr>
<tr>
<td>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940</td>
<td></td>
</tr>
<tr>
<td>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940</td>
<td></td>
</tr>
<tr>
<td>List the name and country, in English, of each <strong>foreign financial regulatory authority</strong> with which the <strong>private fund</strong> is registered.</td>
<td></td>
</tr>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

---
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: PRIVATE FUND

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 246,316,937

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

161

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

2%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

3%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed
19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   (b) Name of the auditing firm:
   PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
   City: NEW YORK
   State: New York
   Country: United States

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

      If yes, Public Company Accounting Oversight Board-Assigned Number:
      238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

      Yes No Report Not Yet Received

      If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   Additional Prime Broker Information : 1 Record(s) Filed.
(b) Name of the prime broker:
MORGAN STANLEY & CO. LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 15869
CRD Number (if any):
8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: BOSTON
State: Massachusetts
Country: United States

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES
27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

☐ Yes ☐ No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

   ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT HOLDINGS LP

(b) Private fund identification number:

   (include the "805-" prefix also)

   805-6346375854

2. Under the laws of what state or country is the private fund organized:

   State: Delaware

   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director

   ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT MANAGEMENT LLC

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):

   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   ☑ Yes ☐ No
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT (BVI) LIMITED</td>
<td>805-6929989379</td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT LLC</td>
<td>805-9360655728</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC</td>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

No Information Filed

(e) The private fund (check all that apply; you must check at least one):

- [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- [X] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed
(c) Under the laws of what state or country is the private fund organized:
State: Delaware
Country: United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT MANAGEMENT LLC</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
No Information Filed

(e) The private fund (check all that apply; you must check at least one):
- [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
Yes No
- [ ] Yes
- [ ] No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
(b) If yes, does the private fund invest in funds managed by you or by a related person?
- [ ] Yes
- [ ] No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
- [ ] Yes
- [ ] No

10. What type of fund is the private fund?
- [x] hedge fund
- [ ] liquidity fund
- [ ] private equity fund
- [ ] real estate fund
- [ ] securitized asset fund
- [ ] venture capital fund
- [ ] Other private fund

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
$ 62,476,042

Ownership

12. Minimum investment commitment required of an investor in the private fund:
$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
84

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
2%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
- [ ] Yes
- [ ] No
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
   Yes No

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No

22. If yes, provide the private fund's Form D file number (if any):
   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   Yes No

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

(b) Name of the auditing firm:
   PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
   City: NEW YORK
   State: New York
   Country: United States

(d) Is the auditing firm an independent public accountant?

   Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:
   238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   Yes No
(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors? 

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

If you check “Report Not Yet Received,” you must promptly file an amendment to your Form ADV to update your response when the report is available.

### Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

#### Additional Prime Broker Information : 1 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Prime Broker Information</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b) Name of the prime broker:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MORGAN STANLEY &amp; CO. LLC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(c) If the prime broker is registered with the SEC, its registration number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 - 15869</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CRD Number (if any):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8209</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(d) Location of prime broker's office used principally by the private fund (city, state and country):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>City: NEW YORK</td>
<td>State: New York</td>
<td>Country: United States</td>
</tr>
<tr>
<td>(e) Does this prime broker act as custodian for some or all of the private fund's assets?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

#### Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>Custodian Information</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b) Legal name of custodian:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STATE STREET BANK AND TRUST COMPANY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(c) Primary business name of custodian:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STATE STREET BANK</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>City: BOSTON</td>
<td>State: Massachusetts</td>
<td>Country: United States</td>
</tr>
<tr>
<td>(e) Is the custodian a related person of your firm?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CRD Number (if any):</td>
<td></td>
</tr>
<tr>
<td>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
26. (a) Does the private fund use an administrator other than your firm?
Yes No

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES

(c) Location of administrator (city, state and country):
City: DUBLIN
State: Ireland
Country:

(d) Is the administrator a related person of your firm?
Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
ALLIANCEBERNSTEIN STRATEGIES DBT - ALLIANCEBERNSTEIN US STRATEGIC VALUE EXTENSION SERIES

(b) Private fund identification number:
(include the "805-" prefix also)
805-3856778697

2. Under the laws of what state or country is the private fund organized:
State: Delaware Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a “master fund” in a master-feeder arrangement?

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

   (c) Is this a “feeder fund” in a master-feeder arrangement?

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (“feeder funds”) invest all or substantially all of their assets in a single fund (“master fund”). A fund would also be a “feeder fund” investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a “fund of funds”?

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?

   Yes No

10. What type of fund is the private fund?

    - [x] hedge fund
    - liquidity fund
    - [x] private equity fund
    - real estate fund
    - [x] securitized asset fund
    - [x] venture capital fund
    - [x] Other private fund:

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund:

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-124850</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

<table>
<thead>
<tr>
<th>Additional Auditor Information : 1 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the answer to question 23.(a)(1) is &quot;yes,&quot; respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.</td>
</tr>
</tbody>
</table>

(b) Name of the auditing firm:
### Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Prime Broker</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>Custodian</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional Custodian Information: 1 Record(s) Filed.</th>
</tr>
</thead>
</table>

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>(b) Legal name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) Primary business name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</th>
</tr>
</thead>
<tbody>
<tr>
<td>City: CHICAGO</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e) Is the custodian a related person of your firm?</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRD Number (if any):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</th>
</tr>
</thead>
</table>

### Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>(b) Legal name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) Primary business name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</th>
</tr>
</thead>
<tbody>
<tr>
<td>City: CHICAGO</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>(e) Is the custodian a related person of your firm?</th>
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<table>
<thead>
<tr>
<th>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRD Number (if any):</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</th>
</tr>
</thead>
</table>

### Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Prime Broker</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>Custodian</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional Custodian Information: 1 Record(s) Filed.</th>
</tr>
</thead>
</table>

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>(b) Legal name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) Primary business name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</th>
</tr>
</thead>
<tbody>
<tr>
<td>City: CHICAGO</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e) Is the custodian a related person of your firm?</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRD Number (if any):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</th>
</tr>
</thead>
</table>
26. (a) Does the private fund use one or more prime brokers?
If the answer to question 26.(a) is "yes," respond to questions (b) through (g) below. If the private fund uses more than one administrator, you must complete questions (b) through (g) separately for each administrator.

(b) Name of administrator:
   NORTHERN TRUST

(c) Location of administrator (city, state and country):
   City: CHICAGO
   State: Illinois
   Country: United States

(d) Is the administrator a related person of your firm?
   Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   100%

   Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
   Yes No

   You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

   No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS (AV 1) L.P.

   (b) Private fund identification number:
      (include the "805-" prefix also)
      805-8909465072

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States
24. (a) Does the private fund use one or more prime brokers?
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below:

No Information Filed

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Private fund identification number:
   (include the "80S-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 289,845,000
12. Minimum investment commitment required of an investor in the private fund: $250,000
   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
   356

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
   30%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
   Yes No
   1%
   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
   Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
   2%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   Yes No
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   Yes No
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
   Yes No
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund:
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-154069</td>
</tr>
<tr>
<td>021-154072</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
   Yes No
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
   Yes No
   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.
(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm’s office responsible for the private fund’s audit (city, state and country):

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If “yes” to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund’s investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check “Report Not Yet Received,” you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is “yes,” respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is “yes,” respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK & TRUST

(c) Location of administrator (city, state and country):

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>BOSTON</td>
<td>Massachusetts</td>
<td>United States</td>
</tr>
</tbody>
</table>
(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

0%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS (AIV 2) L.P.

(b) Private fund identification number:

(include the "805-" prefix also)

805-2241172872

2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS G.P. L.P.

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

Yes No

6. (a) Is this a "master fund" in a master-feeder arrangement?

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed
(c) Is this a "feeder fund" in a master-feeder arrangement?  
Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?  
Name of private fund:  
Private fund identification number:  
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.</td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?  
Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?  
Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?  
Yes No

10. What type of fund is the private fund?  
- hedge fund  
- liquidity fund  
- private equity fund  
- real estate fund  
- securitized asset fund  
- venture capital fund  
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:  
$ 289,845,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:  
$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:  
356

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:  
30%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:  
1%

Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?  
Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:  
2%
Your Advisory Services

17. (a) Are you a subadviser to this private fund?  
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?  
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed

19. Are your clients solicited to invest in the private fund?  
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?  
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-154069
   021-154072

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?  
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   Additional Auditor Information : 1 Record(s) Filed.

   (b) Name of the auditing firm:
       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
       City: NEW YORK CITY
       State: New York
       Country: United States

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

   If yes, Public Company Accounting Oversight Board-Assigned Number:
       238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

STATE STREET BANK & TRUST

(c) Location of administrator (city, state and country):

City: BOSTON
State: Massachusetts
Country: United States

Yes No

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS II L.P.

   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-850996961

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS II G.P. L.P.</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   [ ] Yes [ ] No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE (EMPLOYEE) FUND II, L.P.</td>
<td>805-5985494703</td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE (HNW) FUND II, L.P.</td>
<td>805-2221705072</td>
</tr>
</tbody>
</table>

   [ ] Yes [ ] No

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   [ ] Yes [ ] No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   Additional Feeder Fund Information : 2 Record(s) Filed.
The private fund (check all that apply; you must check at least one):

(a) Name of the private fund:

ALLIANCBERNESTEIN U.S. REAL ESTATE (EMPLOYEE) FUND II, L.P.

(b) Private fund identification number:

(include the "805-" prefix also)

805-9985494703

(c) Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCBERNESTEIN U.S. REAL ESTATE PARTNERS II G.P. L.P.</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

No Information Filed

(e) The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
✓ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the private fund:

ALLIANCBERNESTEIN U.S. REAL ESTATE (HNW) FUND II, L.P.

(b) Private fund identification number:

(include the "805-" prefix also)

805-2221705072

(c) Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCBERNESTEIN U.S. REAL ESTATE PARTNERS II G.P. L.P.</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

No Information Filed

(e) The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
✓ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests,
8. (a) Is this private fund a "fund of funds"?  
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

   Yes No

10. What type of fund is the private fund?

   - [ ] hedge fund
   - [ ] liquidity fund
   - [ ] private equity fund
   - [ ] real estate fund
   - [ ] securitized asset fund
   - [ ] venture capital fund
   - [ ] Other private fund:

   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 597,026,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 250,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   650

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   22%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

   0%

   Yes No

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

   Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

   1%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

   Yes No

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

   Yes No

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

   No Information Filed

19. Are your clients solicited to invest in the private fund?

   Yes No

   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?

   1%
21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-220598</td>
</tr>
<tr>
<td>021-220599</td>
</tr>
<tr>
<td>021-220600</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK

State: New York

Country: United States

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS L.P.
   (b) Private fund identification number:
   (include the "805-" prefix also)
   805-5553062873
2. Under the laws of what state or country is the private fund organized:

<table>
<thead>
<tr>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
</tbody>
</table>

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS G.P. L.P.</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

4. The private fund (check all that apply; you must check at least one):

- [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

| No Information Filed |

6. (a) Is this a "master fund" in a master-feeder arrangement?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ]</td>
<td>[x]</td>
</tr>
</tbody>
</table>

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE (EMPLOYEE) FUND, L.P.</td>
<td>805-1188688689</td>
</tr>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE (HNW) FUND, L.P.</td>
<td>805-7591103848</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>[x]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

Additional Feeder Fund Information : 2 Record(s) Filed.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the private fund:

ALLIANCEBERNSTEIN U.S. REAL ESTATE (EMPLOYEE) FUND, L.P.

(b) Private fund identification number:
(include the "805-" prefix also)

805-1188688689

(c) Under the laws of what state or country is the private fund organized:

<table>
<thead>
<tr>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS G.P. L.P.</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
### 7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) **Name of the private fund:**

**ALLIANCEBERNSTEIN U.S. REAL ESTATE (HNW) FUND, L.P.**

(b) **Private fund identification number:**

(include the "805-" prefix also)

805-7591103848

(c) **Under the laws of what state or country is the private fund organized:**

<table>
<thead>
<tr>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d)(1) **Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):**

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCEBERNSTEIN U.S. REAL ESTATE PARTNERS G.P. L.P.</td>
</tr>
</tbody>
</table>

(d)(2) **If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:**

No Information Filed

(e) **The private fund (check all that apply; you must check at least one):**

- [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) **List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.**

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

### 8. Is this private fund a "fund of funds"?

(a) **Is this private fund a "fund of funds"?**

Yes  No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) **If yes, does the private fund invest in funds managed by you or by a related person?**

Yes  No

### 9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes  No

### 10. What type of fund is the private fund?

- [x] hedge fund  [ ] liquidity fund  [ ] private equity fund  [ ] real estate fund  [ ] securitized asset fund  [ ] venture capital fund  [ ] Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

### 11. Current gross asset value of the private fund:

$289,845,000
Ownership

12. Minimum investment commitment required of an investor in the private fund:

$250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

356

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

30%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

1%

Yes  No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes  No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

2%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes  No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

Yes  No

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes  No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

Yes  No

19. Are your clients solicited to invest in the private fund?

Yes  No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes  No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-154069</td>
</tr>
<tr>
<td>021-154072</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes  No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes  No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK
State: New York
Country: United States

(d) Is the auditing firm an independent public accountant?

Yes ☐ No ☐ Report Not Yet Received

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes ☐ No ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

STATE STREET BANK & TRUST
### A. PRIVATE FUND

**Information About the Private Fund**

1. (a) Name of the private fund:
   - ALLIANCERBERSTHEIN US REAL ESTATE FUND II (AIV1) LP

2. Under the laws of what state or country is the private fund organized:
   - State: Delaware
   - Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCERBERSTHEIN U.S. REAL ESTATE PARTNERS G.P. L.P.</td>
</tr>
</tbody>
</table>

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

   No
The private fund (check all that apply; you must check at least one):

(c) Is this a “feeder fund” in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the “805-” prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a “fund of funds”?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- ✔ hedge fund
- liquidity fund
- ✔ private equity fund
- real estate fund
- ✔ securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 597,026,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

650

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

22%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons?

1%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.1.A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes  No

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes  No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-220598</td>
</tr>
<tr>
<td>021-220599</td>
</tr>
<tr>
<td>021-220600</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

Yes  No

(d) Is the auditing firm an independent public accountant?

Yes  No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes  No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes  No
(g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund’s investors?

Yes  No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

☑ Yes  ☐ No  ☐ Report Not Yet Received

If you check “Report Not Yet Received,” you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes  No

If the answer to question 24.(a) is “yes,” respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes  No

If the answer to question 25.(a) is “yes,” respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes  No

If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is “yes,” respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:

STATE STREET BANK & TRUST

(c) Location of administrator (city, state and country):

City: BOSTON  State: Massachusetts  Country: United States

Yes  No

(d) Is the administrator a related person of your firm?

Yes  ☐ No

(e) Does the administrator prepare and send investor account statements to the private fund’s investors?

☑ Yes (provided to all investors)  ☐ Some (provided to some but not all investors)  ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is “no” or “some,” who sends the investor account statements to the (rest of the) private fund’s investors? If investor account statements are not sent to the (rest of the) private fund’s investors, respond “not applicable.”

27. During your last fiscal year, what percentage of the private fund’s assets (by value) was valued by a person, such as an administrator, that is not your related person?

0%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.
28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

No Information Filed
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN US REAL ESTATE PARTNERS (REIT AIV) L.P.

   (b) Private fund identification number:
       (include the "805-" prefix also)
       805-7577606797

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
       No Information Filed

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
       No Information Filed

4. The private fund (check all that apply; you must check at least one):
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
       No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
       Name of private fund:
       Private fund identification number:
       (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN US REAL ESTATE PARTNERS (REIT AIV) L.P.

2. (a) Is this a "master fund" in a master-feeder arrangement? Yes No

3. (a) Is this a "feeder fund" in a master-feeder arrangement? Yes No

4. Is the private fund a "single fund" or a single fund in a master-feeder arrangement? Yes No

5. Do any investment advisers (other than the investment advisers listed in Section 7.B.(1)) advise the private fund? Yes No

6. Have your related persons ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? Yes No

7. During your last fiscal year, did you or a related person invest in the private fund under Regulation D of the Securities Act of 1933? Yes No

8. If yes, provide the private fund's Form D file number (if any):

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 289,845,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 250,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

356

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients? Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

2%

Your Advisory Services

17. (a) Are you a subadviser to this private fund? Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund? Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund:

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? Yes No

22. If yes, provide the private fund's Form D file number (if any):
B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?  

Yes No

(b) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?  

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:  

PRICEWATERHOUSECOOPEERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK
State: New York
Country: United States

Yes No

(d) Is the auditing firm an independent public accountant?  

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?  

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?  

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?  

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?  

Yes No

Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?  

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?  

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

No Information Filed
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN US REAL ESTATE TRUST
   (b) Private fund identification number:
   (include the "805"- prefix also)
   805-7629349884

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director

4. (b) Name of the administrator:
   STATE STREET BANK & TRUST

5. (c) Location of the administrator (city, state and country):
   City: BOSTON
   State: Massachusetts
   Country: United States

6. (d) Is the administrator a related person of your firm?
   Yes

7. (e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors)

8. (f) If the answer to question 26.(e) is "yes," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   Name:...

9. (g) Does the administrator ever rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   No

A. SERVICE PROVIDERS

Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
   STATE STREET BANK & TRUST

(c) Location of administrator (city, state and country):
   City: BOSTON
   State: Massachusetts
   Country: United States

(d) Is the administrator a related person of your firm?
   Yes

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   Yes (provided to all investors)

(f) If the answer to question 26.(e) is "yes," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   Name:...

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   0%

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
   Yes

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
   Yes

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

   No Information Filed
(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

| No Information Filed |

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

| No Information Filed |

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

| No Information Filed |

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

| No Information Filed |

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

| No Information Filed |

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

| No Information Filed |

10. What type of fund is the private fund?
    ○ hedge fund ○ liquidity fund ○ private equity fund ○ real estate fund ○ securitized asset fund ○ venture capital fund ○ Other private fund:
    
    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 0
13. Approximate number of the private fund's beneficial owners:
0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.,(1).A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
1%

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

23. (1) Are the private fund's financial statements subject to an annual audit?

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (h) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS
### Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☒</td>
</tr>
</tbody>
</table>

| No Information Filed |

### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

### Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>(b)</th>
<th>Legal name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>STATE STREET BANK AND TRUST COMPANY</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c)</th>
<th>Primary business name of custodian:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>STATE STREET BANK</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(d)</th>
<th>The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>BOSTON Massachusetts United States</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e)</th>
<th>Is the custodian a related person of your firm?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>☐ No ☒</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(f)</th>
<th>If the custodian is a broker-dealer, provide its SEC registration number (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>CRD Number (if any):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(g)</th>
<th>If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>☐ No ☒</td>
</tr>
</tbody>
</table>
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ASTURIAS MASTER FUND LP

(b) Private fund identification number:
   (include the "805-" prefix also)
   805-7720821160

2. Under the laws of what state or country is the private fund organized:
   State:
   Country:
   Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

[No Information Filed]

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

[No Information Filed]

6. (a) Is this a "master fund" in a master-feeder arrangement?

☐ Yes ☐ No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASTURIAS FUND LP</td>
<td>805-2639460565</td>
</tr>
<tr>
<td>ASTURIAS OFFSHORE FUND LTD</td>
<td>805-2232213208</td>
</tr>
</tbody>
</table>

☐ Yes ☐ No

(c) Is this a "feeder fund" in a master-feeder arrangement?

☐ Yes ☐ No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:
Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

**Additional Feeder Fund Information : 2 Record(s) Filed.**

7. (a) Name of the private fund:
ASTURIAS FUND LP

(b) Private fund identification number:
(include the "805-" prefix also)
805-2639460565

(c) Under the laws of what state or country is the private fund organized:
State: Delaware
Country: United States

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASTURIAS GP LLC</td>
</tr>
</tbody>
</table>

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:

[No Information Filed]

(e) The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

(a) Name of the private fund:
   ASTURIAS OFFSHORE FUND LTD

(b) Private fund identification number:
   (include the “805-” prefix also)
   805-2232213208

(c) Under the laws of what state or country is the private fund organized:
   State: 
   Country: Cayman Islands

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
   No Information Filed

(d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
   No Information Filed

(e) The private fund (check all that apply; you must check at least one):
   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cayman Islands - Cayman Islands Monetary Authority</td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (“feeder funds”) invest all or substantially all of their assets in a single fund (“master fund”). A fund would also be a “feeder fund” investing in a “master fund” for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a “fund of funds”?

   Yes ☐ No ☑

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

   Yes ☐ No ☑

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than “money market funds,” to the extent provided in Instruction 6.e.)?

   Yes ☐ No ☑

10. What type of fund is the private fund?

    ☑ hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☐ Other private fund:

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 231,127,406

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 5,000,000
13. **Approximate number of the private fund’s beneficial owners:**
3

14. **What is the approximate percentage of the private fund beneficially owned by you and your related persons:**
0%

15. (a) **What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:**
53%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to **qualified clients**?

16. **What is the approximate percentage of the private fund beneficially owned by non-United States persons:**
23%

**Your Advisory Services**

17. (a) **Are you a subadviser to this private fund?**

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

18. (a) **Do any investment advisers (other than the investment advisers listed in Section 7.B.(1.A.3) advise the private fund?**

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

<table>
<thead>
<tr>
<th>No Information Filed</th>
</tr>
</thead>
</table>

19. **Are your clients solicited to invest in the private fund?**

**NOTE: For purposes of this question, do not consider feeder funds of the private fund.**

20. **Approximately what percentage of your clients has invested in the private fund?**
50%

**Private Offering**

21. **Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?**

22. **If yes, provide the private fund’s Form D file number (if any):**

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-170784</td>
</tr>
</tbody>
</table>

**B. SERVICE PROVIDERS**

**Auditors**

23. (a) **(1) Are the private fund’s financial statements subject to an annual audit?**

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

**Additional Auditor Information : 1 Record(s) Filed.**

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) **Name of the auditing firm:**
KPMG, LLP
Private Offering

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN US REAL ESTATE VENTURE FUND I, L.P.

City:

NEW YORK

State:

Massachusetts

Country:

United States

(b) Through (f) separately

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: New York

State: New York

Country: United States

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

185

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information : 3 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

MORGAN STANLEY & CO. LLC

(c) If the prime broker is registered with the SEC, its registration number:

8 - 15869

CRD Number (if any):

8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):

City:

NEW YORK

State:

Massachusetts

Country:

United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

NATIONAL FINANCIAL SERVICES LLC

(c) If the prime broker is registered with the SEC, its registration number:

8 - 26740

CRD Number (if any):

13041

(d) Location of prime broker's office used principally by the private fund (city, state and country):

City:

BOSTON

State:

Massachusetts

Country:

United States
### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?  

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

#### Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:  
THE NORTHERN TRUST INTERNATIONAL BANKING CORPORATION

(c) Primary business name of custodian:  
NORTHERN TRUST

(d) The location of the custodian’s office responsible for custody of the private fund’s assets (city, state and country):  
City: JERSEY CITY  
State: New Jersey  
Country: United States

(e) Is the custodian a related person of your firm?  
Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):  
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)  

### Administrator

26. (a) Does the private fund use an administrator other than your firm?  

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

#### Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   BERNSTEIN ADVANCED VALUE L.P.

(b) Private fund identification number:
   (include the "805-") prefix also)
   805-1849171615

2. Under the laws of what state or country is the private fund organized:
   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   Name of General Partner, Manager, Trustee, or Director
   ALLIANCESBERNSTEIN ADVANCED VALUE MANAGEMENT LP

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   "(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   - No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   - Yes

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes

10. What type of fund is the private fund?

   - hedge fund
   - liquidity fund
   - private equity fund
   - real estate fund
   - securitized asset fund
   - venture capital fund
   - Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 114,754,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   49

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

   3%
15. (a)  What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0%

(b)  If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%

17. (a)  Are you a subadviser to this private fund? No

(b)  If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

18. (a)  Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund? No

(b)  If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

19. Are your clients solicited to invest in the private fund? No

20. Approximately what percentage of your clients has invested in the private fund? 1%

B. SERVICE PROVIDERS

Auditors

23. (1)  Are the private fund's financial statements subject to an annual audit? Yes

(2)  If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP? Yes

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

**Additional Auditor Information : 1 Record(s) Filed.**

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b)  Name of the auditing firm: PRICEWATERHOUSECOOPERS

c)  The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

<table>
<thead>
<tr>
<th>City:</th>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d)  Is the auditing firm an independent public accountant? Yes

(e)  Is the auditing firm registered with the Public Company Accounting Oversight Board? Yes
A. PRIVATE FUND
Information About the Private Fund
1. (a) Name of the private fund:
AllianceBernstein US Real Estate

2. (b) Is the private fund an "evergreen fund"?
Yes ☐ No ☑

3. (c) Is the private fund a private credit fund?
Yes ☑ No ☐

4. (d) Is the private fund a private equity fund?
Yes ☐ No ☑

5. (e) Is the private fund a real estate fund?
Yes ☑ No ☐

6. (f) Does the private fund use a "fund of funds"?
Yes ☑ No ☐

7. (g) Is the private fund a "feeder fund" in a master-feeder arrangement?
Yes ☑ No ☐

8. (h) Are any persons related to the private fund's investment adviser beneficially owned (in the aggregate) by funds of funds?
Yes ☐ No ☑

9. (i) Does the private fund use more than one prime broker?
Yes ☐ No ☑

10. (j) Does the private fund use any administrator other than your firm?
Yes ☐ No ☑

11. (k) Does the private fund use any transfer agent other than your firm?
Yes ☐ No ☑

12. (l) Does the private fund use any meeting agent other than your firm?
Yes ☐ No ☑

13. (m) Does the private fund use any related person as a finder, introducer, municipal advisor or other solicitor, or similar service provider?
Yes ☐ No ☑

14. (n) Does the private fund pay advisory fees to any person other than its investment adviser (or to any related person of its investment adviser) directly or indirectly in the form of a management fee or similar arrangement?
Yes ☑ No ☐

15. (o) Does the private fund use any public relations firm (including any related person) to market the private fund?
Yes ☑ No ☐

16. (p) Does the private fund use any persons related to the private fund as travel agents or entertainment agents?
Yes ☑ No ☐

17. (q) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's clients?
Yes ☑ No ☐

18. (r) Are the private fund's audited financial statements for any fiscal year distributed to the private fund's clients?
Yes ☑ No ☐

19. (s) Do all of the reports prepared by the auditing firm for the private fund since the last annual updating amendment contain unqualified opinions?
Yes ☑ No ☐

20. (t) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes ☑ No ☐

21. (u) If the auditing firm is not registered with the Public Company Accounting Oversight Board, is it registered with a foreign financial regulatory authority?
Yes ☑ No ☐

22. (v) Are any persons related to the private fund's investment adviser beneficially owned (in the aggregate) by funds of funds?
Yes ☑ No ☐

23. (w) If the private fund uses more than one auditing firm, do all of the reports prepared by the auditing firms for the private fund since the last annual updating amendment contain unqualified opinions?
Yes ☑ No ☐

24. (a) Does the private fund use one or more prime brokers?
Yes ☑ No ☐

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes ☑ No ☐

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
Yes ☑ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information: 2 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
Credit Suisse Securities (USA) LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 422
CRD Number (if any):
816

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?
Yes ☑ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
Morgan Stanley & Co. LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 15869
CRD Number (if any):
8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?
Yes ☑ No ☐

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes ☑ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Name of the custodian:

(c) If the custodian is registered with the SEC, its registration number:

(d) Location of custodian's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this custodian act as custodian for some or all of the private fund's assets?
Yes ☑ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Name of the custodian:

(c) If the custodian is registered with the SEC, its registration number:

(d) Location of custodian's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

(e) Does this custodian act as custodian for some or all of the private fund's assets?
Yes ☑ No ☐
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   ALLIANCEBERNSTEIN US REAL ESTATE FUND

   (b) Legal name of custodian:
   STATE STREET BANK AND TRUST COMPANY

   (c) Primary business name of custodian:
   STATE STREET BANK

   (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
   City: BOSTON  State: Massachusetts  Country: United States

   (e) Is the custodian a related person of your firm?
   No

   (f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
   8 - 73
   CRD Number (if any):

   (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Administrator

26. (a) Does the private fund use an administrator other than your firm?
   No

   If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

   Additional Administrator Information: 1 Record(s) Filed.

   If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

   (b) Name of administrator:
   STATE STREET BANK

   (c) Location of administrator (city, state and country):
   City: TORONTO  State:  Country: Canada

   (d) Is the administrator a related person of your firm?
   No

   (e) Does the administrator prepare and send investor account statements to the private fund's investors?
   No (provided to no investors)

   (f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
   ALLIANCEBERNSTEIN L.P.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?
   100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.
28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? ☑

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

BERNSTEIN ALTERNATIVE INVESTMENT STRATEGIES, LLC - BERNSTEIN ALTERNATIVE INVESTMENT STRATEGIES

(b) Private fund identification number:
(include the "805-" prefix also)
805-6053056176

2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>BERNSTEIN ALTERNATIVE STRATEGIES MANAGEMENT, LP</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply: you must check at least one):

☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

Yes ☑ No ☐

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

Yes ☑ No ☐

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
$137,117,869

Ownership

12. Minimum investment commitment required of an investor in the private fund:
$500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
245

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
4%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.
20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes No ☐ ☐

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-155283</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

   (b) Name of the auditing firm:
       PRICEWATERHOUSECOOPERS

   (c) The location of the auditing firm’s office responsible for the private fund's audit (city, state and country):

       | City       | State       | Country     |
       |------------|-------------|-------------|
       | NEW YORK   | New York    | United States |

   (d) Is the auditing firm an independent public accountant?

   (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

       If yes, Public Company Accounting Oversight Board-Assigned Number:
       238

   (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

   (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

       Yes ☐ No ☐ Report Not Yet Received

       If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

   No Information Filed

Custodian

Yes No
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada
Country: Yes No

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES

(c) Location of administrator (city, state and country):
City: DUBLIN
State: Ireland
Country: Yes No

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

- Yes (provided to all investors)
- Some (provided to some but not all investors)
- No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

ALLIANCEBERNSTEIN L.P.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such
information about the private fund

1. (a) name of the private fund:

BERNSTEIN ALTERNATIVE INVESTMENT STRATEGIES, LLC - BERNSTEIN MULTI-MANAGER HEDGE FUND PORTFOLIO

(b) private fund identification number:

(include the "805-" prefix also)

805-6376864156

2. Under the laws of what state or country is the private fund organized:

State: Delaware

Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

BERNSTEIN ALTERNATIVE STRATEGIES MANAGEMENT, LP

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):

☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940

☒ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

☐ Yes ☒ No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

☐ Yes ☒ No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:

(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

8. (a) Name of the private fund:

ASTURIAS MASTER FUND LP

(b) Private fund identification number:

(include the "805-" prefix also)

805-6376864156

9. (a) Name of the administrator:

ASTURIAS MASTER FUND LP

(b) Location of administrator (city, state and country):

City: BALTIMORE

State: Maryland

Country: United States

10. (a) Name of the prime broker:

9. (a) Name of the administrator:

ASTURIAS MASTER FUND LP

(b) Location of administrator (city, state and country):

City: BALTIMORE

State: Maryland

Country: United States

10. (a) Name of the prime broker:

9. (a) Name of the administrator:

ASTURIAS MASTER FUND LP

(b) Location of administrator (city, state and country):

City: BALTIMORE

State: Maryland

Country: United States
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
Yes No
NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?
Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
Yes No

10. What type of fund is the private fund?
- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
$ 180,634,000

Ownership

12. Minimum investment commitment required of an investor in the private fund:
$ 500,000
NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
182

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
6%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
1%
Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?
Yes No
20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes ☐ No ☐

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) 1. Are the private fund's financial statements subject to an annual audit?

Yes ☐ No ☐

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes ☐ No ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK State: New York Country: United States

Yes ☐ No ☐

(d) Is the auditing firm an independent public accountant?

Yes ☐ No ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes ☐ No ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes ☐ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes ☐ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: TORONTO
State: Canada
Country: Canada

(e) Is the custodian a related person of your firm?
Yes ☐ No ☐

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
- CRD Number (if any): 

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes ☐ No ☐

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
INTERNATIONAL FUND SERVICES

(c) Location of administrator (city, state and country):
City: DUBLIN
State: Ireland
Country: Ireland

(d) Is the administrator a related person of your firm?
Yes ☐ No ☐

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
☐ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
ALLIANCEBERNSTEIN L.P.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the
Information About the Private Fund

1. (a) Name of the private fund:
   BERNSTEIN GLOBAL OPPORTUNITIES L.P.

(b) Private fund identification number:
   (include the "805-" prefix also)
   805-8930910816

2. Under the laws of what state or country is the private fund organized:

   State: Delaware
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>BERNSTEIN GLOBAL OPPORTUNITIES MANAGEMENT LP</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   Yes No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?
   Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

   No Information Filed

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.))?

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

Yes No
20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

Form D file number
021-56633

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

Yes No

(b) If the answer to question 23.(a) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (l) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (l) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK
State: New York
Country: United States

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information : 2 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.
(b) Name of the prime broker:
CREDIT SUISSE SECURITIES (USA) LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 422
CRD Number (if any):
816

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK  State: New York  Country: United States
Yes  No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
MORGAN STANLEY & CO. LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 15869
CRD Number (if any):
8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK  State: New York  Country: United States
Yes  No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information: 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: BOSTON  State: Massachusetts  Country: United States
Yes  No

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):
Administrator

26. (a) Does the private fund use an administrator other than your firm?
Yes ☐ No ☐

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK AND TRUST

(c) Location of administrator (city, state and country):
City: BOSTON State: Massachusetts Country: United States

(d) Is the administrator a related person of your firm?
Yes ☐ No ☐

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
☐ Yes (provided to all investors) ☐ Some (provided to some but not all investors) ☐ No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."
ALLIANCEBERNSTEIN L.P.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes ☐ No ☐

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
BERNSTEIN GLOBAL OPPORTUNITIES OFFSHORE (CAYMAN) LTD.

(b) Private fund identification number:
(include the "805-" prefix also)
805-407538293

2. Under the laws of what state or country is the private fund organized:
State: Country:
3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>DENNIS HUNTER, KARLA BODDEN, MARK MANLEY</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

<p>| |</p>
<table>
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<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

4. The private fund (check all that apply; you must check at least one):

- (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cayman Islands - Cayman Islands Stock Exchange Authority</td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?

- (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

- Private fund identification number:
  - (include the "80S-" prefix also)

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

8. (a) Is this private fund a "fund of funds"?

   - NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

- Yes
- No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

- Yes
- No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund

   - NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $ 0
Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

Private Offering

19. Are your clients solicited to invest in the private fund?

Yes No

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Approximately what percentage of your clients has invested in the private fund:

1%

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

Form D file number

021-57798

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.
Private Fund

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK
State: New York
Country: United States

Yes No

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
If yes, Public Company Accounting Oversight Board-Assigned Number:
238

Yes No

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

Additional Prime Broker Information : 2 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
CREDIT SUISSE SECURITIES (USA) LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 422
CRD Number (if any):
816

Yes No

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK
State: New York
Country: United States

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:
MORGAN STANLEY & CO. LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 15869
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: BOSTON
State: Massachusetts
Country: United States

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
8 - 73
CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK AND TRUST

(c) Location of administrator (city, state and country):
City: BOSTON
State: Massachusetts
Country: United States

(d) Is the administrator a related person of your firm?
27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? Yes No 100%

Include only those assets where (i) such person carried out the valuations procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   REVELSTOKE CDO I LIMITED

(b) Private fund identification number:
   (include the "805-" prefix also)
   805-5747237167

2. Under the laws of what state or country is the private fund organized:
   State: Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

   Name of General Partner, Manager, Trustee, or Director: MAPLES FINANCE LIMITED

   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ✔ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

   Name of Country/English Name of Foreign Financial Regulatory Authority: Cayman Islands - Cayman Islands Stock Exchange Authority

6. (a) Is this a "master fund" in a master-feeder arrangement? Yes No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   No Information Filed
Is this a "feeder fund" in a master-feeder arrangement?  

If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: CDO

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 264,290,835

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 0

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%
17. (a) Are you a subadviser to this private fund?
   Yes ☐ No ☑
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   Yes ☐ No ☑
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
   Yes ☐ No ☑
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   0%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
   Yes ☐ No ☑

22. If yes, provide the private fund’s Form D file number (if any):
   No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund’s financial statements subject to an annual audit?
   Yes ☐ No ☑
   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
   Yes ☐ No ☑
   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.
   No Information Filed

   (g) Are the private fund’s audited financial statements for the most recently completed fiscal year distributed to the private fund’s investors?
   Yes ☐ No ☑

   (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
   Yes ☐ No ☑ Report Not Yet Received
   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?
   Yes ☐ No ☑
   If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.
   No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
   Yes ☐ No ☑
   If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

   Additional Custodian Information : 1 Record(s) Filed.
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
CANADIAN IMPERIAL BANK OF COMMERCE

(c) Primary business name of custodian:
CANADIAN IMPERIAL BANK OF COMMERCE

(d) The location of the custodian’s office responsible for custody of the private fund’s assets (city, state and country):
City: TORONTO
State: Country:
Yes No

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
- CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?
Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the private fund’s assets (by value) was valued by a person, such as an administrator, that is not your related person?

0%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?
Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - ALLIANCEBERNSTEIN INTERNATIONAL RESEARCH GROWTH SERIES

(b) Private fund identification number:
(include the “805-” prefix also)
805-1203329060
2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):
   - ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

Yes No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

Yes No

10. What type of fund is the private fund?

- ☐ hedge fund ☑ liquidity fund ☑ private equity fund ☑ real estate fund ☑ securitized asset fund ☑ venture capital fund ☑ Other private fund: DELAWARE BUSINESS TRUST

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.
11. Current gross asset value of the private fund: $ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund: $ 5,000,000
   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners: 0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons: 0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?  

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?  

   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.  

   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?  

   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.  

   No Information Filed

19. Are your clients solicited to invest in the private fund?  
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-73280

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?  

   (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?  

   If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.
Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

PRICEWATCHEHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: NEW YORK State: New York Country: United States

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

NORTHERN TRUST COMPANY

(c) Primary business name of custodian:

NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: CHICAGO State: Illinois Country: United States

Yes No

(e) Is the custodian a related person of your firm?

Yes No
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):
- CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

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**Administrator**

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

- **(b) Name of administrator:**
  - NORTHERN TRUST

- **(c) Location of administrator (city, state and country):**
  - City: CHICAGO
  - State: Illinois
  - Country: United States

- **(d) Is the administrator a related person of your firm?**
  - Yes

- **(e) Does the administrator prepare and send investor account statements to the private fund's investors?**
  - Yes (provided to all investors)
  - Some (provided to some but not all investors)
  - No (provided to no investors)

- **(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors?**
  - AB

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

**Marketers**

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

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A. PRIVATE FUND

**Information About the Private Fund**

1. (a) Name of the private fund:
   - SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN EMERGING MARKETS VALUE SERIES

(b) Private fund identification number:
  (include the "805-" prefix also)
2. Under the laws of what state or country is the private fund organized:
   
   State: Delaware  
   Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):  
   
   Name of General Partner, Manager, Trustee, or Director
   NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)
   
   (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
   
   No Information Filed

4. The private fund (check all that apply; you must check at least one):
   
   (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   
   No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?
      
      Name of private fund:
      
      Private fund identification number:
      (include the "805-" prefix also)
      
      NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   
   No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   
   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?
      
      ☐ hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☐ Other private fund: DELAWARE BUSINESS TRUST
11. Current gross asset value of the private fund:
   $ 428,933,290

Ownership

12. Minimum investment commitment required of an investor in the private fund:
   $ 5,000,000
   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
   24

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
   1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0%

   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients:

      Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
   0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

      Yes No

      (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

      No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

      Yes No

      (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

      No Information Filed

19. Are your clients solicited to invest in the private fund?

      Yes No

      NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
   1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

      Yes No

22. If yes, provide the private fund's Form D file number (if any):

      Form D file number
      021-73280

B. SERVICE PROVIDERS

Auditors

23. (a) Are the private fund's financial statements subject to an annual audit?

      Yes No

      (b) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

      Yes No
### Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.a(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

| (b) Name of the auditing firm:               |
| PriceWaterhouseCoopers                      |
| (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country): |
| City: NEW YORK                             |
| State: New York                            |
| Country: United States                     |

<table>
<thead>
<tr>
<th>(d) Is the auditing firm an independent public accountant?</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?</th>
</tr>
</thead>
<tbody>
<tr>
<td>If yes, Public Company Accounting Oversight Board-Assigned Number: 238</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(f) If &quot;yes&quot; to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

### Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.a is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

| No Information Filed |

### Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.a is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

<table>
<thead>
<tr>
<th>Additional Custodian Information: 1 Record(s) Filed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the answer to question 25.a is &quot;yes,&quot; respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.</td>
</tr>
<tr>
<td>(b) Legal name of custodian: NORTHERN TRUST COMPANY</td>
</tr>
<tr>
<td>(c) Primary business name of custodian: NORTHERN TRUST COMPANY</td>
</tr>
<tr>
<td>(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):</td>
</tr>
<tr>
<td>City: CHICAGO</td>
</tr>
</tbody>
</table>
Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
   NORTHERN TRUST

(c) Location of administrator (city, state and country):
   City: CHICAGO
   State: Illinois
   Country: United States

(d) Is the administrator a related person of your firm?

(e) Does the administrator prepare and send investor account statements to the private fund's investors?
   - Yes (provided to all investors)
   - Some (provided to some but not all investors)
   - No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN GLOBAL STRATEGIC VALUE SERIES
Under the laws of what state or country is the private fund organized:

- State: Delaware
- Country: United States

Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

- No Information Filed

4. The private fund (check all that apply; you must check at least one):

- (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

- No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?

- Yes No

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

- No Information Filed

(c) Is this a "feeder fund" in a master-feeder arrangement?

- Yes No

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

<table>
<thead>
<tr>
<th>Name of private fund:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private fund identification number:</td>
</tr>
<tr>
<td>(include the &quot;805-&quot; prefix also)</td>
</tr>
</tbody>
</table>

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

- No Information Filed

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

- Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

- Yes No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

- Yes No

10. What type of fund is the private fund?

- hedge fund ☐ liquidity fund ☐ private equity fund ☐ real estate fund ☐ securitized asset fund ☐ venture capital fund ☒ Other private fund: DBT
NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
   $0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
   $5,000,000
   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
   0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
   0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
   0%
   Yes No
   (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
   0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
   Yes No
   (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
   No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
   Yes No
   (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
   No Information Filed

19. Are your clients solicited to invest in the private fund?
   NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund:
    1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
    Yes No

22. If yes, provide the private fund's Form D file number (if any):

   Form D file number
   021-73280

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
B. SERVICE PROVIDERS

Auditors

Yes ☐ No ☐

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
Yes ☐ No ☐

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

(b) Name of the auditing firm: 
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK State: New York Country: United States

(d) Is the auditing firm an independent public accountant?
Yes ☐ No ☐

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
Yes ☐ No ☐

If yes, Public Company Accounting Oversight Board-Assigned Number:
238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?
Yes ☐ No ☐

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?
Yes ☐ No ☐

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?
Yes ☐ No ☐ Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

Yes ☐ No ☐

24. (a) Does the private fund use one or more prime brokers?
Yes ☐ No ☐

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

Yes ☐ No ☐

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?
Yes ☐ No ☐

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

(b) Legal name of custodian:
NORTHERN TRUST COMPANY

(c) Primary business name of custodian:
NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: CHICAGO State: Illinois Country: United States
B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit? 

No Information Filed

4. The private fund (check all that apply; you must check at least one):

- No
- No
- No
- No
- No
- No
- No
- No
- No
- No
- No
- No
- No

(a) (b) (c) (d) (e) (f) (g) (h) 
- contain unqualified opinions?
- Name of the auditing firm:
- Is the auditing firm an independent public accountant?
- The location of the custodian's office responsible for
- ?
- (a) Private fund
- of your firm?
- Under the laws of what state or country is the
- that sponsor(s) or manage(s) this
- Does the
- assets (by value) was valued by a 
- (a)
- If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its 
- Does the
- Is the custodian a 
- The location of the auditing firm's office responsible for the 
- The 
- (a)
- Is the auditing firm registered with the Public Company Accounting Oversight Board?
- (1) Are the 
- (a)
- If the custodian is a broker-dealer, provide its SEC registration number (if any):
- Does the
- ?
- (a)
- Legal name of custodian:
- valuation used for purposes of investor subscriptions, redemptions or distributions,
- (h)
- (g)
- (f)
- (e)
- (d)
- (c)
- (b)
- (a)
- If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below.

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN GLOBAL STYLE BLEND SERIES

(b) Private fund identification number:
(include the "805-" prefix also)
805-7037676776

2. Under the laws of what state or country is the private fund organized:

<table>
<thead>
<tr>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware</td>
<td>United States</td>
</tr>
</tbody>
</table>

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):
5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Private fund identification number:
(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.1(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.1(1) for a master-feeder arrangement according to the instructions to this Section 7.B.1(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

(b) If yes, does the private fund invest in funds managed by you or by a related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td></td>
</tr>
</tbody>
</table>

10. What type of fund is the private fund?

- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund: DBT

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

$ 115,147,734

Ownership

12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

12

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-73280</td>
</tr>
</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

Yes No

(d) Is the auditing firm an independent public accountant?
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

NORTHERN TRUST COMPANY

(c) Primary business name of custodian:

NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: CHICAGO
State: Illinois
Country: United States

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes ☐ No ☐

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN INTERNATIONAL VALUE - UNHEADED CAP-WEIGHTED SERIES

(b) Private fund identification number:

(include the "805-" prefix also)

805-9822611282

2. Under the laws of what state or country is the private fund organized:

State: Delaware Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed
4. The private fund (check all that apply; you must check at least one):
   
   [ ] (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   [x] (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>Yes</td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>Yes</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?
(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:
   Private fund identification number:
   (include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>Yes</td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>Yes</td>
</tr>
</tbody>
</table>

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Information Filed</td>
<td>Yes</td>
</tr>
</tbody>
</table>

10. What type of fund is the private fund?

   [ ] hedge fund  [ ] liquidity fund  [ ] private fund  [ ] real estate fund  [ ] securitized asset fund  [ ] venture capital fund  [x] Other private fund: DBT

   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

   $ 0

   Ownership

12. Minimum investment commitment required of an investor in the private fund:

   $ 5,000,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

   0
14. What is the approximate percentage of the private fund beneficially owned by you and your related persons: 
0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0% 
Yes No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

Form D file number
021-73280

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK
State: New York
Country: United States

Yes No

(d) Is the auditing firm an independent public accountant?
B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) Are the private fund's financial statements subject to an annual audit by an independent public accountant?

Yes No

(b) If "yes" to (a) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No

   Report Not Yet Received

   If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

NORTHERN TRUST COMPANY

(c) Primary business name of custodian:

NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: CHICAGO
State: Illinois
Country: United States

Yes No

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit by an independent public accountant? Yes No

No Information Filed

(b) Name of administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: CHICAGO
State: Illinois
Country: United States

Yes No

(d) Is the administrator a related person of your firm?

Yes (provide to all investors) No (provided to no investors)

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

(f) If the answer to question 23.(e) is "no" or "some," who sends the investor account statements to the private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

AB

26. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN INTERNATIONAL VALUE SERIES

(b) Private fund identification number:

(include the "80S-" prefix also)

805-2128077400

2. Under the laws of what state or country is the private fund organized:

State: Delaware
Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Director(s) (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director
NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed
4. The private fund (check all that apply; you must check at least one):
   ☑ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
   No Information Filed

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
      No Information Filed

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
   No Information Filed

8. (a) Is this private fund a "fund of funds"?
   (b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?
    - ☐ hedge fund  ☐ liquidity fund  ☐ private equity fund  ☐ real estate fund  ☐ securitized asset fund  ☐ venture capital fund  ☑ Other private fund: DBT

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
    $ 93,009,605

Ownership

12. Minimum investment commitment required of an investor in the private fund:
    $ 5,000,000

    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
Yes No
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
Yes No
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
No Information Filed

19. Are your clients solicited to invest in the private fund?
Yes No
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
Yes No

22. If yes, provide the private fund's Form D file number (if any):

<table>
<thead>
<tr>
<th>Form D file number</th>
</tr>
</thead>
<tbody>
<tr>
<td>021-73280</td>
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</tbody>
</table>

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
Yes No
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
Yes No
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

<table>
<thead>
<tr>
<th>City:</th>
<th>State:</th>
<th>Country:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW YORK</td>
<td>New York</td>
<td>United States</td>
</tr>
</tbody>
</table>

(d) Is the auditing firm an independent public accountant?
Yes No
B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit? If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

NORTHERN TRUST COMPANY

(c) Primary business name of custodian:

NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: CHICAGO
State: Illinois
Country: United States

Yes No

(e) Is the custodian a related person of your firm?

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
## B. SERVICE PROVIDERS

### Auditors

<table>
<thead>
<tr>
<th>Yes</th>
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</tbody>
</table>

- **(a)** Are the private fund's financial statements subject to an annual audit by an independent public accountant? 
  - Yes
  - No

- **(b)** Name of administrator: **NORTHERN TRUST**

- **(c)** Location of administrator (city, state and country):
  - City: **CHICAGO**
  - State: **Illinois**
  - Country: **United States**

- **(d)** Is the administrator a related person of your firm?  
  - Yes
  - No

- **(e)** Does the administrator prepare and send investor account statements to the private fund's investors?  
  - Yes (provided to all investors)
  - Some (provided to some but not all investors)
  - No (provided to no investors)

- **(f)** If the answer to question **(e)** is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." **AB**

### 27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?**

- **100%**

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

### Marketers

- **Yes**
- **No**

### 28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?  

- Yes
- No

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question **(a)** is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

---

## A. PRIVATE FUND

### Information About the Private Fund

1. **(a)** Name of the private fund: 
   - **SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN TAX-MANAGED GLOBAL STYLE BLEND SERIES**

2. **(b)** Private fund identification number: 
   - (include the "805-" prefix also)
   - **805-1692104218**

3. **(a)** Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
### B. SERVICE PROVIDERS

#### 4. The private fund (check all that apply; you must check at least one):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940</td>
</tr>
<tr>
<td>☑</td>
<td>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940</td>
</tr>
</tbody>
</table>

#### 5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

#### 6. (a) Is this a "master fund" in a master-feeder arrangement?

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Name of private fund:

Private fund identification number:

(include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

#### 7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No Information Filed</td>
</tr>
</tbody>
</table>

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

#### 8. (a) Is this private fund a "fund of funds"?

(b) If yes, does the private fund invest in funds managed by you or by a related person?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☑</td>
</tr>
</tbody>
</table>

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

#### 9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☑</td>
</tr>
</tbody>
</table>

#### 10. What type of fund is the private fund?

- ☐ hedge fund
- ☐ liquidity fund
- ☐ private equity fund
- ☐ real estate fund
- ☐ securitized asset fund
- ☐ venture capital fund
- ☑ Other private fund: DBT

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

#### 11. Current gross asset value of the private fund:

$ 577,395,235

### Ownership

#### 12. Minimum investment commitment required of an investor in the private fund:

$ 5,000,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

#### 13. Approximate number of the private fund's beneficial owners:
14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
1%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?
Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?
Yes No
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.
No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
Yes No
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
No Information Filed

19. Are your clients solicited to invest in the private fund?
Yes No
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?
Yes No

22. If yes, provide the private fund's Form D file number (if any):

Form D file number
021-73280

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?
Yes No
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?
Yes No
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:
PRICEWATERHOUSECOOPERS
(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):
City: NEW YORK State: New York Country: United States
B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit by an auditing firm?  

If yes, Public Company Accounting Oversight Board-Assigned Number:  

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? 

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions? 

Yes No  Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:  
NORTHERN TRUST COMPANY

(c) Primary business name of custodian:  
NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):  
City: CHICAGO  State: Illinois  Country: United States

Yes No

(e) Is the custodian a related person of your firm? 

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):  
- CRD Number (if any): 

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)
### A. PRIVATE FUND

#### Information About the Private Fund

1. (a) Name of the private fund:
   - SANFORD C. BERNSTEIN & CO. DELAWARE BUSINESS TRUST - BERNSTEIN TAX-MANAGED INTERNATIONAL BLEND SERIES

   (b) Private fund identification number:
   - (include the "805-" prefix also)
   - 805-5935982495

2. Under the laws of what state or country is the private fund organized:
   - State: Delaware
   - Country: United States

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):
   - NORTHERN TRUST COMPANY (CUSTODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)

### B. SERVICE PROVIDERS

#### Auditors

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>23.(a)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Are the private fund's financial statements subject to an annual independent public accountant audit?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) If the answer to question 23.(a) is &quot;yes,&quot; are the financial statements prepared in accordance with U.S. GAAP?</td>
<td></td>
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</tbody>
</table>

#### Additional Administrator Information : 1 Record(s) Filed

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

<table>
<thead>
<tr>
<th>(b) Name of administrator:</th>
<th>NORTHERN TRUST</th>
</tr>
</thead>
<tbody>
<tr>
<td>(c) Location of administrator (city, state and country):</td>
<td>CHICAGO, Illinois, United States</td>
</tr>
<tr>
<td>(d) Is the administrator a related person of your firm?</td>
<td>Yes</td>
</tr>
<tr>
<td>(e) Does the administrator prepare and send investor account statements to the private fund's investors?</td>
<td>Yes (provided to all investors)</td>
</tr>
<tr>
<td>(f) If the answer to question 26.(e) is &quot;no&quot; or &quot;some,&quot; who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond &quot;not applicable.&quot;</td>
<td>AB</td>
</tr>
</tbody>
</table>

26. (a) Does the private fund use an administrator other than your firm? 

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

#### Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? 

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed
4. The private fund (check all that apply; you must check at least one):

- (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
- (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

6. (a) Is this a "master fund" in a master-feeder arrangement?
   
   - Yes
   - No

   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
   
   - No Information Filed

   (c) Is this a "feeder fund" in a master-feeder arrangement?
   
   - Yes
   - No

   (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   - Private fund identification number:
     (include the "805-" prefix also)

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   - No Information Filed

   NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?

   - Yes
   - No

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   - Yes
   - No

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

   - Yes
   - No

10. What type of fund is the private fund?

    - hedge fund
    - liquidity fund
    - private equity fund
    - real estate fund
    - securitized asset fund
    - venture capital fund
    - Other private fund: DBT

    NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $ 483,949,061

Ownership

12. Minimum investment commitment required of an investor in the private fund:

    $ 5,000,000

    NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).
13. Approximate number of the private fund's beneficial owners:  
55

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:  
19%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:  
0%  
Yes   No
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?  
No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:  
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?  
Yes   No
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.  
No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?  
Yes   No
(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.  
No Information Filed

19. Are your clients solicited to invest in the private fund?  
Yes   No
NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your clients has invested in the private fund?  
1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  
Yes   No

22. If yes, provide the private fund's Form D file number (if any):  
Form D file number  
021-67332

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?  
Yes   No
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?  
Yes   No
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:  
PRICEWATERHOUSECOOPERS

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):  
United States
(b) Are the private fund's financial statements subject to an annual updating amendment?

Yes No

(1) Are the private fund's financial statements subject to an annual updating amendment?

Yes No

If yes, Public Company Accounting Oversight Board-Assigned Number:

238

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

NORTHERN TRUST COMPANY

(c) Primary business name of custodian:

NORTHERN TRUST COMPANY

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: CHICAGO
State: Illinois
Country: United States

Yes No

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)
B. SERVICE PROVIDERS

23. (a) (1) Are the private fund’s financial statements subject to an annual audit by an independent registered public accounting firm?  
[Yes] [No]

23. (a) (2) Is this a “feeder fund” in a master-feeder arrangement?  
[No]

23. (a) (3) Are the private fund’s financial statements prepared in accordance with U.S. GAAP?  
[Yes] [No]

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:  
NORTHERN TRUST

(c) Location of administrator (city, state and country):  
City: CHICAGO  
State: Illinois  
Country: United States

(d) Is the administrator a related person of your firm?  
[No]

(e) Does the administrator prepare and send investor account statements to the private fund's investors?  
[No (provided to no investors)]

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?  
[100%]

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?  
[No]

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:  
SANFORD C. BERNSTEIN ADVANCED VALUE OFFSHORE MASTER FUND LTD.

(b) Private fund identification number:  
(include the "805-" prefix also)  
805-7216645690

2. Under the laws of what state or country is the private fund organized:  
State:  
Country: Cayman Islands

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director
4. The private fund (check all that apply; you must check at least one):
   - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAYMAN ISLANDS MONETARY AUTHORITY</td>
<td></td>
</tr>
</tbody>
</table>

6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

<table>
<thead>
<tr>
<th>Name of private fund</th>
<th>Private fund identification number</th>
</tr>
</thead>
<tbody>
<tr>
<td>BERNSTEIN ADVANCED VALUE OFFSHORE LTD.</td>
<td>805-762723330</td>
</tr>
</tbody>
</table>

(c) Is this a "feeder fund" in a master-feeder arrangement?
(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

   Name of private fund:

   Private fund identification number:
   (include the "805-" prefix also)

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   Additional Feeder Fund Information : 1 Record(s) Filed.

   7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:
      (a) Name of the private fund:
           BERNSTEIN ADVANCED VALUE OFFSHORE LTD.

      (b) Private fund identification number:
           (include the "805-" prefix also)
           805-762723330

      (c) Under the laws of what state or country is the private fund organized:
           State: Cayman Islands

      (d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
           DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

      (d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
           No Information Filed

      (e) The private fund (check all that apply; you must check at least one):
           - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
           - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

8. (a) Is this private fund a "fund of funds"?
Yes No

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.
(b) If yes, does the private fund invest in funds managed by you or by a related person?

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
Yes No

10. What type of fund is the private fund?
- hedge fund
- liquidity fund
- private equity fund
- real estate fund
- securitized asset fund
- venture capital fund
- Other private fund:

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:
$ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:
$ 500,000

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:
0

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:
0%

15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:
0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:
0%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.
### Private Offering

21. Has the **private fund** ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

- Yes
- No

22. If yes, provide the **private fund's** Form D file number (if any):

| No Information Filed |

### B. SERVICE PROVIDERS

#### Auditors

23. (a) Are the **private fund's** financial statements subject to an annual audit?

- Yes
- No

(1) If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the **private fund** uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

**Additional Auditor Information : 1 Record(s) Filed.**

<table>
<thead>
<tr>
<th>If the answer to question 23.(a)(1) is &quot;yes,&quot; respond to questions (b) through (h) below. If the <strong>private fund</strong> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS</td>
</tr>
<tr>
<td>(c) The location of the auditing firm's office responsible for the <strong>private fund's</strong> audit (city, state and country):</td>
</tr>
<tr>
<td>City: NEW YORK</td>
</tr>
<tr>
<td>State: New York</td>
</tr>
<tr>
<td>Country: United States</td>
</tr>
<tr>
<td>(d) Is the auditing firm an independent public accountant?</td>
</tr>
<tr>
<td>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?</td>
</tr>
<tr>
<td>If yes, Public Company Accounting Oversight Board-Assigned Number: 238</td>
</tr>
<tr>
<td>(f) If &quot;yes&quot; to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</td>
</tr>
<tr>
<td>(g) Are the <strong>private fund's</strong> audited financial statements for the most recently completed fiscal year distributed to the <strong>private fund's</strong> investors?</td>
</tr>
<tr>
<td>(h) Do all of the reports prepared by the auditing firm for the <strong>private fund</strong> since your last annual updating amendment contain unqualified opinions?</td>
</tr>
</tbody>
</table>

- Yes
- No
- Report Not Yet Received

*If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.*

### Prime Broker

24. (a) Does the **private fund** use one or more prime brokers?

- Yes
- No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the **private fund** uses. If the **private fund** uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

**Additional Prime Broker Information : 1 Record(s) Filed.**

| If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the **private fund** uses. If the **private fund** uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. |
(b) Name of the prime broker:
MORGAN STANLEY & CO. LLC

(c) If the prime broker is registered with the SEC, its registration number:
8 - 15869
CRD Number (if any):
8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):
City: NEW YORK  State: New York  Country: United States

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:
STATE STREET CAYMAN TRUST LTD.

(c) Primary business name of custodian:
STATE STREET BANK

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):
City: CAYMAN ISLANDS  State: Cayman Islands

(e) Is the custodian a related person of your firm?

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

   CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
STATE STREET BANK
A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:
   W.P. STEWART HOLDINGS FUND
(b) Private fund identification number:
   (include the "805-" prefix also)
   805-1606722425

2. Under the laws of what state or country is the private fund organized:
   State: Country:
   Canada

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

<table>
<thead>
<tr>
<th>Name of General Partner, Manager, Trustee, or Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.A.M. WIJSMAN</td>
</tr>
<tr>
<td>BERTRAND REIMMEL</td>
</tr>
<tr>
<td>GARRY PIETERS</td>
</tr>
<tr>
<td>LOUIS MANGAN</td>
</tr>
<tr>
<td>SILVIO CRUZ</td>
</tr>
</tbody>
</table>

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

4. The private fund (check all that apply; you must check at least one):
   ✓ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
   □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person? 100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? Yes

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed
6. (a) Is this a "master fund" in a master-feeder arrangement?
   (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

   Private fund identification number:
   (include the "805-" prefix also)

   No Information Filed

   NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

   No Information Filed

---

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

<table>
<thead>
<tr>
<th>Name of Country/English Name of Foreign Financial Regulatory Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Luxembourg, Grand Duchy of - Commission to Surveillance of the Finance Sector</td>
</tr>
<tr>
<td>Netherlands - The Netherlands Authority for the Financial Markets</td>
</tr>
</tbody>
</table>

---

8. (a) Is this private fund a "fund of funds"?

   NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.

   (b) If yes, does the private fund invest in funds managed by you or by a related person?

   No

---

9. During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

   Yes

---

10. What type of fund is the private fund?

   - hedge fund
   - liquidity fund
   - private equity fund
   - real estate fund
   - securitized asset fund
   - venture capital fund
   - Other private fund:

   NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

    $ 432,893,000

---

12. Minimum investment commitment required of an investor in the private fund:

    $ 50,000

   NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).

13. Approximate number of the private fund's beneficial owners:

    120

14. What is the approximate percentage of the private fund beneficially owned by you and your related persons:

    0%
15. (a) What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?

Yes No

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

100%

Your Advisory Services

17. (a) Are you a subadviser to this private fund?

Yes No

(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer to question 17.(a) is "no," leave this question blank.

No Information Filed

18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?

Yes No

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

No Information Filed

19. Are your clients solicited to invest in the private fund?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Yes No

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

Yes No

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Yes No

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

ERNST & YOUNG S.A.

(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):

City: LUXEMBOURG

State: Luxembourg

Country: Luxembourg

Yes No

(d) Is the auditing firm an independent public accountant?

Yes No

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

Yes No
Auditors

21.

12.

11.

1.

27.

26.

25.

24.

23.

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?

Yes No

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

Yes No Report Not Yet Received

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

Prime Broker

24. (a) Does the private fund use one or more prime brokers?

Yes No

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

No Information Filed

Custodian

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information : 1 Record(s) Filed.

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

BROWN BROTHERS HARRIMAN (LUXEMBOURG) S.C.A.

(c) Primary business name of custodian:

BROWN BROTHERS HARRIMAN

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: State: Country:

LUXEMBOURG

Luxembourg

Yes No

(e) Is the custodian a related person of your firm?

Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

CRD Number (if any):

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

Administrator

26. (a) Does the private fund use an administrator other than your firm?

Yes No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information : 1 Record(s) Filed.

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (f) separately for each administrator.

If yes, Public Company Accounting Oversight Board-Assigned Number:

1367

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

Yes No
If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

(b) Name of administrator:
BROWN BROTHERS HARRIMAN (LUXEMBOURG) S.C.A.

(c) Location of administrator (city, state and country):

City: LUXEMBOURG  
State:  
Country: Luxembourg

(d) Is the administrator a related person of your firm?

Yes No

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

Yes (provided to all investors)  Some (provided to some but not all investors)  No (provided to no investors)

(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable."

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

100%

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

Yes No

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the private fund uses. If the private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed
SECTION 7.B.(2) Private Fund Reporting
No Information Filed

Item 8 Participation or Interest in Client Transactions

In this Item, we request information about your participation and interest in your clients' transactions. This information identifies additional areas in which conflicts of interest may occur between you and your clients. Newly-formed advisers should base responses to these questions on the types of participation and interest that you expect to engage in during the next year.

Like Item 7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.

Proprietary Interest in Client Transactions

A. Do you or any related person:

(a) buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)?
(b) recommend securities (other than investment products) to advisory clients in which you or any related person has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?  

Sales Interest in Client Transactions

B. Do you or any related person:

(1) as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from the brokerage customer (agency cross transactions)?
(2) recommend to advisory clients, or act as a purchaser representative for advisory clients with respect to, the purchase of securities for which you or any related person serves as underwriter or general or managing partner?
(3) recommend purchase or sale of securities to advisory clients for which you or any related person has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?

Investment or Brokerage Discretion

C. Do you or any related person have discretionary authority to determine:

(1) securities to be bought or sold for a client's account?
(2) amount of securities to be bought or sold for a client's account?
(3) broker or dealer to be used for a purchase or sale of securities for a client's account?
(4) commission rates to be paid to a broker or dealer for a client's securities transactions?

D. If you answer "yes" to C.(3) above, are any of the brokers or dealers related persons?
E. Do you or any related person recommend brokers or dealers to clients?
F. If you answer "yes" to E. above, are any of the brokers or dealers related persons?

G. (1) Do you or any related person receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with client securities transactions?
(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any related persons receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?

H. (1) Do you or any related person, directly or indirectly, compensate any person that is not an employee for client referrals?
(2) Do you or any related person, directly or indirectly, provide any employee compensation that is specifically related to obtaining clients for the firm (cash or non-cash compensation in addition to the employee's regular salary)?
I. Do you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related person) for client referrals?

In your response to Item 8.I., do not include the regular salary you pay to an employee.

In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or received from (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.

Item 9 Custody

In this Item, we ask you whether you or a related person has custody of client (other than clients that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.

A. (1) Do you have custody of any advisory clients':
   (a) cash or bank accounts?
   (b) securities?
If you are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advisory fees directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.

(2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of client funds and securities and total number of clients for which you have custody:

<table>
<thead>
<tr>
<th>U.S. Dollar Amount</th>
<th>Total Number of Clients</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) $ 24,525,631,106</td>
<td>(b) 103</td>
</tr>
</tbody>
</table>

If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to Item 9.B.(2).

B. (1) In connection with advisory services you provide to clients, do any of your related persons have custody of any of your advisory clients:

- (a) cash or bank accounts?
- (b) securities?

You are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).

(2) If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of client funds and securities and total number of clients for which your related persons have custody:

<table>
<thead>
<tr>
<th>U.S. Dollar Amount</th>
<th>Total Number of Clients</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) $ 98,795,464,731</td>
<td>(b) 30,726</td>
</tr>
</tbody>
</table>

C. If you or your related persons have custody of client funds or securities in connection with advisory services you provide to clients, check all the following that apply:

- (1) A qualified custodian(s) sends account statements at least quarterly to the investors in the pooled investment vehicle(s) you manage.
- (2) An independent public accountant audits annually the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the pools.
- (3) An independent public accountant conducts an annual surprise examination of client funds and securities.
- (4) An independent public accountant prepares an internal control report with respect to custodial services when you or your related persons are qualified custodians for client funds and securities.

If you checked Item 9.C.(2), C.(3) or C.(4), list in Section 9.C. of Schedule D the accountants that are engaged to perform the audit or examination or prepare an internal control report. (If you checked Item 9.C.(2), you do not have to list auditor information in Section 9.C. of Schedule D if you already provided this information with respect to the private funds you advise in Section 7.B.(1) of Schedule D).

D. Do you or your related person(s) act as qualified custodians for your clients in connection with advisory services you provide to clients?

- (1) you act as a qualified custodian
- (2) your related person(s) act as qualified custodian(s)

If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in Section 7.A. of Schedule D, regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

E. If you are filing your annual updating amendment and you were subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date (MM/YY) the examination commenced:

12/2019

F. If you or your related persons have custody of client funds or securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians for your clients in connection with advisory services you provide to clients?

1

SECTION 9.C. Independent Public Accountant

You must complete the following information for each independent public accountant engaged to perform a surprise examination, perform an audit of a pooled investment vehicle that you manage, or prepare an internal control report. You must complete a separate Schedule D Section 9.C. for each independent public accountant.

(1) Name of the independent public accountant:

ERNST & YOUNG

(2) The location of the independent public accountant's office responsible for the services provided:

Number and Street 1: 
Number and Street 2:
(3) Is the independent public accountant registered with the Public Company Accounting Oversight Board?

If "yes," Public Company Accounting Oversight Board-Assigned Number: 238

(4) If "yes" to (3) above, is the independent public accountant subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

(5) The independent public accountant is engaged to:
A. [ ] audit a pooled investment vehicle
B. [ ] perform a surprise examination of clients' assets
C. [ ] prepare an internal control report

(6) Since your last annual updating amendment, did all of the reports prepared by the independent public accountant that audited the pooled investment vehicle or that examined internal controls contain unqualified opinions?

If you check “Report Not Yet Received”, you must promptly file an amendment to your Form ADV to update your response when the accountant's report is available.

(1) Name of the independent public accountant:
PRICEWATERHOUSECOOPERS LLP

(2) The location of the independent public accountant's office responsible for the services provided:

300 MADISON AVENUE

300 MADISON AVENUE

NEW YORK New York United States 10017

Yes No

Item 10 Control Persons

In this Item, we ask you to identify every person that, directly or indirectly, controls you. If you are filing an umbrella registration, the information in Item 10 should be provided for the filing adviser only.

If you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C.
A. Does any person not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, control your management or policies?

If yes, complete Section 10.A. of Schedule D.

B. If any person named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please complete Section 10.B. of Schedule D.

SECTION 10.A. Control Persons

No Information Filed

SECTION 10.B. Control Person Public Reporting Companies

B. If any person named in Schedules A, B, or C, or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please provide the following information (you must complete a separate Schedule D Section 10.B. for each public reporting company):

(1) Full legal name of the public reporting company: ALLIANCEBERNSTEIN HOLDING L.P.
(2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company): 825313

B. If any person named in Schedules A, B, or C, or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please provide the following information (you must complete a separate Schedule D Section 10.B. for each public reporting company):

(1) Full legal name of the public reporting company: EQUITABLE HOLDINGS, INC.
(2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company): 727920

Item 11 Disclosure Information

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the filing adviser and all relying advisers under an umbrella registration.

Your advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlled by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your advisory affiliates are.

If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.

Yes No

Do any of the events below involve you or any of your supervised persons?

For "yes" answers to the following questions, complete a Criminal Action DRP:

A. In the past ten years, have you or any advisory affiliate:

(1) been convicted of or plead guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?
(2) been charged with a felony?

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending.

B. In the past ten years, have you or any advisory affiliate:

(1) been convicted of or plead guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?
(2) been charged with a misdemeanor listed in Item 11.B.(1)?

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending.

For "yes" answers to the following questions, complete a Regulatory Action DRP:
C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:

(1) found you or any advisory affiliate to have made a false statement or omission? ☐ ☐

(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? ☐ ☐

(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? ☐ ☐

(4) entered an order against you or any advisory affiliate in connection with investment-related activity? ☐ ☐

(5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity? ☐ ☐

D. Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:

(1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical? ☐ ☐

(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes? ☐ ☐

(3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? ☐ ☐

(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity? ☐ ☐

(5) ever denied, suspended, or revoked your or any advisory affiliate’s registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate’s activity? ☐ ☐

E. Has any self-regulatory organization or commodities exchange ever:

(1) found you or any advisory affiliate to have made a false statement or omission? ☐ ☐

(2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a “minor rule violation” under a plan approved by the SEC)? ☐ ☐

(3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? ☐ ☐

(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate’s activities? ☐ ☐

F. Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended? ☐ ☐

G. Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a “yes” answer to any part of Item 11.C., 11.D., or 11.E.? ☐ ☐

For “yes” answers to the following questions, complete a Civil Judicial Action DRP:

H. (1) Has any domestic or foreign court:

   (a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity? ☐ ☐

   (b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations? ☐ ☐

   (c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority? ☐ ☐

   (2) Are you or any advisory affiliate now the subject of any civil proceeding that could result in a “yes” answer to any part of Item 11.H.(1)? ☐ ☐

Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of “small business” or “small organization” under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than $25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of clients. In determining your or another person's total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another person is presumed to control the other person.

A. Did you have total assets of $5 million or more on the last day of your most recent fiscal year? ☐ ☐

If “yes,” you do not need to answer Items 12.B. and 12.C.

B. Do you:

   (1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of $25 million or more on the last day of its most recent fiscal year? ☐ ☐
### Schedule A

#### Direct Owners and Executive Officers

1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.

2. Direct Owners and Executive Officers. List below the names of:
   - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
   - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);
      - Direct owners include any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
   - (c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
   - (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
   - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and
   - (ii) if managed by elected managers, all elected managers.

3. Do you have any indirect owners to be reported on Schedule B? Yes No

4. In the DE/FEI column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.

5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).

6. Ownership codes are:
   - NA - less than 5%
   - B - 10% but less than 25%
   - D - 50% but less than 75%
   - A - 5% but less than 10%
   - C - 25% but less than 50%
   - E - 75% or more

7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
   (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(c) of the Exchange Act.
   (c) Complete each column.

<table>
<thead>
<tr>
<th>FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)</th>
<th>DE/FEI</th>
<th>Title or Status</th>
<th>Date Title or Status Acquired</th>
<th>Ownership Code</th>
<th>Control Person</th>
<th>CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALLIANCBERNSTEIN CORPORATION</td>
<td>DE</td>
<td>GENERAL PARTNER</td>
<td>10/1999</td>
<td>NA</td>
<td>Y</td>
<td>N 107445</td>
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<td>ALLIANCBERNSTEIN HOLDING L.P.</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>10/1999</td>
<td>C</td>
<td>Y</td>
<td>N 106998</td>
</tr>
<tr>
<td>MANLEY, MARK, RANDALL</td>
<td>I</td>
<td>SENIOR VICE PRESIDENT, DEPUTY GENERAL COUNSEL, ASST. SECRETARY OF ABC AND CHIEF COMPLIANCE OFFICER</td>
<td>05/1984</td>
<td>NA</td>
<td>Y</td>
<td>N 1294370</td>
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<tr>
<td>CRANCH, LAURENCE, EDWARD</td>
<td>I</td>
<td>GENERAL COUNSEL</td>
<td>07/2004</td>
<td>NA</td>
<td>Y</td>
<td>N 4828314</td>
</tr>
<tr>
<td>GINGRICH, JAMES, ANDREW</td>
<td>I</td>
<td>CHIEF OPERATING OFFICER</td>
<td>01/2012</td>
<td>NA</td>
<td>Y</td>
<td>N 4123574</td>
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<tr>
<td>PEARSON, MARK, NMN</td>
<td>I</td>
<td>DIRECTOR OF AB</td>
<td>01/2011</td>
<td>NA</td>
<td>Y</td>
<td>N 5904212</td>
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<tr>
<td>WEISENSEEL, JOHN, CHARLES</td>
<td>I</td>
<td>CHIEF FINANCIAL OFFICER</td>
<td>05/2012</td>
<td>NA</td>
<td>Y</td>
<td>N 1995728</td>
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<td>EQUITABLE LIFE INSURANCE OF AMERICA</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>10/2004</td>
<td>NA</td>
<td>Y</td>
<td>N 86-0222062</td>
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<tr>
<td>AXA IM HOLDING U.S.</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>01/2016</td>
<td>B</td>
<td>Y</td>
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<tr>
<td>LESSER, DAVID, MICHAEL</td>
<td>I</td>
<td>CORPORATE SECRETARY</td>
<td>05/2016</td>
<td>NA</td>
<td>Y</td>
<td>N 2822514</td>
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<tr>
<td>BERNSTEIN, SETH, PERRY</td>
<td>I</td>
<td>CEO</td>
<td>05/2017</td>
<td>NA</td>
<td>Y</td>
<td>N 2025891</td>
</tr>
<tr>
<td>KAYE, DANIEL, GEORGE</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>04/2017</td>
<td>NA</td>
<td>Y</td>
<td>N 6792253</td>
</tr>
<tr>
<td>DEOLIVEIRA, RAMON, EUGENE</td>
<td>I</td>
<td>CHAIRMAN AND DIRECTOR OF ABC</td>
<td>04/2019</td>
<td>NA</td>
<td>Y</td>
<td>N 1916002</td>
</tr>
<tr>
<td>AUDET, PAUL, LOUIS</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>11/2017</td>
<td>NA</td>
<td>Y</td>
<td>N 4340709</td>
</tr>
<tr>
<td>NARAYANDAS, DAS, NMN</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>11/2017</td>
<td>NA</td>
<td>Y</td>
<td>N 6892172</td>
</tr>
<tr>
<td>EQUITABLE HOLDINGS, INC.</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>05/2018</td>
<td>B</td>
<td>Y</td>
<td>Y 90-0222648</td>
</tr>
<tr>
<td>AXA EQUITABLE LIFE INSURANCE COMPANY</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>05/2018</td>
<td>C</td>
<td>Y</td>
<td>N 13-5570651</td>
</tr>
<tr>
<td>ALPHA UNIT HOLDINGS, INC.</td>
<td>DE</td>
<td>LIMITED PARTNER</td>
<td>05/2018</td>
<td>C</td>
<td>Y</td>
<td>N 83-2796390</td>
</tr>
<tr>
<td>STONEHILL, CHARLES, GERALD THOROTON</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>04/2019</td>
<td>NA</td>
<td>Y</td>
<td>N 1772667</td>
</tr>
<tr>
<td>HURD, JEFFREY, (NMN)</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>04/2019</td>
<td>NA</td>
<td>Y</td>
<td>N 4924658</td>
</tr>
<tr>
<td>LANE, NICK, BURRITT</td>
<td>I</td>
<td>DIRECTOR OF ABC</td>
<td>04/2019</td>
<td>NA</td>
<td>Y</td>
<td>N 4994948</td>
</tr>
</tbody>
</table>
Section 7.B.(2) Private Fund Reporting

No Information Filed

Item 8 Participation or Interest in Client Transactions

In

100,000 general partnership units in Holding and a 1% general partnership interest in AllianceBernstein L.P. Including


Section 7.B.(2)

Indirect Owners

1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.

2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:

(a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

(b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;

(c) in the case of an owner that is a trust, the trust and each trustee; and

(d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.

3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.

4. In the DE/FEI column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.

5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).

6. Ownership codes are: C - 25% but less than 50% E - 75% or more D - 50% but less than 75% F - Other (general partner, trustee, or elected manager)

7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under that definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name) DE/FEI Entity in Which Interest is Owned Status Date Status Acquired MM/YYYY Ownership Code Control Person PR

AXA EQUITABLE FINANCIAL SERVICES, LLC DE ALPHA UNIT HOLDINGS, INC. 100% SHAREHOLDER 12/2018 E Y N 52-2197822

EQUITABLE HOLDINGS, INC. DE AXA EQUITABLE FINANCIAL SERVICES, LLC 100% SHAREHOLDER 05/2004 E Y Y 90-026248

ALLIANCEBERNSTEIN CORPORATION DE ALLIANCEBERNSTEIN HOLDING L.P. 0.1% GENERAL PARTNER INTEREST 04/1988 F Y N 13-363538

AXA EQUITABLE FINANCIAL SERVICES, LLC DE MONY LIFE INSURANCE COMPANY OF AMERICA 100% SHAREHOLDER 10/2004 E Y N 52-2197822

ALLIANCEBERNSTEIN CORPORATION DE ALLIANCEBERNSTEIN CORPORATION 100% SHAREHOLDER 12/2018 E Y N 83-2796390

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

PART 1A, ITEM 1 - WEBSITE ADDRESSES - URL INFORMATION MAY BE IMPACTED BY LOWER CASE LETTERS THAT HAVE BEEN AUTOMATICALLY CONVERTED TO UPPER CASE LETTER (e.g., YouTube URLs). PART 1A, ITEM 5.A - EMPLOYEES - ALL EMPLOYEE INFORMATION AND FIGURES INCLUDE ALLIANCEBERNSTEIN'S ADVISORY AFFILIATES, SUCH AS SANFORD C. BERNSTEIN & CO., LLC, W.P. STEWART ASSET MANAGEMENT LTD., W.P. STEWART & CO., LLC, AB PRIVATE CREDIT INVESTORS, LLC, AND AB CUSTOM ALTERNATIVE SOLUTIONS, LLC. ALL EMPLOYEES ARE EMPLOYED BY ALLIANCEBERNSTEIN L.P. PART 1A, ITEM 5.D CLIENTS - CLIENTS WHICH FALL INTO THE CATEGORY OF "INDIVIDUAL" MAKE UP A LARGE PROPORTION OF REGISTERANT'S TOTAL NUMBER OF CLIENTS, BUT ACCOUNT FOR LESS THAN 7% OF REGISTERANT'S TOTAL AUM AS OF 12/31/2019. INSTITUTIONAL CLIENTS (FOR EXAMPLE: PUBLIC AND PRIVATE PENSION PLANS, FOUNDATIONS ETC.) AND RETAIL MUTUAL FUNDS MUNICIPAL FUNDS COMPARE APPROXIMATELY 50% AND 49%, RESPECTIVELY, OF REGISTERANT'S TOTAL AUM AS OF THAT SAME DATE. THE CLIENT TABLE PART 1A, ITEM 5.F.(2) - ASSETS UNDER MANAGEMENT - THE AUM IDENTIFIED IN ITEM 5.F.(2) INCLUDES ASSETS OF ADVISORY AFFILIATES THAT ARE DIRECTLY OR INDIRECTLY CONTROLLED BY REGISTERANT INCLUDING THOSE ADVISORY AFFILIATES, SUCH AS SANFORD C. BERNSTEIN & CO., LLC, W.P. STEWART ASSET MANAGEMENT LTD., AB CUSTOM ALTERNATIVE SOLUTIONS, LLC, AND AB PRIVATE CREDIT INVESTORS LLC THAT HAVE DELEGATED INVESTMENT MANAGEMENT RESPONSIBILITY TO REGISTERANT. THE AUM ALSO INCLUDES THE ASSETS OF TWO ACCOUNTS THAT WERE ADVISED BY ASTURIAS CAPITAL LLC, A FIRM THAT WAS ACQUIRED BY ALLIANCEBERNSTEIN L.P., ON MARCH 6, 2020, AND ARE NOW ADVISED BY ALLIANCEBERNSTEIN L.P. PART 1A, ITEM 7.B LIMITED PARTNERSHIP PARTICIPATION OR OTHER PRIVATE FUND PARTICIPATION: ALL CURRENT VALUES OF THE TOTAL ASSETS OF THE LIMITED PARTNERSHIPS, LIMITED LIABILITY COMPANIES, OR OTHER PRIVATE FUNDS ARE AS OF 12/31/2019. PART 1A, ITEM 10 - CONTROL PERSONS - AS OF DECEMBER 31, 2019, the ownership structure of AllianceBernstein, expressed as a percentage of general and limited partnership interests, was as follows: AllianceBernstein Corporation (an indirect wholly-owned subsidiary of AXA Equitable Holdings, Inc., "General Partner") is the general partner of both AllianceBernstein Holding L.P. ("Holding") and AllianceBernstein L.P. AllianceBernstein Corporation owns 100,000 general partnership units in Holding and a 1% general partnership interest in AllianceBernstein L.P. Including
Schedule R

No Information Filed

DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an INITIAL OR AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Regulatory Action

Check item(s) being responded to:

- 11.C(1)
- 11.C(2)
- 11.C(3)
- 11.C(4)
- 11.C(5)
- 11.D(1)
- 11.D(2)
- 11.D(3)
- 11.D(4)
- 11.D(5)
- 11.E(1)
- 11.E(2)
- 11.E(3)
- 11.E(4)
- 11.F
- 11.G

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

- You (the advisory firm)
- You and one or more of your advisory affiliates
- One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).

If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

<table>
<thead>
<tr>
<th>CRD</th>
<th>104845</th>
</tr>
</thead>
<tbody>
<tr>
<td>This advisory affiliate is</td>
<td>☑ a Firm  ☐ an Individual</td>
</tr>
</tbody>
</table>

Registered: ☑ Yes  ☐ No

Name: AXA EQUITABLE LIFE INSURANCE COMPANY
(For individuals, Last, First, Middle)

☐ This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.

☐ This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.
PART II

1. Regulatory Action initiated by:
   - SEC
   - Other Federal
   - State
   - SRO
   - Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2. Principal Sanction:
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   - Exact
   - Explanation
   If not exact, provide explanation:

4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

8. Current Status?
   - Pending
   - On Appeal
   - Final

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date AppealFiled:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):
    - Exact
    - Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       - Monetary/Fine Amount: $
       - Disgorgement/Restitution
       - Revocation/Expulsion/Denial
       - Cease and Desist/Injunction
       - Censure
       - Suspension
       - Bar

B. Other Sanctions Ordered:

Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
This Disclosure Reporting Page (DRP ADV) is an AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):
   - You (the advisory firm)
   - You and one or more of your advisory affiliates
   - One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

<table>
<thead>
<tr>
<th>CRD Number: 104474</th>
<th>This advisory affiliate is ☐ a Firm ☐ an Individual</th>
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</thead>
<tbody>
<tr>
<td>Registered: ☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>Name: SANFORD C. BERNSTEIN &amp; CO., LLC</td>
<td></td>
</tr>
<tr>
<td>(For individuals, Last, First, Middle)</td>
<td></td>
</tr>
</tbody>
</table>

☐ This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
☐ This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

☐ If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
   - ☐ Yes ☐ No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

1. Regulatory Action initiated by:
   - ☐ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2. Principal Sanction:

   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   - ☐ Exact ☐ Explanation
   If not exact, provide explanation:
4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

   If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):
    ○ Exact  ○ Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       ☐ Monetary/Fine Amount: $
       ☐ Revocation/Expulsion/Denial
       ☐ Censure
       ☐ Bar
       ☐ Disgorgement/Restitution
       ☐ Cease and Desist/Injunction
       ☐ Suspension
    B. Other Sanctions Ordered:
       Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

---

GENERAL INSTRUCTIONS

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Regulatory Action

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11.F.</td>
<td>11.G.</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):
   ○ You (the advisory firm)
If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

| CRD Number: 14549 | This advisory affiliate is ☐ a Firm ☐ an Individual |
| Registered: ☑ Yes ☐ No |
| Name: ALLIANCEBERNSTEIN INVESTMENTS, INC. |
| (For individuals, Last, First, Middle) |

☐ This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
☐ This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

☐ Yes ☐ No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

1. Regulatory Action initiated by:
   ☑ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2. Principal Sanction:
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   ☑ Exact ☐ Explanation
   If not exact, provide explanation:

4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):
12. Resolution Detail:

A. Were any of the following Sanctions Ordered (check all appropriate items)?

☐ Monetary/Fine Amount: $

☐ Revocation/Expulsion/Denial

☐ Censure

☐ Bar

☐ Disgorgement/Restitution

☐ Cease and Desist/Injunction

☐ Suspension

B. Other Sanctions Ordered:

Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an INITIAL OR AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Regulatory Action

Check item(s) being responded to:


☐ 11.F. ☐ 11.G.

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

☐ You (the advisory firm)

☐ You and one or more of your advisory affiliates

☐ One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

No Information Filed

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☐ This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser’s or advisory affiliate’s favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

1. Regulatory Action initiated by:
   - SEC
   - Other Federal
   - State
   - SRO
   - Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
   NETHERLANDS AUTHORITY FOR THE FINANCIAL MARKETS (AFM)

2. Principal Sanction:
   Civil and Administrative Penalty(ies) /Fine(s)
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   07/02/2008  ☑  Exact  ☐  Explanation
   If not exact, provide explanation:

4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
   ALLIANCESBERNSTEIN CORPORATION

6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

   If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
    Settled

11. Resolution Date (MM/DD/YYYY):
    08/01/2008  ☑  Exact  ☐  Explanation
    If not exact, provide explanation:
    APPROXIMATE RESOLUTION DATE.

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       ☑  Monetary/Fine Amount: $ 120,000.00
       ☐  Revocation/Expulsion/Denial
       ☐  Censure
       ☐  Bar
       ☑  Disgorgement/Restitution
       ☐  Cease and Desist/Injunction
       ☐  Suspension

    B. Other Sanctions Ordered:

Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

### GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

#### Regulatory Action

<table>
<thead>
<tr>
<th>Check item(s) being responded to:</th>
<th>11.C(1)</th>
<th>11.C(2)</th>
<th>11.C(3)</th>
<th>11.C(4)</th>
<th>11.C(5)</th>
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Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

### PART I

#### A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

- [ ] You (the advisory firm)
- [ ] You and one or more of your advisory affiliates
- [ ] One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

**ADV DRP - ADVISORY AFFILIATE**

| No Information Filed |

- [ ] This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
- [ ] This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

- [ ] This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

#### B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.

- [ ] Yes  [ ] No

**NOTE:** The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

### PART II

#### 1. Regulatory Action initiated by:

- [ ] SEC  [ ] Other Federal  [ ] State  [ ] SRO  [ ] Foreign

(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

SOUTH KOREAN FINANCIAL SERVICES COMMISSION (FSC)

#### 2. Principal Sanction:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanctions:
3. Date Initiated (MM/DD/YYYY):
   06/07/2009 ☐ Exact ☐ Explanation
   If not exact, provide explanation:

4. Docket/Case Number:
   N/A

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Equity Listed (Common & Preferred Stock)
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
   IN A NOTICE OF ADMINISTRATIVE FINE, THE FSC ALLEGED THAT THE REGISTRANT IN 2008 DID NOT TIMELY REPORT ITS CLIENTS' BENEFICIAL OWNERSHIP OF MORE THAN 4% OF SHARES IN TWO BANK HOLDING COMPANIES PURSUANT TO ARTICLES 8 AND 72 OF THE FINANCIAL HOLDING COMPANIES ACT AND ARTICLE 6-2 OF THE PRESIDENTIAL DECREE OF THE FINANCIAL HOLDING COMPANIES ACT.


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
   If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
    Consent

11. Resolution Date (MM/DD/YYYY):
    07/17/2009 ☐ Exact ☐ Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       ☑ Monetary/Fine Amount: $ 12,500.00
       ☑ Revocation/Expulsion/Denial
       ☑ Censure
       ☑ Bar
       ☐ Disgorgement/Restitution
       ☐ Cease and Desist/Injunction
       ☐ Suspension
    B. Other Sanctions Ordered:
       Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived;
       REGISTRANT PAID AN ADMINISTRATIVE FINE OF KOREAN WON 16,000,000 (APPROXIMATELY USD $12,500) TO RESOLVE THE MATTER.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
    REGISTRANT PAID AN ADMINISTRATIVE FINE OF KOREAN WON 16,000,000 (APPROXIMATELY USD $12,500) TO RESOLVE THE MATTER.

GENERAL INSTRUCTIONS
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Check item(s) being responded to:

☐ 11.F. ☐ 11.G.
Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):
   - You (the advisory firm)
   - You and one or more of your advisory affiliates
   - One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

☐ This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
☐ This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
   - Yes ☐ No ☐

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

1. Regulatory Action initiated by:
   - SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
   SECURITIES & EXCHANGE BOARD OF INDIA (SEBI)

2. Principal Sanction:
   Civil and Administrative Penalt(ies) /Fine(s)
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   09/09/2008 ☐ Exact ☐ Explanation
   If not exact, provide explanation:

4. Docket/Case Number:
   EAD-5/VSS/JR/137165/2008

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Mutual Fund(s)
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
   SEBI ALLEGED THAT CHANGES IN THE NAMES OF INDIAN TRADING ACCOUNTS FOR CERTAIN AUSTRALIAN UNIT TRUSTS WERE NOT REPORTED IN A TIMELY MANNER, PURSUANT TO SECTION 13(1)(E) OF SEBI'S FOREIGN INSTITUTIONAL INVESTOR REGULATIONS. THE REGISTRANT IS THE MANAGER OF THE UNIT TRUSTS, BUT IS NOT THEIR CUSTODIAN OR TRUSTEE. THE REGISTRANT AGREED TO RESOLVE THE ALLEGATIONS WITHOUT ADMITTING OR DENYING A VIOLATION, AND A CONSENT ORDER DISPOSING OF THE MATTER WAS ISSUED ON MARCH 20, 2009.

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

   Stipulation and Consent

11. Resolution Date (MM/DD/YYYY):
   03/20/2009  ☑ Exact  ☐ Explanation
   If not exact, provide explanation:
   PURSUANT TO A CONSENT ORDER DATED MARCH 20, 2009, WHICH DISPOSED OF THE MATTER, THE REGISTRANT PAID SEBI A FINE AND ADMINISTRATIVE FEE OF RPS. 1,025,000 (APPROXIMATELY USD $22,500).

12. Resolution Detail:

   A. Were any of the following Sanctions Ordered (check all appropriate items)?

      ☑ Monetary/Fine Amount: $ 22,500.00
      ☐ Revocation/Expulsion/Denial
      ☐ Censure
      ☐ Bar
      ☐ Disgorgement/Restitution
      ☐ Cease and Desist/Injunction
      ☐ Suspension

   B. Other Sanctions Ordered:

      Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:
      PURSUANT TO A CONSENT ORDER DATED MARCH 20, 2009, WHICH DISPOSED OF THE MATTER, THE REGISTRANT PAID SEBI A FINE AND ADMINISTRATIVE FEE OF RPS. 1,025,000 (APPROXIMATELY USD $22,500).

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

   PURSUANT TO A CONSENT ORDER DATED MARCH 20, 2009, WHICH DISPOSED OF THE MATTER, THE REGISTRANT PAID SEBI A FINE AND ADMINISTRATIVE FEE OF RPS. 1,025,000 (APPROXIMATELY USD $22,500).

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**GENERAL INSTRUCTIONS**

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PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

   ☑ You (the advisory firm)
   ☐ You and one or more of your advisory affiliates
   ☐ One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).
If the advisory affiliate has a CRD number, provide that number. If not, indicate “non-registered” by checking the appropriate box.
No Information Filed

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.

☐ Yes  ☐ No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

1. Regulatory Action initiated by:
   ☐ SEC  ☐ Other Federal  ☐ State  ☐ SRO  ☐ Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
   COLORADO DIVISION OF SECURITIES

2. Principal Sanction:
   Civil and Administrative Penalty(ies) /Fine(s)
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   03/22/2013 ☐ Exact  ☐ Explanation
   If not exact, provide explanation:

4. Docket/Case Number:
   13-L-23

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   No Product
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
   ALLIANCEBERNSTEIN, IN ERROR, INTERNALLY APPROVED AN EMPLOYEE TO ACT AS AN INVESTMENT ADVISER REPRESENTATIVE IN ITS DENVER OFFICE BEFORE THAT EMPLOYEE WAS LICENSED BY THE COLORADO DIVISION OF SECURITIES TO ACT IN THAT CAPACITY.


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
    Consent

11. Resolution Date (MM/DD/YYYY):
    03/22/2013 ☐ Exact  ☐ Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
B. Other Sanctions Ordered:
THE FIRM AGREED TO REVIEW ITS SUPERVISORY SYSTEM FOR LICENSING FINANCIAL ADVISER EMPLOYEES.
Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:
A MONETARY FIND OF $20232.36 WAS PAID BY THE FIRM WITHIN 10 DAYS OF THE RESOLUTION DATE.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
IN ACCORD WITH A STIPULATION EXECUTED BY ALLIANCEBERNSTEIN L.P. AND THE COLORADO DIVISION OF SECURITIES, A CONSENT ORDER WITH THE SANCTIONS ABOVE WAS ISSUED ON MARCH 22, 2012. THE CONSENT ORDER DISPOSED OF THE MATTER.
PART II

1. Regulatory Action initiated by:
   - SEC
   - Other Federal
   - State
   - SRO
   - Foreign
   [Full name of regulator, foreign financial regulatory authority, federal, state, or SRO]
   STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION

2. Principal Sanction:
   - Cease and Desist
   Other Sanctions:
   CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)

3. Date Initiated (MM/DD/YYYY):
   12/09/2013
   Explanation:
   If not exact, provide explanation:

4. Docket/Case Number:
   0294-SR-12/13

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   - No Product
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
   THE STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION ("FLORIDA") ALLEGED THAT THE REGISTRANT CONDUCTED INVESTMENT ADVISORY ACTIVITIES THROUGH CERTAIN INDIVIDUAL EMPLOYEES FROM OFFICES WITHIN FLORIDA WITHOUT THE BENEFIT OF THEIR LAWFUL ASSOCIATED PERSON REGISTRATION, IN VIOLATION OF SECTION 517.12(4), FLORIDA STATUTES.

8. Current Status?  
   - Pending
   - On Appeal
   - Final

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
   If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
    Stipulation and Consent

11. Resolution Date (MM/DD/YYYY):
    01/21/2014
    Explanation:
    If not exact, provide explanation:

12. Resolution Detail:

   A. Were any of the following Sanctions Ordered (check all appropriate items)?
      - Monetary/Fine Amount: $51,675.00
      - Disgorgement/Restitution
      - Revocation/Expulsion/Denial
      - Cease and Desist/Injunction
      - Censure
      - Suspension
      - Bar

   B. Other Sanctions Ordered:
      Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:
      UNDER THE CONSENT AGREEMENT, REGISTRANT PAID ADMINISTRATIVE FINES TOTALING $51,675.00 ON BEHALF OF ITSELF AND THE EMPLOYEES, DISPOSING OF THE MATTER. THE FINE WAS PAID IN FULL ON JANUARY 24, 2014.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided):
   ON JANUARY 17, 2014, THE FIRM AND THREE EMPLOYEES ENTERED A STIPULATION AND CONSENT AGREEMENT WITH THE FLORIDA OFFICE OF FINANCIAL REGULATION TO RESOLVE SIMILAR ALLEGATIONS THAT, DUE TO ADMINISTRATIVE OVERSIGHT BY THE FIRM, CERTAIN EMPLOYEES HAD NOT BEEN REGISTERED WITH FLORIDA AS ASSOCIATED PERSONS OF AN INVESTMENT ADVISER. UNDER THE CONSENT AGREEMENT, REGISTRANT PAID ADMINISTRATIVE FINES TOTALING $51,675 ON BEHALF OF ITSELF AND THE EMPLOYEES, DISPOSING OF THE MATTER.
GENERAL INSTRUCTIONS
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Regulatory Action

Check item(s) being responded to:

- [ ] 11.C(1)
- [ ] 11.C(2)
- [ ] 11.C(3)
- [ ] 11.C(4)
- [ ] 11.C(5)
- [ ] 11.D(1)
- [ ] 11.D(2)
- [ ] 11.D(3)
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- [ ] 11.D(5)
- [ ] 11.E(1)
- [ ] 11.E(2)
- [ ] 11.E(3)
- [ ] 11.E(4)
- [ ] 11.G.

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PART I
A. The person(s) or entity(ies) for whom this DRP is being filed is (are):
   - [ ] You (the advisory firm)
   - [ ] You and one or more of your advisory affiliates
   - [ ] One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

| CRD Number: | This advisory affiliate is [ ] a Firm [ ] an Individual |
| Registered: | [ ] Yes [ ] No |
| Name: | AXA EQUITABLE LIFE INSURANCE COMPANY |
(For individuals, Last, First, Middle)

[ ] This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.

[ ] This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser’s or advisory affiliate’s favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

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B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
   - [ ] Yes [ ] No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II
1. Regulatory Action initiated by:
   - [ ] SEC [ ] Other Federal [ ] State [ ] SRO [ ] Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
   NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

2. Principal Sanction:
   Civil and Administrative Penalt(ies) /Fine(s)
   Other Sanctions:
3. Date Initiated (MM/DD/YYYY):
   08/02/2012  ☑ Exact  ☐ Explanation
   If not exact, provide explanation:

4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Insurance
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
   THE NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES ALLEGED THAT AXA EQUITABLE LIFE INSURANCE COMPANY VIOLATED NEW YORK INSURANCE LAW SECTION 4240(E) BY FILING PLANS OF OPERATION WITH RESPECT TO CERTAIN OF ITS SEPARATE ACCOUNTS WITH THE NEW YORK STATE INSURANCE DEPARTMENT AND NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES (COLLECTIVELY, THE "DEPARTMENT") WITHOUT ADEQUATELY INFORMING AND EXPLAINING TO THE DEPARTMENT THE SIGNIFICANCE OF THE IMPLEMENTATION OF THE AXA TACTICAL MANAGER STRATEGY.


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
   If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
    Consent

11. Resolution Date (MM/DD/YYYY):
    03/17/2014  ☑ Exact  ☐ Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       ☑ Monetary/Fine Amount: $ 20,000,000.00
       ☐ Revocation/Expulsion/Denial
       ☐ Censure
       ☐ Bar
       ☐ Disgorgement/Restitution
       ☐ Cease and Desist/Injunction
       ☐ Suspension
    B. Other Sanctions Ordered:
       AXA EQUITABLE LIFE INSURANCE COMPANY CONSENTED TO THE IMPOSITION OF A CIVIL PENALTY ON MARCH 17, 2014 IN THE SUM OF $20,000,000, AGREED TO SEEK ALL NECESSARY APPROVALS WITH REGARD TO NEW YORK INSURANCE LAW SECTION 4240(E) AND AGREED TO PROVIDE DEPARTMENT-APPROVED COMMUNICATIONS TO POLICYHOLDERS WHEN AXA EQUITABLE LIFE INSURANCE COMPANY IS REVISING FUND CHOICES IN CONNECTION WITH THE AXA TACTICAL MANAGER STRATEGY AND TO COMPLY WITH ANY OTHER CONDITIONS PLACED ON SUCH APPROVALS. AXA EQUITABLE LIFE INSURANCE COMPANY ALSO AGREED TO ISSUE A WRITTEN REPORT TO THE DEPARTMENT CONCERNING CHANGES TO THE PLAN OF OPERATIONS FOR CERTAIN OF ITS SEPARATE ACCOUNTS ON A QUARTERLY BASIS FOR A PERIOD OF FIVE YEARS FROM MARCH 17, 2014.
       Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:
       AXA EQUITABLE LIFE INSURANCE COMPANY CONSENTED TO THE IMPOSITION OF A CIVIL PENALTY ON MARCH 17, 2014 IN THE SUM OF $20,000,000, AGREED TO SEEK ALL NECESSARY APPROVALS WITH REGARD TO NEW YORK INSURANCE LAW SECTION 4240(E) AND AGREED TO PROVIDE DEPARTMENT-APPROVED COMMUNICATIONS TO POLICYHOLDERS WHEN AXA EQUITABLE LIFE INSURANCE COMPANY IS REVISING FUND CHOICES IN CONNECTION WITH THE AXA TACTICAL MANAGER STRATEGY AND TO COMPLY WITH ANY OTHER CONDITIONS PLACED ON SUCH APPROVALS. AXA EQUITABLE LIFE INSURANCE COMPANY ALSO AGREED TO ISSUE A WRITTEN REPORT TO THE DEPARTMENT CONCERNING CHANGES TO THE PLAN OF OPERATIONS FOR CERTAIN OF ITS SEPARATE ACCOUNTS ON A QUARTERLY BASIS FOR A PERIOD OF FIVE YEARS FROM MARCH 17, 2014.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

   THE MATTER WAS SETTLED ON MARCH 17, 2014, THE DATE AXA EQUITABLE LIFE INSURANCE COMPANY ENTERED INTO A CONSENT ORDER WITH THE DEPARTMENT CONSENTING TO THE SANCTIONS LISTED ABOVE.

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### Regulatory Action

Check item(s) being responded to:

- [ ] 11.C(1)
- [ ] 11.D(1)
- [ ] 11.E(1)
- [ ] 11.F
- [ ] 11.C(2)
- [ ] 11.D(2)
- [ ] 11.E(2)
- [ ] 11.G
- [ ] 11.C(3)
- [ ] 11.D(3)
- [ ] 11.E(3)
- [ ] 11.C(4)
- [ ] 11.D(4)
- [ ] 11.E(4)
- [ ] 11.C(5)
- [ ] 11.D(5)

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

### PART I

**A. The person(s) or entity(ies) for whom this DRP is being filed is (are):**

- [ ] You (the advisory firm)
- [ ] You and one or more of your advisory affiliates
- [ ] One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).

If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

### ADV DRP - ADVISORY AFFILIATE

<table>
<thead>
<tr>
<th>CRD Number: 6627</th>
<th>This advisory affiliate is [ ] a Firm [ ] an Individual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered: [ ] Yes [ ] No</td>
<td></td>
</tr>
<tr>
<td>Name: AXA ADVISORS, LLC (For individuals, Last, First, Middle)</td>
<td></td>
</tr>
</tbody>
</table>

- [ ] This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
- [ ] This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser’s or advisory affiliate’s favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

- [ ] This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

**B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is “Yes,” no other information on this DRP must be provided.**

- [ ] Yes [ ] No

**NOTE:** The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

### PART II

1. **Regulatory Action initiated by:**
   - [ ] SEC [ ] Other Federal [ ] State [ ] SRO [ ] Foreign
   - (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2. **Principal Sanction:**

   Other Sanctions:

3. **Date Initiated (MM/DD/YYYY):**
   - [ ] Exact [ ] Explanation
   - If not exact, provide explanation:

4. **Docket/Case Number:**

5. **Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):**
6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):


9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):

   O Exact  O Explanation
   If not exact, provide explanation:

12. Resolution Detail:

   A. Were any of the following Sanctions Ordered (check all appropriate items)?
      -  ☐ Monetary/Fine Amount: $
      -  ☐ Revocation/Expulsion/Denial
      -  ☐ Censure
      -  ☐ Bar
      -  ☐ Disgorgement/Restitution
      -  ☐ Cease and Desist/Injunction
      -  ☐ Suspension

   B. Other Sanctions Ordered:

      Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

---

**GENERAL INSTRUCTIONS**

This Disclosure Reporting Page (DRP ADV) is an O INITIAL OR ☐ AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

**PART I**

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):
   -  ☐ You (the advisory firm)
   -  ☐ You and one or more of your advisory affiliates
   -  ☐ One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name).
<table>
<thead>
<tr>
<th>CRD Number:</th>
<th>107445</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>ALLIANCEBERNSTEIN CORPORATION</td>
</tr>
</tbody>
</table>

- **Resolution Detail:** If suspended, enjoined or barred, provide duration including start date and capacities affected (General).

**Employing Firm when activity occurred which led to the regulatory action (if applicable):** ALLIANCEBERNSTEIN CORPORATION

**Principal Product Type:** Federal or State Court

**Other Product Types:**

- **Date Initiated (MM/DD/YYYY):**
  - Exact
  - Explanation

**Current Status?**

- Pending
- On Appeal
- Final

**Resolution Date (MM/DD/YYYY):**

- Exact
- Explanation

**Resolution Detail:**

Describe the allegations related to this regulatory action (your response must fit within the space provided):

**How was matter resolved:**

- For Pending Actions, complete Item 13 only.

- **Resolution Detail:**
  - If Final or On Appeal, complete all items below.

**Note:** The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

**GENERAL INSTRUCTIONS**

- If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

- This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.

- This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser’s or advisory affiliate’s favor.

- This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

**PART II**

1. **Regulatory Action initiated by:**
   - SEC
   - Other Federal
   - State
   - SRO
   - Foreign

2. **Principal Sanction:**

3. **Date Initiated (MM/DD/YYYY):**
   - Exact
   - Explanation

4. **Docket/Case Number:**

5. **Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):**

6. **Principal Product Type:**

7. **Describe the allegations related to this regulatory action (your response must fit within the space provided):**

8. **Current Status?**
   - Pending
   - On Appeal
   - Final

9. **If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:**

   **If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.**

10. **How was matter resolved:**

11. **Resolution Date (MM/DD/YYYY):**
    - Exact
    - Explanation

12. **Resolution Detail:**

- **Other Sanctions:**

- **Rise to actions by more than one regulator, provide details for each action on a separate DRP.**
A. Were any of the following Sanctions Ordered (check all appropriate items)?

- Monetary/Fine Amount: $
- Revocation/Expulsion/Denial
- Censure
- Bar
- Disgorgement/Restitution
- Cease and Desist/Injunction
- Suspension

B. Other Sanctions Ordered:

Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

---

**GENERAL INSTRUCTIONS**

This Disclosure Reporting Page (DRP ADV) is an INITIAL OR AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Check item(s) being responded to:

- 11.C(1)
- 11.C(2)
- 11.C(3)
- 11.C(4)
- 11.C(5)
- 11.D(1)
- 11.D(2)
- 11.D(3)
- 11.D(4)
- 11.D(5)
- 11.E(1)
- 11.E(2)
- 11.E(3)
- 11.E(4)
- 11.F.
- 11.G.

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---

**PART I**

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

- You (the advisory firm)
- You and one or more of your advisory affiliates
- One or more of your advisory affiliates

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle name). If the advisory affiliate has a CRD number, provide that number. If not, indicate “non-registered” by checking the appropriate box.

---

**ADV DRP - ADVISORY AFFILIATE**

<table>
<thead>
<tr>
<th>CRD</th>
<th>11869</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: PLANMEMBER SECURITIES CORPORATION (For individuals, Last, First, Middle)</td>
<td></td>
</tr>
</tbody>
</table>

- This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.
- This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an exempt reporting adviser with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.

If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

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B. If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.
PART II

1. Regulatory Action initiated by:
   - SEC
   - Other Federal
   - State
   - SRO
   - Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

2. Principal Sanction:
   Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
   - Exact
   - Explanation
   If not exact, provide explanation:

4. Docket/Case Number:

5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

6. Principal Product Type:
   Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

8. Current Status?
   - Pending
   - On Appeal
   - Final

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
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10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):
    - Exact
    - Explanation
    If not exact, provide explanation:

12. Resolution Detail:
    A. Were any of the following Sanctions Ordered (check all appropriate items)?
       - Monetary/Fine Amount: $
       - Revocation/Expulsion/Denial
       - Censure
       - Bar
       - Disgorgement/Restitution
       - Cease and Desist/Injunction
       - Suspension
    B. Other Sanctions Ordered:
       Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, disgorgement or monetary compensation, provide total amount, portion levied against you or an advisory affiliate, date paid and if any portion of penalty was waived:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)
No Information Filed
Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to all of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules? [ ] Yes [ ] No

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

<table>
<thead>
<tr>
<th>Brochure ID</th>
<th>Brochure Name</th>
<th>Brochure Type(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>314277</td>
<td>INSTITUTIONAL FORM ADV BROCHURE</td>
<td>Pension plans/profit sharing plans, Pension consulting, Foundations/charities, Government/municipal, Other institutional, Private funds or pools, Wrap program, Financial Planning Services</td>
</tr>
<tr>
<td>314278</td>
<td>PRIVATE CLIENT FORM ADV BROCHURE</td>
<td>Individuals, High net worth individuals, Pension plans/profit sharing plans, Foundations/charities</td>
</tr>
</tbody>
</table>

Part 3

<table>
<thead>
<tr>
<th>CRS</th>
<th>Type(s)</th>
<th>Affiliate Info</th>
<th>Retire</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

There are no CRS filings to display.

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your principal office and place of business and any other state in which you are submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your principal office and place of business or of any state in which you are submitting a notice filing.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the advisor's books and records will be preserved and available for inspection as required by law. Finally, I authorize any person having custody or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: PAUL A. EMERSON  
Date: MM/DD/YYYY  
04/07/2020

Printed Name: PAUL A. EMERSON  
Title: ASSISTANT SECRETARY

Adviser CRD Number: 108477

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated
2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any person subject to your written irrevocable consents or powers of attorney or any of your general partners and managing agents.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the non-resident investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any person having custody or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: __________________________ Date: MM/DD/YYYY
Printed Name: ______________________ Title: ________________
Adviser CRD Number: 108477