IAPD - View All Page 1 of 48

FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION

Pri	mary Business Name: ALL	IANCEBERNS	STEIN L.P.	I ARD/CRD Number: 108477	
				Rev. 11/2011	
WA	application, revocat	tion of your re	gistration, or crimina	nissions may result in denial of your al prosecution. You must keep this form V General Instruction 4.	
Ite	m 1 Identifying Information	on			
Re	sponses to this Item tell us w	vho you are, w	here you are doing	ousiness, and how we can contact you.	
Α.	Your full legal name (if you ALLIANCEBERNSTEIN L.F		prietor, your last, fir	st, and middle names):	
В.	Name under which you prim ALLIANCEBERNSTEIN L.F		your advisory busine	ess, if different from Item 1.A.:	
	List on Section 1.B. of Schedbusiness.	dule D any ad	ditional names unde	which you conduct your advisory	
C.	If this filing is reporting a chenter the new name and specific your legal name or \(\sigma \)	ecify whether	the name change is	A.) or primary business name (Item 1.B.), of	
D.	(1) If you are registered wit(2) If you report to the SEC			er, your SEC file number: 801-56720 our SEC file number:	
E.	E. 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 your officers, employees, or		, skip this Item 1.E.	Do not provide the CRD number of one of	
F.	Principal Office and Place of (1)Address (do not use a P. Number and Street 1: 1345 AVE OF THE AMERI	O. Box):	Number and Str		
	City: Sta	ate:	Country:	ZIP+4/Postal Code: 10105	

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 five offices in terms of numbers of employees.

UNITED STATES

New York

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

OMB: 3235-0049

IAPD - View All Page 2 of 48

		k that you normally con Friday Cother:	nduct business at you	principal office and place of busi	ness:
	Normal busir	ness hours at this locat	ion:		
	9:00AM - 5:0	JOPM umber at this location:			
	212-969-100				
	(4)Facsimile nur 212-969-229	mber at this location:			
G.	Mailing address,	, if different from your	principal office and pl	ace of business address:	
	Number and St	reet 1:	Number and S	treet 2:	
	City:	State:	Country:	ZIP+4/Postal Code:	
	If this address i	is a private residence,	check this box:		
Н.		e proprietor, state your ss address in Item 1.F.		s, if different from your principal	office and
	Number and St	reet 1:	Number and S	treet 2:	
	City:	State:	Country:	ZIP+4/Postal Code:	
					Yes N
I.	Do you have on	e or more websites?			o c
	through which to without listing a	o access other informanddresses for all of the	tion you have publish other information. So	le D. If a website address serves ed on the web, you may list the p me advisers may need to list mor mail) addresses in response to thi	oortal e than one
J.	reporting advise		ne contact information	npliance Officer: If you are an exe for your Chief Compliance Office	
	Name:		Other titles, if	any:	
	Telephone num	ber:	Facsimile num	ber:	
	Number and St	reet 1:	Number and S	treet 2:	
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail	(e-mail) address, if Ch	ief Compliance Officer	has one:	
K.				n the Chief Compliance Officer is a Form ADV, you may provide that i	
	Name:		Titles:		
	Telephone num	ber:	Facsimile num	ber:	
	Number and St	reet 1:	Number and S	treet 2:	
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail	(e-mail) address, if co	ntact person has one:		
L.	Do you maintair	n some or all of the boo	oks and records you a	re required to keep under Sectior	Yes N
					_ _ _

IAPD - View All Page 3 of 48

204 of the Advisers Act, or similar state law, somewhere other than your principal office and place of business?

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

Yes No

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



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.

Yes No

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



If "yes," provide your CIK number (Central Index Key number that the SEC assigns to each public reporting company):

1109448

Yes No

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



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

A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. In the first half of 2011, the legal entity identifier standard was still in development. You may not have a legal entity identifier.

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.

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):

- $\overline{\mathbf{v}}$
- 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:
- 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

IAPD - View All Page 4 of 48 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. have your principal office and place of business in Wyoming (which does not regulate (3) П advisers); have your principal office and place of business outside the United States; (4) are an investment adviser (or sub-adviser) to an investment company registered $\overline{\mathbf{v}}$ (5) under the Investment Company Act of 1940; are an investment adviser to a company which has elected to be a business (6) 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 П least \$200,000,000 that qualifies for the exemption in rule 203A-2(a); 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. are a newly formed 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. П (13) are **no longer eligible** to remain registered with the SEC. State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers C. 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**

IAPD - View All Page 5 of 48

✓ AL	☑ ID	☑ MO	▽ PA
✓ AK	▽ IL	<u>✓</u> MT	✓ PR
✓ AZ	▽ IN		▼ RI
✓ AR	▽ IA	▽ NV	✓ SC
CA	▼ KS	✓ NH	▽ SD
▽ co	▼ KY	▽ NJ	▽ TN
▼ CT	□ LA	☑ NM	▽ TX
☑ DE	☑ ME	☑ NY	✓ UT
DC	☑ MD	▽ NC	VT
▽ FL	☑ MA	☑ ND	□ VI
☑ GA	☑ MI	☑ OH	✓ VA
□ GU	☑ MN	☑ OK	☑ WA
▽ HI	☑ MS	☑ OR	▽ WV
			V I WI

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).

Item 3 Form of Organization

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

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

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

IAPD - View All Page 6 of 48

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

Yes No

A. Are you, at the time of this filing, succeeding to the business of a registered investment adviser?



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.

tem 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).

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

4000

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

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

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

(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?

IAPD - View All Page 7 of 48

40

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

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 did you provide investment advisory services during your most
		recently completed fiscal year?

C 0	<u>C</u> 1-10	O 11-25
C 26-100	More than 100	If more than 100, how many (round to the nearest 100) 30928

- (2) Approximately what percentage of your clients are non-United States persons? 30%
- 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, check "None" in response to Item 5.D.(1)(d) and do not check any of the boxes in response to Item 5.D.(2)(d).
 - (1) What types of clients do you have? Indicate the approximate percentage that each type of client comprises of your total number of clients. If a client fits into more than one category, check all that apply.

		<u>None</u>	<u>Up to</u> 10%	<u>11-</u> 25%	<u>26-</u> 50%	<u>51-</u> 75%	<u>76-</u> 99%	<u>100%</u>
(a)	Individuals (other than high net worth individuals)	0	•	0	О	0	0	0
(b)	High net worth individuals	0	0	0	O	0	•	0
(c)	Banking or thrift institutions	0	•	O	O	0	O	0
(d)	Investment companies	0	•	0	\circ	O	$^{\circ}$	0
(e)	Business development companies	•	0	0	0	0	0	0
(f)	Pooled investment vehicles (other than investment companies)	O	•	О	О	О	О	О
(g)	Pension and profit sharing plans (but not the plan participants)	О	•	О	О	О	О	С
(h)	Charitable organizations	0	•	O	O	O	O	O
(i)	Corporations or other businesses not listed above	0	•	О	О	О	О	O

(j) State or municipal government entities

	Page 8 o	of 48
0 0	0 0	0
0 (0 0	0
0 (0 0	0
0	0 0	О
	reported in Ite more than one	
<u>Up to</u> 50%	<u>Up to 75% > 75% </u>	75%
<u> </u>		0
0		0
0		0
0		0
0	_	0
0	_	0
О	О	0
0	0	0
0		0
0	_	0
0	_	0
0		0
0	0	0
nat apply):		
<u></u>	der Mana	der Management

Yes No

IAPD - View All Page 9 of 48

F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios?

(2) If yes, what is the amount of your regulatory assets under management and total number of accounts?

U.S. Dollar Amount

Total Number of Accounts

(a) \$ 390,739,736,078 (d) 64,779 Discretionary: Non-Discretionary: (b) \$ 15,157,085,567 (e) 133 Total: (c) \$ 405,896,821,645 (f) 64,912

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

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
 - Portfolio management for investment companies (as well as "business development $\overline{\mathbf{v}}$ companies" that have made an election pursuant to section 54 of the Investment Company
 - (4) Portfolio management for pooled investment vehicles (other than investment companies)
 - 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 П
 - (7) Selection of other advisers (including private fund managers) $\overline{\mathsf{v}}$
 - (8) Publication of periodicals or newsletters V
 - (9) Security ratings or pricing services
 - (10) Market timing services
 - (11) Educational seminars/workshops
 - $\overline{\mathbf{v}}$ (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
 - o 1 10
 - **11 25**
 - **26** 50
 - o 51 100
 - o 101 250
 - o 251 500
 - More than 500

IAPD - View All	Page 10 of	48
-----------------	------------	----

If more than 500, how many? 30,000 (round to the nearest 500) In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors. If you participate in a wrap fee program, do you (check all that apply): (1) sponsor the wrap fee program? (2) act as a portfolio manager for the wrap fee program? If you are a portfolio manager for a wrap fee program, list the names of the programs and their sponsors in Section 5.1.(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 either Item 5.I.(1) or 5.I.(2). Yes No 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? Item 6 Other Business Activities In this Item, we request information about your firm's other business activities. 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 П (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, complete Section 6.A. of Schedule D. Yes No B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?

IAPD - View All Page 11 of 48

(2)	If yes, is this other business your primary business?	0	C
	If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in business under a different name, provide that name.	this	
(3)	Do you sell products or provide services other than investment advice to your advisory clients?	Yes	
	If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in business under a different name, provide that name.	this	

Item 7 Financial Industry Affiliations and Private Fund Reporting

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.

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 $\overline{\mathbf{v}}$ 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

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.

IAPD - View All Page 12 of 48

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.

Yes No

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 another 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 VENTURE FUND I, LP

(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: Country:

Delaware **UNITED STATES**

3. 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 ESG VENTURE MANAGEMENT L.P.

- 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	s No
6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	•
	(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?		G
	(d) If yes, what is the name and private fund identification number (if any) of the master fund i this private fund invests?Name of the Private Fund:	n wh	nich
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:		the
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ld al	lso sses
		Yes	
8.	(a) Is this private fund a "fund of funds"?	0	•
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	О	С
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	of its	
0		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.)?	0	C
10	. What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset	fund	
	venture capital fund Other private fund N/A		

IAPD - View All Page 14 of 48

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 72,635,769

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:

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

20%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 1%

IAPD - View All Page 15 of 48

of its securities under Regulation	Yes No
1	
1	
an annual audit?	Yes No
ith U.S. GAAP?	6 6
o) through (f) below. If the private stions (b) through (f) separately for	
(b) through (f) below. If the privat te questions (b) through (f)	е
or the private fund's audit (city,	
try:	
ED STATES	
_	res No
ny Accounting Oversight Board?	<u>•</u> с
0 1	<u>•</u> с
r	any Accounting Oversight Board? regular inspection by the Public with its rules?

Yes No

- (g) Are the private fund's audited financial statements distributed to the private fund's investors?
- (h) Does the report prepared by the auditing firm contain an unqualified opinion?
 - Yes C No C Report Not Yet Received

IAPD - View All Page 16 of 48

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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

Country:

Massachusetts

UNITED STATES

Yes No

(e) Is the custodian a related person of your firm?



0

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

CRD Number (if any):

<u>Administrator</u>

Yes No

IAPD - View All Page 17 of 48

26. (a) Does the private fund use an administrator other than your firm?

•	¢
---	---

If the answer to 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 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 the administrator:

STATE STREET BANK AND TRUST COMPANY

(c) Location of administrator (city, state and country):

City: State: Country:

BOSTON

Massachusetts **UNITED STATES**

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 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

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 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.

\cap	Intorn	nation	Filod
ועט	ппоп	таноп	THEA

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. 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.

- 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

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 the Private Fund:

Page 19 of 48 IAPD - View All

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.

Yes No

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?

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, whether or not they are also private funds, or registered investment companies.

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?

Phedge fund Iguidity fund private equity fund real estate fund securitized asset fund venture capital fund O Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 316,724,187

Ownership

12. Minimum investment commitment required of an investor in the private fund:

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:

IAPI	D - View All Page 2	20 of 48
	6	
14.	. What is the approximate percentage of the private fund beneficially owned by you and your relate person: 0%	ed
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 1%	funds
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 74%	
<u>Yo</u>	ur Advisory Services	
		es 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	
		es No
18.	. (a) Do any other investment advisers advise the private fund?	o 🧧
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank	
	No Information Filed	
19.		res No
20.	Approximately what percentage of your clients has invested in the private fund? 0%	
<u>Pri</u>	ivate Offering	
		es No
21.	Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	o 🤦

22. If yes, provide the private fund's Form D file number (if any):

No Information Filed

B. SERVICE PROVIDERS

<u>Auditors</u>

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

IAPD - View All Page 21 of 48

	(2) Are the financial statements prepared in accordance with U.S. GAAP?	0
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private funduses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.	
	No Information Filed	
	Yes	s N
	nvestors?	G
(h)	Does the report prepared by the auditing firm contain an unqualified opinion?	
	Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form AD' update your response when the report is available.	V to
<u>Prime</u>	<u>Broker</u>	
04 ()	Yes	
24. (a)		6
	If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broke 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.	:r
	No Information Filed	
Custo	i <u>an</u>	
25. (a)	Yes Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?	
25. (a)	Does the private fund use any custodians (including the prime brokers listed above) to hold 👩	e e
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 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete question	e e
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 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses more than one custodian, you must complete question (b) through (f) separately for each custodian.	e ns
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 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete question (b) through (f) separately for each custodian. Additional Custodian Information: 1 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian to private fund uses. If the private fund uses more than one custodian, you must complete	e ns
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 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete question (b) through (f) separately for each custodian. Additional Custodian Information: 1 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian to private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian:	e ns
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 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete question (b) through (f) separately for each custodian. Additional Custodian Information: 1 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian to private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) 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:	e ns he

IAPD - View All Page 22 of 48

	-	Гехаѕ	UNITED STATES		
(e) I	s the custodian a related p	erson of your fi	rm?	Yes	S No
-	f the custodian is a broker CRD Number (if any):	-dealer, provide	e its SEC registration number (if any)		

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.

(c) Location of administrator (city, state and country):

City: State: Country:

HOUSTON

Texas **UNITED STATES**

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 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?

IAPD - View All Page 23 of 48

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

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 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:

ALLIANCE CAPITAL 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: Country:

UNITED STATES Delaware

3. 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)

- 4. The private fund (check all that apply; you must check at least one):
 - $\overline{\mathbf{v}}$ (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		
	\	es N	l
6.	(a) Is this a "master fund" in a master-feeder arrangement?	o 【	
	(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		
	•	⁄es N	l
		0 [
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests? Name of the Private Fund:	whic	r
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting or funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to the	9
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets i single master fund.	d also classe n a))
0	(a) Is this private fund a "fund of funds"?	es N	
8.		O [
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0	7
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	its	
		es N	
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.)?	o <mark>(</mark>	
10.	. What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fu	ınd	
	venture capital fund Other private fund GROUP TRUST		

IAPD - View All Page 25 of 48

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 135,740,643

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

IAPD - View All Page 26 of 48

			registration of its securities under Regulation	Yes N
D of the	e Securities Act of 1933	3?		
22. If yes,	provide the private fund	d's Form D file num	ber (if any):	
		No Infor	rmation Filed	
3. SERVICE	E PROVIDERS			
<u>Auditors</u>				
22 (-) (1)	A	Ci		Yes I
	•		s subject to an annual audit?	•
			ccordance with U.S. GAAP?	•
use			questions (b) through (f) below. If the privation omplete questions (b) through (f) separately	
	9			
Ad	ditional Auditor Info	rmation : 1 Record	d(s) Filed.	
lf fui	the answer to 23(a)(1)	is "yes," respond to auditing firm, you r	d(s) Filed. o questions (b) through (f) below. If the priva- must complete questions (b) through (f)	ate
If fui se	the answer to 23(a)(1) nd uses more than one parately for each auditi	is "yes," respond to auditing firm, you r ing firm.	o questions (b) through (f) below. If the priva	ate
If fui se	the answer to 23(a)(1) nd uses more than one	is "yes," respond to auditing firm, you ring firm.	o questions (b) through (f) below. If the priva	ate
If fun se (b	the answer to 23(a)(1) nd uses more than one eparately for each auditi Name of the auditing PRICEWATERHOUSEC	is "yes," respond to auditing firm, you ring firm. firm: OOPERS	o questions (b) through (f) below. If the priva	ate
If fun se (b	the answer to 23(a)(1) nd uses more than one parately for each audition. Name of the auditing PRICEWATERHOUSEC. The location of the auditing state and country): City:	is "yes," respond to auditing firm, you ring firm. firm: OOPERS	o questions (b) through (f) below. If the priva must complete questions (b) through (f)	ate
If fun se (b	the answer to 23(a)(1) nd uses more than one parately for each audition. Name of the auditing PRICEWATERHOUSEC. The location of the austate and country):	is "yes," respond to auditing firm, you ring firm. firm: OOPERS Iditing firm's office r	e questions (b) through (f) below. If the priva must complete questions (b) through (f)	ate
If full se	the answer to 23(a)(1) nd uses more than one parately for each audition. Name of the auditing PRICEWATERHOUSEC. The location of the auditing state and country): City:	is "yes," respond to auditing firm, you ring firm. firm: OOPERS diting firm's office r State: New York	responsible for the private fund's audit (city, Country: UNITED STATES	Yes No
If full see (b) (c)	the answer to 23(a)(1) nd uses more than one eparately for each audition. Name of the auditing PRICEWATERHOUSEC. The location of the austate and country): City: NEW YORK.	is "yes," respond to auditing firm, you ring firm. firm: OOPERS diting firm's office r State: New York in independent public	responsible for the private fund's audit (city, Country: UNITED STATES	Yes No

 $http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... \\ 4/2/2011 + 2/2011 +$

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

Yes C No C Report Not Yet Received

IAPD - View All Page 27 of 48

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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

IAPD - View All Page 28 of 48

26. (a) Does the private fund use an administrator other than your firm?

If the answer to 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.

use	he answer to 26(a) is "yes," respo es more than one administrator, yo ch administrator.			
(b)	Name of the administrator: STATE STREET BANK & TRUST CO	0		
(c)	Location of administrator (city, st City: TORONTO	rate and country): State:	Country:	Vac Na
(d)	Is the administrator a related per	son of your firm?		Yes No
(e)	Does the administrator prepare a investors? CYes (provided to all investors) No (provided to no investors)		,	fund's
(f)	If the answer to 26(e) is "no" or (rest of the) private fund's invest			

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?

(rest of the) private fund's investors, respond "not applicable."

AB

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 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.

IAPD - View All Page 29 of 48

NIO	Intorm	nation	Filad
IVU		TO LICH I	THEA

Δ	. PI	RΙ	\/	Δ٦	ΓF	FI	Ш	N	\Box
ᄼ		\sim 1	v	$\boldsymbol{\vdash}$				ıvı	1 /

Information About the Private Fund

1. (a) Name of the private fund	1. ((a)	Name	of	the	private	fund:
---------------------------------	------	-----	------	----	-----	---------	-------

ALLIANCE INSTITUTIONAL FUND - EMERGING MARKETS GROWTH FUND

(b) Private fund identification number: (include the "805-" prefix also)

805-2408151407

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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

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

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 the Private Fund:

IAPD - View All Page 30 of 48

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.

Yes No

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?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund INSTITUTIONAL FUND

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 125,351,902

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:

IAPD - View All	age 31 of 48			
11				
14. What is the approximate percentage of the private fund beneficially owned by you and your person:1%	related			
15. What is the approximate percentage of the private fund beneficially owned (in the aggregate of funds: 0%	e) by funds			
16. What is the approximate percentage of the private fund beneficially owned by non-United St persons:0%	ates			
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 other investment advisers advise the private fund?	0 🧧			
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, or advisers to the private fund. If the answer to question 18(a) is "no," leave this question No Information Filed				
	Yes No			
19. Are your clients solicited to invest in the private fund?	o o			
20. Approximately what percentage of your clients has invested in the private fund? 1%				
Private Offering				
21. Does the private fund rely 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

021-77410

B. SERVICE PROVIDERS

Auditors

Yes No

IAPD - View All Page 32 of 48 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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): Citv: State: Country: **NEW YORK** New York **UNITED STATES** Yes No (d) Is the auditing firm an independent public accountant? 0 \circ (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public 0 C Company Accounting Oversight Board in accordance with its rules? Yes No (g) Are the private fund's audited financial statements distributed to the private fund's (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes C No C 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? If the answer to 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

IAPD - View All Page 33 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: Country: State:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

IAPD - View All Page 34 of 48

	City: CHICAGO	State:	Country:					
	CHICAGO	Illinois	UNITED STATES					
	Yes (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)							
	(rest of the) private	e fund's investors	ne," who sends the investor ac ? If investor account statement 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%

AB

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 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:

ALLIANCE INSTITUTIONAL FUND - GLOBAL PLUS FIXED INCOME FUND

(b) Private fund identification number: (include the "805-" prefix also)

805-2076572093

IAPD - View All Page 35 of 48

2.	Under the laws of what state or co-	untry is the private fund organized: Country:
	Delaware	UNITED STATES
3.	Name(s) of General Partner, Manag	ger, Trustee, or Directors (or persons serving in a similar capacity):
	Name of General Partner, Mana	ager, Trustee, or Director
	NORTHERN TRUST COMPANY (CUS	STODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)
4.	The private fund (check all that ap	oly; you must check at least one):
	(1) qualifies for the exclusion the Investment Company Act of 19	from the definition of investment company under section 3(c)(1) o
	(2) qualifies for the exclusion the Investment Company Act of 19	from the definition of investment company under section 3(c)(7) o
5.	List the name and country, in Engli private fund is registered.	sh, of each foreign financial regulatory authority with which the
	·	No Information Filed
		Yes N
6.	(a) Is this a "master fund" in a ma	
	(b) If yes, what is the name and prinvesting in this private fund?	rivate fund identification number (if any) of the feeder funds
		No Information Filed
		Yes N
	(c) Is this a "feeder fund" in a mas	ter-feeder arrangement?
	(d) If yes, what is the name and protection this private fund invests?Name of the Private Fund:	rivate fund identification number (if any) of the master fund in which
	Private Fund Identification Num (include the "805-" prefix also)	iber:
		n 6 for each master-feeder arrangement regardless of whether you ion 7.B.(1). for the master-feeder arrangement or reporting on the
7.		D, Section 7.B.(1) for a master-feeder arrangement according to the 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 ("feede

Page 36 of 48 IAPD - View All

	funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	clas	sse
0		Yes	
8.	(a) Is this private fund a "fund of funds"?	0	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	C
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.		
9.		Yes	
10.	What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	und	
	venture capital fund Other private fund INSTITUTIONAL FUND		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	thes	se
11.	Current gross asset value of the private fund: \$ 53,821,042		
<u>Ov</u>	<u>vnership</u>		
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 (eve different from the amount set forth in the organizational documents of the fund).	n if	
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 relaperson: 0%	ted	
15.	What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	y fur	nds
16.	What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	6	

IAPD - View All Page 37 of 48

Vous Advisory Sorvices	
Your Advisory Services Y	∕es No
17. (a) Are you a subadviser to this private fund?	o o
(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	
Y	es No
18. (a) Do any other investment advisers advise the private fund?	O 🍳
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank	
No Information Filed	
Y	es No
19. Are your clients solicited to invest in the private fund?	<u>©</u> О
20. Approximately what percentage of your clients has invested in the private fund?	
1%	
Private Offering	
	es No
	<u>•</u> с
22. If yes, provide the private fund's Form D file number (if any):	
Form D file number	
021-77410	
02. //	
B. SERVICE PROVIDERS	
B. SERVICE I ROVIDERO	
<u>Auditors</u>	
	Yes N
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	<u>•</u> с
(2) Are the financial statements prepared in accordance with U.S. GAAP?	⊙ c
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private for uses more than one auditing firm, you must complete questions (b) through (f) separately for auditing firm.	
Additional Auditor Information: 1 Record(s) Filed.	
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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	

IAPD - View All Page 38 of 48

	(c) The location of the au state and country):	uditing firm's office r	esponsible for the private fund's audit (city	,
	City: NEW YORK	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm a	n independent public	c accountant?	Yes No
	(e) Is the auditing firm re	egistered with the Pu	ublic Company Accounting Oversight Board	? 🧿 o
			subject to regular inspection by the Public accordance with its rules?	o 0
				Yes N
(9	g) Are the private fund's aud investors?	ited financial statem	ents distributed to the private fund's	o c
(h		by the auditing firm	contain an unqualified opinion?	
	Yes O No O Report N	Not Yet Received		
	If you check "Report Not Y update your response who	9	nust promptly file an amendment to your Foable.	orm ADV to
Prim	<u>e Broker</u>			
				Yes N
24. (a	a) Does the private fund use	·		0
		he private fund uses	estions (b) through (e) below for each prim more than one prime broker, you must co prime broker.	
		No Inf	formation Filed	
Custo	<u>odian</u>			., .,
25. (a	a) Does the private fund use some or all of its assets?	any custodians (incl	luding the prime brokers listed above) to he	Yes No old 🧿 C
	If the answer to 25(a) is "	rivate fund uses mo	estions (b) through (f) below for each custore than one custodian, you must complete	
	Additional Custodian Ir	nformation : 1 Rec	ord(s) Filed.	
		private fund uses m	uestions (b) through (f) below for each custore than one custodian, you must complete custodian.	
	(b) Legal name of custod NORTHERN TRUST CO			

Page 39 of 48 IAPD - View All

(c)	Primary business name NORTHERN TRUST	of custodian:		
(d)	(d) The location of the custodian's office responsible for custody of the private fund's assets (city state and country):			
	City: CHICAGO	State:	Country:	
	CHICAGO	Illinois	UNITED STATES	
l				Yes No
(e)	(e) Is the custodian a related person of your firm?			o 🔼
(f)	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)			
	-			
	CRD Number (if any):			
1				

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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

Taart	ional Mariningtrator	Tillermatien:	11100014(0) 111041	
If the answer to 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.				
` ′	ame of the administra ORTHERN TRUST	tor:		
(c) L	ocation of administrate	or (city, state and	d country):	
	ity: HICAGO	State:	Country:	
		Illinois	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?				
0	Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)			

IAPD - View All Page 40 of 48

(f) If the answer to 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 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:

ALLIANCE 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: Country:

UNITED STATES Delaware

3. 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)

The private fund (check all that apply; you must check at least one):

IAPD - View All Page 41 of 48 (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 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 the 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. Yes No 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? 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, whether or not they are also private funds, or registered investment companies. Yes No

IAPD - View All	Page 42 of 48
9. During your last fiscal year, did the private fund invest in securities issued by investment	c 6

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 funds of funds, refer to the funds in which the private fund invests. 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: \$ 112,423,929 **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: 17 14. What is the approximate percentage of the private fund beneficially owned by you and your related person: 5% 15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0% 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 other investment advisers 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.

IAPD - View All		Pa	ge 43 of 48
	No Ir	nformation Filed	
19. Are your clients solicited to inve	est in the private	fund?	Yes No
20. Approximately what percentage 1%	e of your clients h	nas invested in the private fund?	
Private Offering			
21. Does the private fund rely on a D of the Securities Act of 1933		n registration of its securities under Regulation	Yes No
22. If yes, provide the private fund	's Form D file nur	mber (if any):	
Form D file number			
021-77410			
B. SERVICE PROVIDERSAuditors23. (a) (1) Are the private fund's find	nancial statemen	ts subject to an annual audit?	Yes No
		accordance with U.S. GAAP?	© 0
		o questions (b) through (f) below. If the priva complete questions (b) through (f) separately	ite fund
Additional Auditor Infor	mation : 1 Reco	rd(s) Filed.	
	auditing firm, you	to questions (b) through (f) below. If the prive must complete questions (b) through (f)	'ate
(b) Name of the auditing f			
(c) The location of the auc state and country):	liting firm's office	responsible for the private fund's audit (city,	
City: NEW YORK	State:	Country:	
NEW TORK	New York	UNITED STATES	
(d) Is the auditing firm an	independent pub	lic accountant?	Yes No
(e) Is the auditing firm req	gistered with the	Public Company Accounting Oversight Board?	○ ○

IAPD - View All Page 44 of 48

(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 distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

Illinois

CHICAGO

UNITED STATES

Yes No

(e) Is the custodian a related person of your firm?



IAPD - View All Page 45 of 48

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

Illinois **UNITED STATES**

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 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

IAPD - View All Page 46 of 48

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 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:

ALLIANCE INSTITUTIONAL FUND - STRATEGIC CORE-PLUS FIXED INCOME FUND

(b) Private fund identification number:

(include the "805-" prefix also)

805-4577531680

2. Under the laws of what state or country is the private fund organized:

State:

Country:

Delaware

UNITED STATES

3. 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

Yes No

6. (a) Is this a "master fund" in a master-feeder arrangement?

IAPD - View All Page 47 of 48

	(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	
	Ye	s 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 w this private fund invests? Name of the Private Fund:	hich
	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 t funds separately.	
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	the
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("fee funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would a be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple cla (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	ilso sses
,		s No
3.	(a) Is this private fund a "fund of funds"?	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0
	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, whether or not they are also private funds, or registered investment companies.	6
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.)?	s No
10.	. What type of fund is the private fund?	
	hedge fund iquidity fund private equity fund real estate fund securitized asset fund venture capital fund other private fund INSTITUTIONAL FUND	d
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of the fund types, please see Instruction 6 of the Instructions to Part 1A.	ese

IAPD - View All Page 48 of 48

11. Current gross asset value of the private fund:

\$ 45,406,648

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 0%

Private Offering

Yes No

21. Does the private fund rely on an exemption from registration of its securities under Regulation

IAPD - View All Page 49 of 48

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

021-77410

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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?

Yes No 0 \circ

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public

 $^{\circ}$

Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's investors?

0

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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.

IAPD - View All Page 50 of 48

Prime Broker

Yes No

24. (a) Does the private fund use one or more prime brokers?





If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: Country: State:

CHICAGO

Illinois **UNITED STATES**

Yes No

(e) Is the custodian a related person of your firm?

0

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

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?

0

If the answer to 26(a) is "yes," respond to questions (b) through (f) below. If the private fund uses

IAPD - View All Page 51 of 48

more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Additional Administrator Information: 1 Record(s) Filed.

us	If the answer to 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.				
) Name of the administra NORTHERN TRUST	ıtor:			
(c)) Location of administrate				
	City: CHICAGO	State:	Country:		
		Illinois	UNITED STATES	\/ NI	
(d) Is the administrator a r	elated person of	your firm?	Yes No	
(e)	(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)	(rest of the) private fur	nd's investors? If	" who sends the investor account statement investor account statements are not sent to espond "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%

AB

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 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 (q) separately for each marketer.

No Information Filed

IAPD - View All Page 52 of 48

A. F	PRIVATE FUND
<u>Inf</u>	formation About the Private Fund
1.	 (a) Name of the private fund: ALLIANCE INSTITUTIONAL FUND - US SMALL CAP GROWTH FUND (b) Private fund identification number: (include the "805-" prefix also) 805-7081783654
2.	Under the laws of what state or country is the private fund organized: State: Country: Delaware UNITED STATES
3.	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.	Yes No (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 the Private Fund:

Private Fund Identification Number: (include the "805-" prefix also)

IAPD - View All Page 53 of 48

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 by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund oventure capital fund Other private fund INSTITUTIONAL FUND

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 27,269,078

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

IAPD - View All Page 54 of 48

14. What is the approximate percentage of the private fund beneficially owned by you and your related person: 0%	k
15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds: 0%	ınds
16. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	
Your Advisory Services	
	s 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	
Ye	s No
18. (a) Do any other investment advisers advise the private fund?	9
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the cadvisers to the private fund. If the answer to question 18(a) is "no," leave this question blank.	other
No Information Filed	
Ye 19. Are your clients solicited to invest in the private fund?	s No
20. Approximately what percentage of your clients has invested in the private fund? 1%	
Private Offering	
	s No
21. Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	0
22. If yes, provide the private fund's Form D file number (if any):	
Form D file number	
021-77410	
B. SERVICE PROVIDERS	
<u>Auditors</u>	
	es No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	
(2) Are the financial statements prepared in accordance with U.S. GAAP?	

IAPD - View All Page 55 of 48

- N

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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

	artional Additor Tillorine	111011: 1 11ccord(3) 1	iica.		
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.				ate	
(b)	(b) Name of the auditing firm:				
	PRICEWATERHOUSECOO	PERS			
(c)	(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):				
	City: NEW YORK	State:	Country:		
		New York	UNITED STATES		
(d)) Is the auditing firm an in	dependent public acco	untant?	Yes	No
(e)	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?			Ö	c

Yes No

O

(g) Are the private fund's audited financial statements distributed to the private fund's

Company Accounting Oversight Board in accordance with its rules?

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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?



If the answer to 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

0	(

IAPD - View All Page 56 of 48

some or all of its assets?

If the answer to 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

NORTHERN TRUST

(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: State: Country:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

IAPD - View All Page 57 of 48

City: CHICAGO	State:	Country:	
	Illinois	UNITED STATES	
(d) Is the administrator a r	related person of	your firm?	Yes No
(e) Does the administrator investors?	prepare and sen	d investor account statements to the private	fund's
Yes (provided to all i		ne (provided to some but not all investors)	
, ,	nd's investors? If	" who sends the investor account statements investor account statements are not sent to spond "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 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:

ALLIANCE INSTITUTIONAL FUND - US STYLE BLEND FUND

(b) Private fund identification number: (include the "805-" prefix also)

805-4068434644

IAPD - View All Page 58 of 48

2.	Under the laws of what state or countries:	untry is the private fund organized: Country:
	Delaware	UNITED STATES
3.	Name(s) of General Partner, Manag	ger, Trustee, or Directors (or persons serving in a similar capacity):
	·	STODIAL TTEE), WILMINGTON TRUST COMPANY (DELAWARE TTEE)
	NORTHERN TRUST COMPANT (CUS	TODIAL TIEE), WILMINGTON TROST COMPANT (DELAWARE TIEE)
4.	The private fund (check all that app	oly; you must check at least one):
	(1) qualifies for the exclusion the Investment Company Act of 19	from the definition of investment company under section $3(c)(1)$ of 40
	(2) qualifies for the exclusion the Investment Company Act of 19	from the definition of investment company under section $3(c)(7)$ of 40
5.	List the name and country, in Engli private fund is registered.	sh, of each foreign financial regulatory authority with which the
		No Information Filed
		Yes No
6.	(a) Is this a "master fund" in a mas	
	(b) If yes, what is the name and pr investing in this private fund?	rivate fund identification number (if any) of the feeder funds
		No Information Filed
		Yes No
	(c) Is this a "feeder fund" in a mas	ter-feeder arrangement?
	(d) If yes, what is the name and pr this private fund invests?Name of the Private Fund:	rivate fund identification number (if any) of the master fund in which
	Private Fund Identification Num (include the "805-" prefix also)	iber:
		n 6 for each master-feeder arrangement regardless of whether you ion 7.B.(1). for the master-feeder arrangement or reporting on the
7.		D, Section 7.B.(1) for a master-feeder arrangement according to the 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

Page 59 of 48 IAPD - View All

	funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	clas	sse
		Yes	_
8.	(a) Is this private fund a "fund of funds"?	0	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	О	C
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more o total assets in other pooled investment vehicles, whether or not 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.)?	Yes	
10.	What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	und	
	venture capital fund Other private fund INSTITUTIONAL FUND		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	thes	se
11.	Current gross asset value of the private fund: \$ 107,679,450		
<u>Ov</u>	<u>vnership</u>		
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 different from the amount set forth in the organizational documents of the fund).	n if	
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 relaperson: 0%	ted	
15.	What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	y fur	าds
16.	What is the approximate percentage of the private fund beneficially owned by non-United States persons:	5	

IAPD - View All Page 60 of 48

Your Advisory Services	Van Na
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, adviser of the private fund. If the answer to question 17(a) is "no," leave this question	
No Information Filed	
	Yes No
18. (a) Do any other investment advisers advise the private fund?	0 🧧
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, advisers to the private fund. If the answer to question 18(a) is "no," leave this question	
No Information Filed	
	Yes No
19. Are your clients solicited to invest in the private fund?	O
20. Approximately what percentage of your clients has invested in the private fund?	
1 %	
Private Offering	
<u>Private Offering</u>	Yes No
21. Does the private fund rely on an exemption from registration of its securities under Regular	_
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	
021-77410	
B. SERVICE PROVIDERS	
<u>Auditors</u>	
	Yes No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	<u>•</u> с
(2) Are the financial statements prepared in accordance with U.S. GAAP?	o c
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the pr	
uses more than one auditing firm, you must complete questions (b) through (f) separat auditing firm.	ely for each
Additional Auditor Information: 1 Record(s) Filed.	
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the p	rivato
fund uses more than one auditing firm, you must complete questions (b) through (f)	Tivate
separately for each auditing firm.	
(b) Name of the auditing firm.	
(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS	

IAPD - View All Page 61 of 48

	(c) The location of the au state and country):	uditing firm's office r	esponsible for the private fund's audit (city	,
	City: NEW YORK	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm a	n independent public	c accountant?	Yes No
	(e) Is the auditing firm re	egistered with the Pu	ublic Company Accounting Oversight Board	? 🧿 o
			subject to regular inspection by the Public accordance with its rules?	o 0
				Yes N
(9	g) Are the private fund's aud investors?	ited financial statem	ents distributed to the private fund's	o c
(h		by the auditing firm	contain an unqualified opinion?	
	Yes O No O Report N	Not Yet Received		
	If you check "Report Not Y update your response who	9	nust promptly file an amendment to your Foable.	orm ADV to
Prim	<u>e Broker</u>			
				Yes N
24. (a	a) Does the private fund use	·		0
		he private fund uses	estions (b) through (e) below for each prim more than one prime broker, you must co prime broker.	
		No Inf	formation Filed	
Custo	<u>odian</u>			., .,
25. (a	a) Does the private fund use some or all of its assets?	any custodians (incl	luding the prime brokers listed above) to he	Yes No old 🧿 C
	If the answer to 25(a) is "	rivate fund uses mo	estions (b) through (f) below for each custore than one custodian, you must complete	
	Additional Custodian Ir	nformation : 1 Rec	ord(s) Filed.	
		private fund uses m	uestions (b) through (f) below for each custore than one custodian, you must complete custodian.	
	(b) Legal name of custod NORTHERN TRUST CO			

IAPD - View All Page 62 of 48

(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: State: Country: **CHICAGO** Illinois **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) CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: NORTHERN TRUST (c) Location of administrator (city, state and country): City: State: Country: **CHICAGO** Illinois **UNITED STATES** Yes No (d) Is the administrator a related person of your firm? 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)

IAPD - View All Page 63 of 48

(f) If the answer to 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 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 CURRENCY ALPHA MASTER FUND LTD.

(b) Private fund identification number: (include the "805-" prefix also)

805-7187543251

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

The private fund (check all that apply; you must check at least one):

IAPD - View All Page 64 of 48

	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of
	nvestment Company Act of 1940
1	

(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	

Yes No

(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 Name	Private Fund Identification Number
ALLIANCEBERNSTEIN CURRENCY ALPHA FUND L.P.	805-7195257000

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 the 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:

ALLIANCEBERNSTEIN CURRENCY ALPHA FUND L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-7195257000

IAPD - View All Page 65 of 48

	State:	Country:	
	Delaware	UNITED STATES	
	(d) Name(s) of General Partice capacity):	ner, Manager, Trustee, or Directors (or persons serving in a si	milar
	Name of General Part	ner, Manager, Trustee, or Director	
	BERNSTEIN ALTERNATIV	VE INVESTMENT MANAGEMENT LP	
	(e) The private fund (check	all that apply; you must check at least one):	
	(1) qualifies for the (c)(1) of the Investment	e exclusion from the definition of investment company under s Company Act of 1940	section 3
	(2) qualifies for the (c)(7) of the Investment	e exclusion from the definition of investment company under s Company Act of 1940	section 3
	(f) List the name and counti the private fund is regist	ry, in English, of each foreign financial regulatory authority wit ered.	th which
		No Information Filed	
	be a "feeder fund" investing in a	y all of their assets in a single fund ("master fund"). A fund wo a "master fund" for purposes of this question if it issued multip s, and each class (or series) invests substantially all of its asse	le classes
			Yes No
3.	(a) Is this private fund a "fund of	of funds"?	o 🤦
	(b) If yes, does the private fund	invest in funds managed by you or by a related person?	0 0
		stion only, answer "yes" if the fund invests 10 percent or more estment vehicles, whether or not they are also private funds, oes.	r
			Yes No
9.		the private fund invest in securities issued by investment Investment Company Act of 1940 (other than "money market Instruction 6.e.)?	t C º
10.	. What type of fund is the private	fund?	
	hedge fund Diquidity fund	C private equity fund C real estate fund C securitized asse	et fund
	C venture capital fund C Othe		
		to the funds in which the private fund invests. For definitions on 6 of the Instructions to Part 1A.	of these
11.	. Current gross asset value of the	private fund:	

IAPD - View All Page 66 of 48

\$ 12,587,907

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:

6

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?



IAPD - View All Page 67 of 48 22. If yes, provide the private fund's Form D file number (if any): No Information Filed B. SERVICE PROVIDERS <u>Auditors</u> Yes No 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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? \circ (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public C

(g) Are the private fund's audited financial statements distributed to the private fund's

Company Accounting Oversight Board in accordance with its rules?

Yes No

- (h) Does the report prepared by the auditing firm contain an unqualified opinion?
 - 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

IAPD - View All Page 68 of 48

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian: STATE STREET CAYMAN TRUST CO, 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,

IAPD - View All Page 69 of 48

	state and country): City: CAYMAN ISLANDS	State:	Country: CAYMAN ISLANDS		
((e) Is the custodian a related person of your firm?				S No
(1	-				
	CRD Number (if any):				

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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

, ,,,,	intional Mariningtrator Timornic	ation: Titecoru(s)	- nea:	
use	he answer to 26(a) is "yes," respes more than one administrator, yoh administrator.	•	9	
(b)	Name of the administrator: STATE STREET BANK			
(c)	Location of administrator (city, s City: TORONTO	state and country): State:	Country:	
(d)	Is the administrator a related pe	erson of your firm?		Yes No
(e)	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 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.

IAPD - View All Page 70 of 48

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 28(a) is "yes", respond to questions (b) through (q) 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 CURRENCY HIGH ALPHA MASTER FUND (US DOLLAR) LTD.

(b) Private fund identification number: (include the "805-" prefix also)

805-9581139074

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

- 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

IAPD - View All Page 71 of 48

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

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?

Private Fund Name	Private Fund I dentification Number	
ALLIANCEBERNSTEIN CURRENCY HIGH ALPHA FUND (US DOLLAR) L.P.	805-1050403836	
ALLIANCEBERNSTEIN CURRENCY HIGH ALPHA FUND (US DOLLAR) LTD.	805-1431073936	

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 the 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 CURRENCY HIGH ALPHA FUND (US DOLLAR) L.P.

(b) Private fund identification number: (include the "805-" prefix also) 805-1050403836

(c) Under the laws of what state or country is the private fund organized:

IAPD - View All Page 72 of 48

		State:	Country:
		Delaware	UNITED STATES
	(d)	Name(s) of General Pacapacity):	rtner, Manager, Trustee, or Directors (or persons serving in a similar
		Name of General Pa	rtner, Manager, Trustee, or Director
		BERNSTEIN ALTERNAT	IVE INVESTMENT MANAGEMENT LP
	(e)	The private fund (chec	k all that apply; you must check at least one):
		(c)(1) of the Investment	he exclusion from the definition of investment company under section 3 nt Company Act of 1940
			he exclusion from the definition of investment company under section 3 nt Company Act of 1940
	(f)	List the name and cour the private fund is regi	ntry, in English, of each foreign financial regulatory authority with which stered.
			No Information Filed
L			
	to to to que	the instructions to this sestions: Name of the private fu	CURRENCY HIGH ALPHA FUND (US DOLLAR) LTD. ion number:
		805-1431073936	
	(c)	Under the laws of what State:	state or country is the private fund organized: Country:
			CAYMAN ISLANDS
	(d)	Name(s) of General Pacapacity):	rtner, Manager, Trustee, or Directors (or persons serving in a similar
		Name of General Pa	rtner, Manager, Trustee, or Director
		DENNIS HUNTER, KAR	LA BODDEN, MARK MANLEY
	(e)	(1) qualifies for t	k all that apply; you must check at least one): he exclusion from the definition of investment company under section 3 nt Company Act of 1940

IAPD - View All Page 73 of 48

		(c) (7) of the Investment Company Act of 1940	ction	3
	(f)	List the name and country, in English, of each foreign financial regulatory authority with the private fund is registered.	ı whic	ch
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Other - CAYMAN ISLANDS MONETARY AUTHORITY		
	funds" be a "f (or ser	For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds) invest all or substantially all of their assets in a single fund ("master fund"). A fund workeder fund" investing in a "master fund" for purposes of this question if it issued multipleties) of shares or interests, and each class (or series) invests substantially all of its assets master fund.	uld als e clas s in a	so sses
8.	(a) Is t	this private fund a "fund of funds"?	Yes	OVI O
0.	, ,		_	
	(b) If y	yes, does the private fund invest in funds managed by you or by a related person?	0	0
	total a	For purposes of this question only, answer "yes" if the fund invests 10 percent or more ssets in other pooled investment vehicles, whether or not they are also private funds, or ered investment companies.	of its Yes	No
9.	compa	your last fiscal year, did the private fund invest in securities issued by investment nies registered under the Investment Company Act of 1940 (other than "money market" to the extent provided in Instruction 6.e.)?	Ö	©
10.	What t	type of fund is the private fund?		
	nec	dge fund $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset	fund	
		nture capital fund Other private fund		
		For funds of funds, refer to the funds in which the private fund invests. For definitions o ypes, please see Instruction 6 of the Instructions to Part 1A.	f thes	se
11.		of the private fund: 645,445		
<u>Ov</u>	<u>/nershi</u>	<u>q</u> i		
12.	\$ 5,00 NOTE:	um investment commitment required of an investor in the private fund: 0,000 Report the amount routinely required of investors who are not your related persons (event from the amount set forth in the organizational documents of the fund).	en if	
13.	Approx 0	kimate number of the private fund's beneficial owners:		

IAPD - View All Page 74 of 48

14.	What is the approximate percentage of the private fund beneficially owned by you and your relaperson: 1%	ted
15.	What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	y funds
16.	What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	5
Yo	ur Advisory Services	
		Yes No
17.	(a) Are you a subadviser to this private fund?	0 🧧
	(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 other investment advisers advise the private fund?	င 🧧
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the 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?	o 🧧
20.	Approximately what percentage of your clients has invested in the private fund? 1%	
<u>Pri</u>	vate Offering	
		Yes No
21.	Does the private fund rely 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. S	SERVICE PROVIDERS	
<u>Au</u>	<u>ditors</u>	Yes No
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?	1621/0
	(2) Are the financial statements prepared in accordance with U.S. GAAP?	6 0
	(2) 740 the infahelal statements propared in accordance with 0.5. GAAL:	C

IAPD - View All Page 75 of 48

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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) File	Additional	Auditor	Information	: 1	Record	(s)	Filed
--	------------	---------	-------------	-----	--------	-----	-------

	ne auditing firm, you n	questions (b) through (f) below. Inust complete questions (b) throug		
(b) Name of the auditir	g firm:			
PRICEWATERHOUS	ECOOPERS			
(c) The location of the state and country):	auditing firm's office re	esponsible for the private fund's au	ıdit (city,	
City: NEW YORK	State:	Country:		
NEW TORK	New York	UNITED STATES		
			Yes	No
(d) Is the auditing firm	an independent public	accountant?	0	\circ
(e) Is the auditing firm	registered with the Pu	blic Company Accounting Oversigh	nt Board? o	0
• • • • • • • • • • • • • • • • • • • •	<u>e</u>	subject to regular inspection by the accordance with its rules?	e Public 👩	0

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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?



If the answer to 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 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 IAPD - View All Page 76 of 48

(c)	If the prime broker is reg	gistered with the SEC,	ts registration number:
	8 - 15869		
	CRD Number (if any): 8209		
(d)	Location of prime broker'	s office used principall	y by the private fund (city, state and country):
	City: NEW YORK	State:	Country:
		New York	UNITED STATES
I			Ves No

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?

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



If the answer to 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

STATE STREET CAYMAN TRUST CO, 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: State: Country:

CAYMAN ISLANDS

CAYMAN ISLANDS

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):

IAPD - View All Page 77 of 48

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?

O

If the answer to 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.

		• •	
	yes," respond to questions of istrator, you must complete		
(b) Name of the administr	ator:		
(c) Location of administrat	tor (city, state and country)		
City: TORONTO	State:	Country:	
TORONTO		CANADA	
			Yes No
(d) Is the administrator a	related person of your firm?)	o 👨
(e) Does the administrator investors?	r prepare and send investor	account statements to	the private fund's
Yes (provided to all	investors) Some (provide	ed to some but not all i	nvestors)
No (provided to no	investors)		
(rest of the) private fu	is "no" or "some," who send nd's investors? If investor a nd's investors, respond "no	ccount statements are	

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%

AB

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,

Page 78 of 48 IAPD - View All

introducer, municipal advisor or other solicitor, or similar person. If the answer to 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

Α.	PRIVATE FUND		
<u>l nf</u>	formation About the Private Fund		
1.	(-)	MARKETS CURRENCY ALPHA FUND L.P.	
2.	Under the laws of what state or coun State:	ntry is the private fund organized: Country:	
	Delaware U	UNITED STATES	
3.	Name(s) of General Partner, Manage Name of General Partner, Manage BERNSTEIN ALTERNATIVE INVESTME		city):
4.	(1) qualifies for the exclusion fithe Investment Company Act of 1940	from the definition of investment company under section 3(c)	
5.	List the name and country, in English private fund is registered.	n, of each foreign financial regulatory authority with which th	ne
			Voc No
6.	` '		Yes No
	5 · · · · · · · · · · · · · · · · · · ·	No Information Filed	
		,	Yes No

(c) Is this a "feeder fund" in a master-feeder arrangement?

IAPD - View All Page 79 of 48

	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests?	n which
	Name of the Private Fund:	
	Private Fund Identification Number: (include the "805-" prefix also)	
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whethe are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.	
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to the
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund woul be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	d also classe in a
8.	(a) Is this private fund a "fund of funds"?	Yes N
Ο.	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 6
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	
9.		Yes N
10.	What type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	und
	C venture capital fund C Other private fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	these
11.	Current gross asset value of the private fund: \$ 24,313,031	
<u>Ov</u>	<u>vnership</u>	
12.	Minimum investment commitment required of an investor in the private fund: \$ 1,000,000	

IAPD - View All Page 80 of 48

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 person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely 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

021-163715

B. SERVICE PROVIDERS

IAPD - View All Page 81 of 48

				,
<u>Audito</u>	<u>ors</u>			Voc No
23. (a)	(1) Are the private fund's	financial statements	subject to an annual audit?	Yes No
	(2) Are the financial states	ments prepared in a	ccordance with U.S. GAAP?	• o
			questions (b) through (f) below. If the priva- omplete questions (b) through (f) separately	
	Additional Auditor Info	rmation : 1 Record	d(s) Filed.	
		auditing firm, you ring firm.	o questions (b) through (f) below. If the priva must complete questions (b) through (f)	ate
	(c) The location of the austate and country):	uditing firm's office r	responsible for the private fund's audit (city,	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm a	n independent publi	c accountant?	Yes No
	(e) Is the auditing firm re	egistered with the Pu	ublic Company Accounting Oversight Board?	<u>○</u> c
			subject to regular inspection by the Public accordance with its rules?	<u>•</u> с
	investors? Does the report prepared Yes No Report N	by the auditing firm lot Yet Received 'et Received," you n	nents distributed to the private fund's contain an unqualified opinion? Thust promptly file an amendment to your Forable.	Yes No
Drima	Broker			

Prime Broker

Yes No

24. (a) Does the private fund use one or more prime brokers?

If the answer to 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

IAPD - View All Page 82 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

STATE STREET BANK & 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:

State:

Country:

BOSTON

Massachusetts

UNITED STATES

Yes No

0

(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):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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.

IAPD - View All Page 83 of 48

(b) Name of the administrator: STATE STREET BANK		
(c) Location of administrator (city, state City: State: TORONTO	Country:	
	CAYMAN ISLANDS	Yes No
(d) Is the administrator a related perso	n of your firm?	0
(e) Does the administrator prepare and investors?	send investor account statements to the priva	te fund's
CYes (provided to all investors) C	Some (provided to some but not all investors)	
No (provided to no investors)		
	ome," who sends the investor account statemers? If investor account statements are not sent to, 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 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:

IAPD - View All Page 84 of 48

	Δ	П	Г	1 /	ΔΙ	N	\mathcal{C}	١Ē	7	=	F	R	'n	ď	5	т	F	۱N	VI.	F	٦,	VI.	Н	Δ	۱	N	\overline{C}	F	Г)	Δ	Т	P	ŀ	4,	Δ	Ν	Λ	Δ	T	F	E	2	F	П	١N	JΤ	7	Т	Т	٦.)
- 1	$\boldsymbol{\neg}$		_	1 <i>r</i>	-\	ΙV	ν.	, L	_1	_		$\overline{}$		v.	.)				v	_	_1	v		<i>-</i>	٩ι	v	◡	_		,	\boldsymbol{H}	۱L	.г		17	ч	- 11	VI.	М		_		`		ι.	, ,	чı	,	- 1	- 1	_	<i>.</i>

(b) Private fund identification number: (include the "805-" prefix also) 805-4165429598

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. 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 INVESTMENT MANAGEMENT, L.P.

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?



(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 Name	Private Fund Identification Number
ALLIANCEBERNSTEIN ENHANCED ALPHA FUND L.P.	805-2557550805

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 the 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.

IAPD - View All Page 85 of 48

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.

questions: (a) Name of the private fu		
ALLIANCEBERNSTEIN	ENHANCED ALPHA FUND L.P.	
(b) Private fund identifica (include the "805-" pr 805-2557550805		
(c) Under the laws of whate:	It state or country is the private fund organized: Country:	
Delaware	UNITED STATES	
(d) Name(s) of General Pacapacity):	artner, Manager, Trustee, or Directors (or persons serving i	in a similar
	artner, Manager, Trustee, or Director	
BERNSTEIN ALTERNA	TIVE INVESTMENT MANAGEMENT, L.P.	
(e) The private fund (chec	ck all that apply; you must check at least one):	
\Box (1) qualifies for (c)(1) of the Investme	the exclusion from the definition of investment company urent Company Act of 1940	nder sectior
	the exclusion from the definition of investment company urent Company Act of 1940	nder sectior
(f) List the name and cou	ntry, in English, of each foreign financial regulatory authoristered.	ity with whi
	No Information Filed	
unds") invest all or substanti be a "feeder fund" investing i	ons 6 and 7, in a master-feeder arrangement, one or more ally all of their assets in a single fund ("master fund"). A fund a "master fund" for purposes of this question if it issued rests, and each class (or series) invests substantially all of its	und would a multiple cla
		Ye
a) Is this private fund a "fun	d of five do!!?	

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its

(b) If yes, does the private fund invest in funds managed by you or by a related person?

IAPD - View All Page 86 of 48

total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.

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?

Phedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 47,141,467

<u>Ownership</u>

12. Minimum investment commitment required of an investor in the private fund:

\$ 3,000,000

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 person:

91%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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

IAPD - View All Page 87 of 48

18. (a) Do any other investment advisers advise the private fund?	o 👨
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank No Information Filed	
Y	es No
19. Are your clients solicited to invest in the private fund?	೦ 🧖
20. Approximately what percentage of your clients has invested in the private fund? 1%	
Private Offering	
21 December which found asks on an expension from registration of its consulting under December 2	es No
22. If yes, provide the private fund's Form D file number (if any):	
No Information Filed	
B. SERVICE PROVIDERS	
<u>Auditors</u>	
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	es No
(2) Are the financial statements prepared in accordance with U.S. GAAP?	<u>о</u> с
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fu uses more than one auditing firm, you must complete questions (b) through (f) separately for auditing firm.	
Additional Auditor Information: 1 Record(s) Filed.	
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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?	s No
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	

IAPD - View All Page 88 of 48

(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 distributed to the private fund's investors? (h) Does the report prepared by the auditing firm contain an unqualified opinion? 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? If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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. (b) Legal name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY 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): State: Country: CAYMAN ISLANDS

CAYMAN ISLANDS

IAPD - View All Page 89 of 48

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):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: STATE STREET BANK CAYMAN TRUST COMPANY LTD

(c) Location of administrator (city, state and country):

State:

Country:

CAYMAN ISLANDS

CAYMAN ISLANDS

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 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? 83%

IAPD - View All Page 90 of 48

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 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 EVENT DRIVEN OPPORTUNITIES MASTER FUND LP

(b) Private fund identification number: (include the "805-" prefix also)

805-6231017849

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. 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 EVENT DRIVEN OPPORTUNITIES MANAGEMENT, LLC

- 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
 - V (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

IAPD - View All Page 91 of 48

Other - CAYMAN ISLANDS MONETARY AUTHORITY

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?

IPrivate Fund Name	Private Fund Identification Number	
ALLIANCEBERNSTEIN EVENT DRIVEN OPPORTUNITIES FUND DELAWARE LP	805-9395841392	

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 the 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:

ALLIANCEBERNSTEIN EVENT DRIVEN OPPORTUNITIES FUND DELAWARE LP

(b) Private fund identification number: (include the "805-" prefix also)

805-9395841392

(c) Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

(d) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

IAPD - View All Page 92 of 48

	Name of General Partner, Manager, Trustee, or Director	
	ALLIANCEBERNSTEIN EVENT DRIVEN OPPORTUNITIES MANAGEMENT, LLC	
	(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 second (c) (1) of the Investment Company Act of 1940	ection 3
	(2) qualifies for the exclusion from the definition of investment company under set (c)(7) of the Investment Company Act of 1940	ection 3
	(f) List the name and country, in English, of each foreign financial regulatory authority with the private fund is registered.	n which
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wor be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its asset single master fund.	uld also e classe
		Yes N
.	(a) Is this private fund a "fund of funds"?	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	
		Yes N
	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.)?	0 6
0.	. What type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset	fund
	C venture capital fund C Other private fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	f these
1.	Current gross asset value of the private fund: \$ 25,891,462	
<u>)w</u>	<u>vnership</u>	
2.	. Minimum investment commitment required of an investor in the private fund:	
	\$ 5,000,000	on If
	NOTE: Report the amount routinely required of investors who are not your related persons (even	≏n if

IAPD - View All Page 93 of 48

difforant	from the	amount o	eat farth	in the	organizational	documents	of the fund)
unicient	HOIH UIK	annount :	361 101111		ol garrizational	aucuments	of the fullu).

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

100%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

0%

Private Offering

Yes No

21. Does the private fund rely 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

IAPD - View All Page 94 of 48

<u>Auditors</u>			Yes No				
23. (a) (1) Are the private fund's fina	ancial statements sub	ject to an annual audit?	o c				
(2) Are the financial statements prepared in accordance with U.S. GAAP?							
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 Inform	ation: 1 Record(s)	Filed.					
fund uses more than one au	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 fire	m:						
PRICEWATERHOUSECOC	PERS						
(c) The location of the audit state and country):	ing firm's office respo	ensible for the private fund's audit (city,					
City: NEW YORK	State:	Country:					
NEW YORK	New York	UNITED STATES					
(d) Is the auditing firm an ir	Yes No (d) Is the auditing firm an independent public accountant?						
(e) Is the auditing firm regis	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?						
	(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	d financial statements	distributed to the private fund's	Yes No				
investors?		·	<u> </u>				
(h) Does the report prepared by	_	ain an unqualified opinion?					
Yes No Report Not If you check "Report Not Yet update your response when t	Received," you must	promptly file an amendment to your For	m ADV to				
<u>Prime Broker</u>			Vac Na				
24. (a) Does the private fund use on	e or more prime brok	ers?	Yes No				
	private fund uses mor	ns (b) through (e) below for each prime re than one prime broker, you must com e broker.					
Additional Prime Broker I	nformation : 2 Reco	ord(s) Filed.					

IAPD - View All Page 95 of 48

If the answer to 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):

State: Country:

NEW YORK

New York **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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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?



IAPD - View All Page 96 of 48

If the answer to 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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. (b) Legal name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY 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):

State: City: Country:

CAYMAN ISLANDS

CAYMAN ISLANDS

Yes No

0

(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):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK CAYMAN TRUST COMPANY LTD

(c) Location of administrator (city, state and country):

City: State: Country:

CAYMAN ISLANDS

IAPD - View All Page 97 of 48

CAYMAN ISLANDS

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 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?

90%

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 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 GLOBAL DIVERSIFIED STRATEGIES L.P. - HEDGE FUND A

(b) Private fund identification number:

(include the "805-" prefix also)

805-1060711253

IAPD - View All Page 98 of 48

2.	Under the laws of what state or co State:	untry is the private fund organized: Country:	
	Delaware	UNITED STATES	
3.	Name(s) of General Partner, Mana Name of General Partner, Mana BERNSTEIN ALTERNATIVE INVEST		y):
4.	The private fund (check all that ap	ply; you must check at least one):	
	(1) qualifies for the exclusion the Investment Company Act of 19	n from the definition of investment company under section 3(c)(1) 940) of
	(2) qualifies for the exclusion the Investment Company Act of 19	n from the definition of investment company under section 3(c)(7) 940) of
5.	List the name and country, in Engl private fund is registered.	ish, of each foreign financial regulatory authority with which the	
		No Information Filed	
		Yes	s N
6.	(a) Is this a "master fund" in a ma	ster-feeder arrangement?	•
	(b) If yes, what is the name and prinvesting in this private fund?	rivate fund identification number (if any) of the feeder funds	
		No Information Filed	
	(c) Is this a "feeder fund" in a mas	Yes	š N∈
		rivate fund identification number (if any) of the master fund in wh	nich
	this private fund invests? Name of the Private Fund:		
	Private Fund Identification Nun (include the "805-" prefix also)		
		n 6 for each master-feeder arrangement regardless of whether yo tion 7.B.(1). for the master-feeder arrangement or reporting on th	
7.		D, Section 7.B.(1) for a master-feeder arrangement according to for each of the feeder funds answer the following questions:	the
		No Information Filed	
		o and 7, in a master-feeder arrangement, one or more funds ("fee all of their assets in a single fund ("master fund"). A fund would al	

IAPD - View All Page 99 of 48

	be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	in a	
8.	(a) Is this private fund a "fund of funds"?	Yes N	
0.	(b) If yes, does the private fund invest in funds managed by you or by a related person?		
		0 (
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more control total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.		
_		Yes N	
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.)?	0	•
10.	What type of fund is the private fund?		
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset	fund	
	oventure capital fund oventure capital fund		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	these	
11.	Current gross asset value of the private fund: \$ 107,024,298		
<u>Ov</u>	<u>vnership</u>		
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 different from the amount set forth in the organizational documents of the fund).	n if	
13.	Approximate number of the private fund's beneficial owners: 102		
14.	What is the approximate percentage of the private fund beneficially owned by you and your relatives person: 14%	ited	
15.	What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	y fund	s
16	What is the approximate percentage of the private fund hopeficially owned by non United States		

Your Advisory Services

persons: 0%

Page 100 of 48 IAPD - View All

	Yes No
17. (a) Are you a subadviser to this private fund?	o 🧧
(b) If the answer to question 17(a) is "yes," provide the name and SEC file nur adviser of the private fund. If the answer to question 17(a) is "no," leave to	
No Information Filed	
	Yes No
18. (a) Do any other investment advisers advise the private fund?	o 🖸
(b) If the answer to question 18(a) is "yes," provide the name and SEC file nur advisers to the private fund. If the answer to question 18(a) is "no," leave	
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 func 1%	1?
Private Offering	Yes No
21. Does the private fund rely on an exemption from registration of its securities up to be determined by the Securities Act of 1933?	
22. If yes, provide the private fund's Form D file number (if any):	
Form D file number	
021-98957	
B. SERVICE PROVIDERS	
<u>Auditors</u>	Vaa N
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	Yes No
(2) Are the financial statements prepared in accordance with U.S. GAAP?	o c
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) bel uses more than one auditing firm, you must complete questions (b) throug auditing firm.	
Additional Auditor Information: 1 Record(s) Filed.	
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) be fund uses more than one auditing firm, you must complete questions (b) 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 fur	nd's audit (city,

Page 101 of 48 IAPD - View All

	state and country):			1
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm an i	ndependent publi	c accountant?	Yes No
	(e) Is the auditing firm regi	stered with the P	ublic Company Accounting Oversight Bo	ard? 🧑 o
			subject to regular inspection by the Pub accordance with its rules?	olic 🏮 o
	investors?	the auditing firm	nents distributed to the private fund's contain an unqualified opinion?	Yes No
	If you check "Report Not Yet update your response when		nust promptly file an amendment to you lable.	ır Form ADV to
Prime	<u>Broker</u>			Van Na
24. (a)	Does the private fund use on	ne or more prime	brokers?	Yes No
		private fund uses	estions (b) through (e) below for each p s more than one prime broker, you must prime broker.	
	Additional Prime Broker I	nformation : 2	Record(s) Filed.	
		e private fund use eparately for each	uestions (b) through (e) below for each es more than one prime broker, you mus n prime broker.	
			SEC, its registration number:	
	8 - 422 CRD Number (if any): 816			
	(d) Location of prime broke City: NEW YORK	r's office used pri State:	ncipally by the private fund (city, state a	and country):
	TVEVV TOTAL	New York	UNITED STATES	

IAPD - View All Page 102 of 48

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?





If the answer to 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):

State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?





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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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):

Page 103 of 48 IAPD - View All

	City: BOSTON	State:	Country:	
	BOSTON	Massachusetts	UNITED STATES	
				Yes No
(e)) Is the custodian	a related person of your firm?		o 🧧
(f)	If the custodian i	s a broker-dealer, provide its SE	EC registration number (if any)	
	CRD Number (if a	any):		

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

use	If the answer to 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)	(b) Name of the administrator: STATE STREET BANK				
(c)	Location of administrator (city, st	tate and country):			
	City:	State:	Country:		
	TORONTO		CANADA		
				Yes No	
(d)	Is the administrator a related per	rson of your firm?		o 🙍	
	(e) Does the administrator prepare and send investor account statements to the private fund's investors?				
	Yes (provided to all investors)	C Some (provided to	o some but not all investors)		
	No (provided to no investors)				
(f)	If the answer to 26(a) is "no" or	"sama " who sands t	ho invostor account statements	s to the	
(f) If the answer to 26(e) is "no" or "some," who sends the investor account statements (rest of the) private fund's investors? If investor account statements are not sent to (rest of the) private fund's investors, respond "not applicable." ALLIANCEBERNSTEIN L.P.					

IAPD - View All Page 104 of 48

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 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 (q) separately for each marketer.

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the private fund:

ALLIANCEBERNSTEIN GLOBAL DIVERSIFIED STRATEGIES L.P. - HEDGE FUND B

(b) Private fund identification number: (include the "805-" prefix also)

805-2123899075

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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 INVESTMENT MANAGEMENT LP

- 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

Page 105 of 48 IAPD - View All

	private fund is registered.	
	No Information Filed	
		Yes No
6.	(a) Is this a "master fund" in a master-feeder arrangement?	0 🧧
	(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	
		Voc N
	(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 this private fund invests? Name of the Private Fund:	n which
	Private Fund Identification Number: (include the "805-" prefix also)	
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.	_
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to the
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ld also classes
		Yes No
8.	(a) Is this private fund a "fund of funds"?	o 🧧
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not 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.)?	Yes No
10.	. What type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset	fund

IAPD - View All Page 106 of 48

venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 268,716,215

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:

91

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

66%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

IAPD - View All Page 107 of 48

1%

Private Offering

Yes No

21. Does the private fund rely 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

021-98936

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?



(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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?

w	- 0

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

O

(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?

0	C

- (g) Are the private fund's audited financial statements distributed to the private fund's investors?
- (h) Does the report prepared by the auditing firm contain an unqualified opinion?

IAPD - View All Page 108 of 48

Yes C No C 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?



If the answer to 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 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

NEW YORK

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:

UNITED STATES

Country:

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



If the answer to 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

IAPD - View All Page 109 of 48

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

(d) Location of prime	broker's office used prir	ncipally by the private fund (city, st	ate and country):
City: NEW YORK	State:	Country:	
	New York	UNITED STATES	
			Yes No

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) below for each custodia private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.	an the
(b) Legal name of custodian: STATE STREET BANK AND TRUST COMPANY	
(c) Primary business name of custodian: STATE STREET BANK	

(d)	The location of	of the custodian's	office responsible	for custody	of the private	fund's assets	(city
	state and cou	ntry):					
	City:	State:		Country:			

City: State:

BOSTON

Massachusetts **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)

CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?

If the answer to 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

IAPD - View All Page 110 of 48

administrator.

Additional Administrator Information: 1 Record(s) Filed.

	If the answer to 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 the administrator: STATE STREET BANK	:		
		(c)	Location of administrator (City:	city, state and country State:	y): Country:	
			TORONTO		CANADA	
		(d)	Is the administrator a relat	ted person of your firm	n?	Yes No
		(e)	Does the administrator pre investors?	epare and send investo	or account statements to	the private fund's
	Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)					
		(f)	If the answer to 26(e) is "r (rest of the) private fund's (rest of the) private fund's ALLIANCEBERNSTEIN L.P.	investors? If investor	account statements are	
27.	pers	son,	your last fiscal year, what posuch as an administrator, the			ue) was valued by a
	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.					
<u>Ma</u>	rket	ers				

Marke

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 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

IAPD - View All Page 111 of 48

	D - View All
Α. Ι	PRIVATE FUND
<u>I nf</u>	formation About the Private Fund
1.	 (a) Name of the private fund: ALLIANCEBERNSTEIN GLOBAL DIVERSIFIED STRATEGIES LTD HEDGE FUND A (b) Private fund identification number: (include the "805-" prefix also) 805-9606306394
2.	Under the laws of what state or country is the private fund organized: State: Country:
	CAYMAN ISLANDS
3.	Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee, or Director DENNIS HUNTER, KARLA BODDEN, MARK MANLEY
,	
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 N
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 N
	(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?

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

Name of the Private Fund:

Private Fund Identification Number: (include the "805-" prefix also)

IAPD - View All Page 112 of 48

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 by a related person?

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, whether or not they are also private funds, or registered investment companies.

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 C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 18,614,115

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:

20

Page 113 of 48 IAPD - View All

14.	4. What is the approximate percentage of the private fund beneficially owned by you and your related person: 9%					
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	y funds				
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	5				
<u>Yo</u>	ur Advisory Services					
		Yes No				
17.	. (a) Are you a subadviser to this private fund?	o 🧧				
	(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 other investment advisers advise the private fund?	O 🧧				
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blanks and the private fund. If the answer to question 18(a) is "no," leave this question blanks and the private fund. If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blanks are the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blanks are the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blanks are the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blanks are the advisers to the private fund.					
	The finding that the	Yes No				
19.	. Are your clients solicited to invest in the private fund?	O O				
20	. Approximately what percentage of your clients has invested in the private fund? 1%					
<u>Pri</u>	ivate Offering	Voc Na				
21.	Does the private fund rely 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					
В. \$	SERVICE PROVIDERS					
<u>Au</u>	<u>iditors</u>					
23	. (a) (1) Are the private fund's financial statements subject to an annual audit?	Yes No				
2 3.	(2) Are the financial statements prepared in accordance with U.S. GAAP?	• o				

IAPD - View All Page 114 of 48

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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) File	Additional	Auditor	Information	: 1	Record	(s)	Filed
--	------------	---------	-------------	-----	--------	-----	-------

fu	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.						
(b	(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:	Country:				
	NEW TORK	New York	UNITED STATES				
(d) Is the auditing firm an independent public accountant?							
(e	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?						
(f)) If "yes" to (e) above, is t		ect to regular inspection by the Public dance with its rules?	•	С		

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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?



If the answer to 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 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

IAPD - View All Page 115 of 48

(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: State: Country:

NEW YORK

New York **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 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):

Citv: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

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 25(a) is "yes," respond to questions (b) through (f) 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.

IAPD - View All Page 116 of 48

If the answer to 25(a) is "yes," respond to questions (b) through (f) 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. (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: State: Country: **BOSTON** Massachusetts **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) CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: STATE STREET BANK

(c) Location of administrator (city, state and country):

City: State: Country: **TORONTO**

CANADA

(d) Is the administrator a related person of your firm?

Yes No 0

IAPD - View All Page 117 of 48

(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 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?

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 28(a) is "yes", respond to questions (b) through (q) 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 GLOBAL DIVERSIFIED STRATEGIES LTD. - MASTER FUND B

(b) Private fund identification number: (include the "805-" prefix also)

805-1063923451

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

IAPD - View All Page 118 of 48

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

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 O 0

- 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 Name	Private Fund Identification Number
ALLIANCEBERNSTEIN GLOBAL DIVERSIFIED STRATEGIES (STERLING MANAGED) LTD HEDGE FUND B	805-4786993656
ALLIANCEBERNSTEIN GLOBAL DIVERSIFIED STRATEGIES (USD MANAGED) LTD HEDGE FUND B	805-2782124926

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 the 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

IAPD - View All Page 119 of 48

questions:		
(a) Name of the private fu	und:	
	GLOBAL DIVERSIFIED STRATEGIES (STERLING MANAGED) LTD	
HEDGE FUND B		
	Non-recording	
(b) Private fund identificat (include the "805-" pre		
805-4786993656	sin disc)	
(c) Under the laws of wha	it state or country is the private fund organized:	
State:	Country:	
	CAYMAN ISLANDS	
	ONTWATE LANDS	
(d) Name(s) of General Pa	artner, Manager, Trustee, or Directors (or persons serving in a similar	
capacity):		
Name of General Pa	artner, Manager, Trustee, or Director	
DENNIS HUNTER, KAF	RLA BODDEN, MARK MANLEY	
(e) The private fund (chec	ck all that apply; you must check at least one):	
(1) qualifies for	the exclusion from the definition of investment company under section	3
	ent Company Act of 1940	
(2) qualifies for	the exclusion from the definition of investment company under section	3
	ent Company Act of 1940	_
1 1	ntry, in English, of each foreign financial regulatory authority with which	h
the private fund is reg		
	No Information Filed	
		_
7. If you are filing a single So	chedule 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 fu		
ALLIANCEBERNSTEIN FUND B	GLOBAL DIVERSIFIED STRATEGIES (USD MANAGED) LTD HEDGE	
U ONO D		
(1) D		

(b) Private fund identification number: (include the "805-" prefix also)

805-2782124926

(c) Under the laws of what state or country is the private fund organized: State: Country:

Page 120 of 48 IAPD - View All

	CAYMAN ISLANDS	
	(d) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):	
	Name of General Partner, Manager, Trustee, or Director	
	DENNIS HUNTER, KARLA BODDEN, MARK MANLEY	
	(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 (c)(1) of the Investment Company Act of 1940	3
	(2) qualifies for the exclusion from the definition of investment company under section (c)(7) of the Investment Company Act of 1940	3
	(f) List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.	h
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feed funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would als be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple class (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. Yes	50 SE
3.	(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?	Ć
	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, whether or not they are also private funds, or registered investment companies.	
	Yes	N
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 C liquidity fund C private equity fund C real estate fund C securitized asset fund	
	C venture capital fund C Other private fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	9
11.	Current gross asset value of the private fund: \$ 97,665,351	

IAPD - View All Page 121 of 48

\sim			
O١	мr	iers	ship

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:

89

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

2%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

23%

Your Advisory Services

Yes No

17. (a) Are you a subadviser to this private fund?

0

(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 other investment advisers 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?

20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely 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):

IAPD - View All Page 122 of 48

No	Inform	nation	Fil	led
110		iation		ıva

В.	SERVICE	PROVIDERS
υ.	SERVICE	THOUDENS

<u>Auditors</u>	
	Yes No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	<u>•</u> 0

(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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?

Yes No O

- (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?
- (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?

C

Yes No

0

- (g) Are the private fund's audited financial statements distributed to the private fund's investors?

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

Yes \(\bigcap \) No \(\bigcap \) 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?

If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker

IAPD - View All Page 123 of 48

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 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: State: Country:

NEW YORK

New York 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 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: State: Country:

NEW YORK

New York UNITED STATES

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



IAPD - View All Page 124 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

STATE STREET BANK AND TRUST CO

(c) Primary business name of custodian: STATE STREET BANK AND TRUST CO

(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):

City: State: Country:

BOSTON

UNITED STATES Massachusetts

Yes No

0

(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):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK

IAPD - View All Page 125 of 48

(c) Location of administrator (city, st	tate and country):		
	City: TORONTO	State:	Country:	
	TORONTO		CANADA	
				Yes No
(d) Is the administrator a related per	rson of your firm?		o 🧧
	e) Does the administrator prepare a investors? • Yes (provided to all investors) • No (provided to no investors)	_	·	e fund's
(f) If the answer to 26(e) is "no" or ' (rest of the) private fund's invest (rest of the) private fund's invest	cors? If investor acco	ount statements are not sent to	

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 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 INTERNATIONAL ALL-COUNTRY PASSIVE SERIES

(b) Private fund identification number: (include the "805-" prefix also)

IAPD - View All Page 126 of 48

805-2453565802

2.	Under the laws of what state or country is the private fund organized: State: Country:
	Delaware UNITED STATES
3.	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):
	\Box (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 N
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 N
	(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 the 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

IAPD - View All Page 127 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund INSTITUTIONAL FUND

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

IAPD - View All Page 128 of 48

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

Yes No

21. Does the private fund rely 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

021-1

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

١	•	0
	•	- (0)

(2) Are the financial statements prepared in accordance with U.S. GAAP?

0	0
---	---

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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:

IAPD - View All Page 129 of 48

					i
		PRICEWATERHOUSECOO	PERS		
	(c)		ing firm's office respon	sible 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 in	dependent public acco	untant?	<u>•</u> С
	(e)) Is the auditing firm regis	tered with the Public C	Company Accounting Oversight Board?	<u>о</u> с
	(f)	If "yes" to (e) above, is t Company Accounting Ove		ct to regular inspection by the Public dance with its rules?	<u>о</u> с
(g)		the private fund's auditedestors?	I financial statements (distributed to the private fund's	Yes No
(h)		es the report prepared by t	the auditing firm conta	in an unqualified opinion?	
	•	Yes O No O Report Not	Yet Received		
		ou check "Report Not Yet I late your response when the		romptly file an amendment to your For	m ADV to
<u>Prime</u>	Bro	<u>ker</u>			
					Yes No
24. (a)) Doe	es the private fund use one	e or more prime broker	rs?	0 🧧
	the		orivate fund uses more	s (b) through (e) below for each prime than one prime broker, you must com broker.	
			No Informat	ion Filed	
<u>Custo</u>	<u>dian</u>				Yes No
25. (a)		es the private fund use any ne or all of its assets?	y custodians (including	the prime brokers listed above) to hole	_
	priv		ate fund uses more tha	s (b) through (f) below for each custod n one custodian, you must complete qu	
	Add	ditional Custodian Infor	mation : 1 Record(s) Filed.	
	pri		ate fund uses more th	ns (b) through (f) below for each custo an one custodian, you must complete dian.	dian the

Page 130 of 48 IAPD - View All

(b)	Legal name of custodian: STATE STREET BANK & TRUST CO	OMPANY		
(c)	c) Primary business name of custodian: SSB			
(d)	The location of the custodian's off state and country):	fice responsible for cu	ustody of the private fund's ass	sets (city,
	City:	State:	Country:	
	TORONTO		CANADA	
				Yes No
(e)	Is the custodian a related person	of your firm?		o 🧿
(f)	If the custodian is a broker-deale	r, provide its SEC reg	istration number (if any)	
	8 - 73 CRD Number (if any):			

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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

use	If the answer to 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 the administrator: SSB					
(c)	(c) Location of administrator (city, state and country): City: State: Country: TORONTO CANADA					
(d)	(d) Is the administrator a related person of your firm?					
(e)	(e) Does the administrator prepare and send investor account statements to the private fund's investors?					
	CYes (provided to all investors)	Some (provided to	some but not all investors)			

IAPD - View All Page 131 of 48

No (provided to no investors)

(f) If the answer to 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.

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 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 INTERNATIONAL STRATEGIC VALUE SERIES

(b) Private fund identification number: (include the "805-" prefix also)

805-4204088510

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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)

Page 132 of 48 IAPD - View All

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
	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 the 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.
0	Yes No
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?
	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, whether or not they are also private funds, or

IAPD - View All Page 133 of 48

registered investment companies. 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? C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund INSTITUTIONAL FUND NOTE: For funds of funds, refer to the funds in which the private fund invests. 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: \$80,779,064 **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 person: 0% 15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds: 0% 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 other investment advisers advise the private fund?



IAPD - View All Page 134 of 48

	If the answer to	de the name and SEC file number, if any, of t question 18(a) is "no," leave this question bla formation Filed	
19. Are your clients solicited to inves	it in the private fo	und?	Yes No
20. Approximately what percentage 1%	of your clients ha	s invested in the private fund?	
Private Offering			
21. Does the private fund rely on an D of the Securities Act of 1933?	exemption from	registration of its securities under Regulation	Yes No
22. If yes, provide the private fund's	Form D file num	ber (if any):	
Form D file number			
021-67332			
B. SERVICE PROVIDERS <u>Auditors</u>			
23. (a) (1) Are the private fund's fina	ancial statements	s subject to an annual audit?	Yes No
(2) Are the financial statemen	nts prepared in a	ccordance with U.S. GAAP?	<u>ο</u> ο
	firm, you must co	questions (b) through (f) below. If the private omplete questions (b) through (f) separately	
If the answer to 23(a)(1) is	"yes," respond to aditing firm, you r firm. m:	o questions (b) through (f) below. If the priva must complete questions (b) through (f)	te
(c) The location of the audit state and country):	ing firm's office r	responsible for the private fund's audit (city,	
City:	State:	Country:	
NEW YORK	New York	UNITED STATES	
(d) Is the auditing firm an ir	ndependent publi		Yes No
(e) Is the auditing firm regis	stered with the Pu	ublic Company Accounting Oversight Board?	<u>•</u> с

IAPD - View All Page 135 of 48

(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 distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?



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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **UNITED STATES**

Yes No

IAPD - View All Page 136 of 48

(e) Is the custodian a related person of your firm?	O	Ô
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)		
- CRD Number (if any):		

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

Illinois **UNITED STATES**

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 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

IAPD - View All Page 137 of 48

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 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 LEGACY SECURITIES MASTER FUND L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-6590227211

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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 LEGACY SECURITIES MANAGEMENT, L.P.

- 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

IAPD - View All Page 138 of 48

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 Name	Private Fund Identification Number
ALLIANCEBERNSTEIN LEGACY SECURITIES (C1), L.P.	805-2221478970
ALLIANCEBERNSTEIN LEGACY SECURITIES (DELAWARE) L.P.	805-9030387591

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 the 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 LEGACY SECURITIES (C1), L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-2221478970

(c) Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

(d) 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 LEGACY SECURITIES MANAGEMENT, LTD.

IAPD - View All Page 139 of 48

(e)	The private fund (check all that app	oly; you must check at least one):
		(1) qualifies for the exclusion (c)(1) of the Investment Company	from the definition of investment company under section 3 Act of 1940
		(2) qualifies for the exclusion (c)(7) of the Investment Company	from the definition of investment company under section 3 Act of 1940
(f)	List the name and country, in English the private fund is registered.	sh, of each foreign financial regulatory authority with which
		Name of Country/English Name	of Foreign Financial Regulatory Authority
		Other - CAYMAN ISLANDS MONETA	ARY AUTHORITY
t q	o t Jue		ection 7.B.(1) for a master-feeder arrangement according 1), for each of the feeder funds answer the following
		ALLIANCEBERNSTEIN LEGACY SECU	JRITIES (DELAWARE) L.P.
(b)	Private fund identification number: (include the "805-" prefix also) 805-9030387591	
(c)	Under the laws of what state or cou State:	untry is the private fund organized: Country:
		Delaware U	INITED STATES
(d)	Name(s) of General Partner, Manag capacity):	er, Trustee, or Directors (or persons serving in a similar
		Name of General Partner, Mana	ger, Trustee, or Director
		ALLIANCEBERNSTEIN LEGACY SEC	URITIES MANAGEMENT, L.P.
(e)	The private fund (check all that app (1) qualifies for the exclusion	oly; you must check at least one): from the definition of investment company under section 3
		(c)(1) of the Investment Company	
		(2) qualifies for the exclusion (c)(7) of the Investment Company	from the definition of investment company under section 3 Act of 1940
(f)	List the name and country, in Englis the private fund is registered.	sh, of each foreign financial regulatory authority with which
			No Information Filed

IAPD - View All Page 140 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

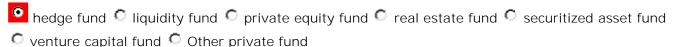
NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.

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?



NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 4,295,522,703

Ownership

12. Minimum investment commitment required of an investor in the private fund:

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:

22

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

76%

IAPD - View All Page 141 of 48

Vour	Advisory	Sarvicas
rour	AUVISULV	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 other investment advisers 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.

Name of Other Adviser to private fund	SEC file number	CRD number
GREENFIELD PARTNERS, LLC	801-72720	155968

Yes No

19. Are your clients solicited to invest in the private fund?



20. Approximately what percentage of your clients has invested in the private fund?

Private Offering

Yes No

- 21. Does the private fund rely 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

<u>Auditors</u>

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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

IAPD - View All Page 142 of 48

	1				1
			uditing firm's office re	esponsible for the private fund's audit (city,	
	- 1	state and country): City:	State:	Country:	
		NEW YORK	New York	UNITED STATES	
					Yes No
	(d)	Is the auditing firm ar	n independent public	accountant?	<u>•</u> с
	(e)	Is the auditing firm re	egistered with the Pul	ublic Company Accounting Oversight Board?	o
				subject to regular inspection by the Public accordance with its rules?	o o
	-				Yes No
		the private fund's audi	ited financial stateme	ents distributed to the private fund's	© C
			by the auditing firm (contain an unqualified opinion?	
	•	Yes C No C Report N	Not Yet Received		
		ou check "Report Not Y ate your response whe		oust promptly file an amendment to your Formable.	m ADV to
<u>Prime</u>	Brok	<u>cer</u>			\ N.
24. (a)	Does	s the private fund use	one or more prime b	prokers?	Yes No
	If the	ne answer to 24(a) is "y	yes," respond to ques he private fund uses r	estions (b) through (e) below for each prime more than one prime broker, you must com	broker
	•	•		ormation Filed	
Custod	<u>naik</u>				Yes No
		s the private fund use are or all of its assets?	any custodians (inclu	uding the prime brokers listed above) to hold	
	If the	ne answer to 25(a) is "y	private fund uses more	estions (b) through (f) below for each custodi re than one custodian, you must complete qu	
	Add	ditional Custodian In	nformation : 1 Reco	ord(s) Filed.	
	priv		private fund uses mo	nestions (b) through (f) below for each custoo ore than one custodian, you must complete custodian.	dian the
	(b)	Legal name of custodi	ian:		
					Į.

IAPD - View All Page 143 of 48

	THE BANK OF NEW YORK MELLON TRUST COMPANY, N.A.						
(c)	c) Primary business name of custodian: BONY MELLON						
(d)	The location of the custo state and country):	dian's office responsib	le for custody of the private fund's asso	ets (c	ity,		
	City:	State:	Country:				
	NEW YORK	New York	UNITED STATES				
				Yes	No		
(e)	Is the custodian a related	d person of your firm?		0	•		
(f)	f) If the custodian is a broker-dealer, provide its SEC registration number (if any)						
	-						
	CRD Number (if any):						

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrat BNY MELLON	or:				
(c) Location of administrato City: NEW YORK	r (city, state and c State:	ountry): Country:			
	New York	UNITED STATES			
(d) Is the administrator a re	lated person of yo	r firm?	Yes No		
(e) Does the administrator prepare and send investor account statements to the private fund's investors?					
Yes (provided to all in	vestors) CSome (provided to some but not all inve	stors)		
No (provided to no in	•		•		

IAPD - View All Page 144 of 48

(f) If the answer to 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." BONY

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

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 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 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. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

IAPD - View All Page 145 of 48 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?



(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 the 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.

Yes No

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?

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, whether or not they are also private funds, or

IAPD - View All Page 146 of 48

registered investment companies.

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?

Phedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 52,309,955

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:

11

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

75%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

10%

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 other investment advisers advise the private fund?



IAPD - View All Page 147 of 48

		d. If the answer to	de the name and SEC file number, if any, of a question 18(a) is "no," leave this question bla formation Filed	
19.	Are your clients solicited to inv	est in the private f	und?	Yes No
20.	Approximately what percentag 1%	e of your clients ha	is invested in the private fund?	
<u>Pri</u>	vate Offering			
21.	Does the private fund rely on a D of the Securities Act of 1933		registration of its securities under Regulation	Yes No
22.	If yes, provide the private fund	d's Form D file num	ber (if any):	
	Form D file number			
	021-166625			
	SERVICE PROVIDERS ditors			Voc No
23.	(a) (1) Are the private fund's f	inancial statements	s subject to an annual audit?	Yes No
	(2) Are the financial staten	nents prepared in a	ccordance with U.S. GAAP?	<u>•</u> О
			questions (b) through (f) below. If the privat omplete questions (b) through (f) separately	
	Additional Auditor Infor	mation : 1 Record	d(s) Filed.	
		auditing firm, you i	o questions (b) through (f) below. If the priva must complete questions (b) through (f)	nte
	(b) Name of the auditing	firm:		
	PRICEWATERHOUSEC	OOPERS		
	(c) The location of the au state and country):	diting firm's office r	responsible for the private fund's audit (city,	
	City: NEW YORK	State:	Country:	
	NEW TOTAL	New York	UNITED STATES	
	(d) Is the auditing firm ar	ı independent publi	c accountant?	Yes No
	(c)			U
	(e) Is the auditing firm re	gistered with the P	ublic Company Accounting Oversight Board?	<u>•</u> с

IAPD - View All Page 148 of 48

(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 distributed to the private fund's (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes C No C 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? If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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. (b) Legal name of custodian: STATE STREET BANK (c) Primary business name of custodian: STATE STREET BANK

State:

state and country):

City:

TORONTO

(d) The location of the custodian's office responsible for custody of the private fund's assets (city,

Country:

CANADA

Yes No

IAPD - View All Page 149 of 48

(e) Is the custodian a related person of your firm?	О	Ô
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)		
- CRD Number (if any):		

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 26(a) is "yes," respond to questions (b) through (f) below. If the private fur uses more than one administrator, you must complete questions (b) through (f) separately f each administrator.	
(b) Name of the administrator: INTERNATIONAL FUND SERVICES	

(c) Location of administrator (city, state and country): State: City: Country:

DUBLIN

IRELAND

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?

Some (provided to all investors) Some (provided to some but not all investors)

No (provided to no investors)

(f) If the answer to 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

IAPD - View All Page 150 of 48

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 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 RECOVERY ASSET SECURITIES MASTER FUND, L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-7678703115

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. 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 RECOVERY ASSET SECURITIES MANAGEMENT LLC

- 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

IAPD - View All Page 151 of 48

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?

IPrivate Fund Name	Private Fund Identification Number
ALLIANCEBERNSTEIN RECOVERY ASSET SECURITIES CAYMAN FUND, L.P.	805-7934327680
ALLIANCEBERNSTEIN RECOVERY ASSET SECURITIES DELAWARE FUND, L.P.	805-3930673392

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 the 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 RECOVERY ASSET SECURITIES CAYMAN FUND, L.P.

(b) Private fund identification number: (include the "805-" prefix also) 805-7934327680

(c) Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

(d) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Page 152 of 48 IAPD - View All

١	Name of General Partner, Manager, Trustee, or Director
	ALLIANCEBERNSTEIN RECOVERY ASSET SECURITIES MANAGEMENT LLC
	ALLIANGEDERNOTEIN REGOVERT ASSET SECONTITES MANAGEMENT EEC
	(e) The private fund (check all that apply; you must check at least one):
	\Box (1) qualifies for the exclusion from the definition of investment company under section (c)(1) of the Investment Company Act of 1940
	(2) qualifies for the exclusion from the definition of investment company under section (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
Г	
-	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 RECOVERY ASSET SECURITIES DELAWARE FUND, L.P.
	(b) Private fund identification number: (include the "805-" prefix also) 805-3930673392
	(c) Under the laws of what state or country is the private fund organized: State: Country:
	Delaware UNITED STATES
	(d) 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 RECOVERY ASSET SECURITIES MANAGEMENT LLC
	(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 (c)(1) of the Investment Company Act of 1940
	(2) qualifies for the exclusion from the definition of investment company under section (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.

IAPD - View All Page 153 of 48

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

Q	(2)	I۵	thic	nrivato	fund	3	"fund	α f	funds"?
Ο.	(a)	1.5	UIII	DIIVate	Tunu	a	Turiu	OI	Tulius (

(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

Phedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

IAPD - View All Page 154 of 48

16.	What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	
<u>Yo</u>	ur 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 other investment advisers advise the private fund?	္ 🤦
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of th advisers to the private fund. If the answer to question 18(a) is "no," leave this question blan	
	No Information Filed	
		Yes No
19.	Are your clients solicited to invest in the private fund?	O 🧧
20.	Approximately what percentage of your clients has invested in the private fund? 0%	
<u>Pri</u>	vate Offering	\/ NI -
21.	Does the private fund rely 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. S	SERVICE PROVIDERS	
Λ	ditors	
Au		Yes No
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?	O
	(2) Are the financial statements prepared in accordance with U.S. GAAP?	© 0
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private uses more than one auditing firm, you must complete questions (b) through (f) separately for auditing firm.	
	Additional Auditor Information : 1 Record(s) Filed.	
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.	e

Page 155 of 48 IAPD - View All

	(b)	Name of the auditing PRICEWATERHOUSE	=						
	(c)	The location of the austate and country):	f the auditing firm's office responsible for the private fund's audit (city,						
		City: NEW YORK	State:	Country:					
		NEW YORK	New York	UNITED STATES					
	(d)	Is the auditing firm a	an independent public ac	:countant?	Yes No				
	(e)	Is the auditing firm r	egistered with the Public	c Company Accounting Oversight Board?	o o				
	(f)	, ,	e, is the auditing firm sub g Oversight Board in acco	oject to regular inspection by the Public ordance with its rules?	o o				
					NI.				
(g)		the private fund's audestors?	dited financial statement	s distributed to the private fund's	Yes No				
(h)			_	ntain an unqualified opinion?					
	If yo			t promptly file an amendment to your For e.	rm ADV to				
<u>Prime</u>	Brol	ker							
24 (a)	Doe	e the private fund use	e one or more prime brok	bore?	Yes No				
24. (u)		·	·	ners: ons (b) through (e) below for each prime	-				
	the	private fund uses. If the		ore than one prime broker, you must com					
			No Inform	nation Filed					
Custoc	<u>nait</u>				34 - Ni.				
25. (a)		es the private fund use ne or all of its assets?	any custodians (includi	ng the prime brokers listed above) to hol	Yes No				
	priva		private fund uses more t	ons (b) through (f) below for each custod han one custodian, you must complete q					
	Ado	ditional Custodian I	nformation : 1 Record	(s) Filed.					
				tions (b) through (f) below for each custo than one custodian, you must complete	odian the				

IAPD - View All Page 156 of 48

qu	questions (b) through (f) separately for each custodian.									
(b)	(b) Legal name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD									
(c)	(c) Primary business name of custodian: STATE STREET BANK CAYMAN TRUST COMPANY LTD									
(d)	The location of the custodian's office state and country):	: responsible	e for custody of the private fund's assets (city,							
	City: CAYMAN ISLANDS	State:	Country:							
	CATMAN ISLANDS		CAYMAN ISLANDS							
			Yes No							
(e)	Is the custodian a related person of	your firm?	o <u>•</u>							
(f)	If the custodian is a broker-dealer, p	orovide its S	EC registration number (if any)							
	CRD Number (if any):									
1										

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK CAYMAN TRUST COMPANY LTD

(c) Location of administrator (city, state and country):

City: State: Country:

CAYMAN ISLANDS

CAYMAN ISLANDS

Yes No

(d) Is the administrator a related person of your firm?

0

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

IAPD - View All Page 157 of 48

> Cyes (provided to all investors) Cyome (provided to some but not all investors) No (provided to no investors)

(f) If the answer to 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%

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 28(a) is "yes", respond to questions (b) through (q) 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 PANORAMA FUND, L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-5252286259

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

IAPD - View All Page 158 of 48

	Name of General Partner, Manager, Trustee, or Director
	ALLIANCEBERNSTEIN SELECT PANORAMA MANAGEMENT, L.P.
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
	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 the 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.
	Yes No
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?

0 0

IAPD - View All Page 159 of 48

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, whether or not they are also private funds, or registered investment companies.

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	C liquidity	fund (private	equity fun	d O	real estate	fund	О	securitized	asset f	fund
\circ	venture capi	ital fund C	Other	private fui	nd							

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 14,126,549

<u>Ownership</u>

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:

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

100%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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

APD - View All		Page	160 of 48		
			Yes No		
18. (a) Do any other investment a	dvisers advise the	private fund?	o 🧧		
		vide the name and SEC file number, if any, of question 18(a) is "no," leave this question bla			
	No In	formation Filed			
19. Are your clients solicited to inv	vest in the private f	fund?	Yes No		
20. Approximately what percentagon %	e of your clients ha	as invested in the private fund?			
Private Offering					
21. Does the private fund rely on a D of the Securities Act of 1933		registration of its securities under Regulation	Yes No		
22. If yes, provide the private fund	d's Form D file num	nber (if any):			
Form D file number					
021-173862					
B. SERVICE PROVIDERS Auditors					
			Yes No		
23. (a) (1) Are the private fund's f		-	<u>•</u> 0		
(2) Are the financial stater	nents prepared in a	accordance with U.S. GAAP?	<u> </u>		
		o questions (b) through (f) below. If the privat complete questions (b) through (f) separately			
Additional Auditor Infor	mation : 1 Recor	rd(s) Filed.			
	auditing firm, you	to questions (b) through (f) below. If the priva must complete questions (b) through (f)	ate		
_	(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS				
(c) The location of the au state and country):	diting firm's office	responsible for the private fund's audit (city,			
City: NEW YORK	State:	Country:			
INEVV TORK	New York	UNITED STATES			
	a indonosado - t ! !	lia coccuptant?	Yes No		
(d) Is the auditing firm ar	тпаерепаетт ривг	nc accountant?			

IAPD - View All Page 161 of 48

				<u>о</u> о
	(a) Is the auditing firm reg	istared with the Du	blic Company Accounting Oversight Board?	ō o
	(e) is the additing him reg	istered with the Fu	blic company Accounting oversight boards	<u> </u>
			subject to regular inspection by the Public ccordance with its rules?	o 0
	Are the private fund's audite investors?	ed financial stateme	ents distributed to the private fund's	Yes N
(h)	Does the report prepared by	the auditing firm (contain an unqualified opinion?	
	Yes No Report No			
	If you check "Report Not Ye update your response when		ust promptly file an amendment to your For ble.	m ADV to
Prime	<u>Broker</u>			
				Yes N
24. (a)	Does the private fund use of	ne or more prime b	rokers?	<u>•</u> (
			stions (b) through (e) below for each prime more than one prime broker, you must com	
	questions (b) through (e) se			ipicte
	Additional Prime Broker	Information : 1 R	ecord(s) Filed.	
		e private fund uses	estions (b) through (e) below for each prim s more than one prime broker, you must co prime broker.	
	(b) Name of the prime brol MORGAN STANLEY & C			
	(c) If the prime broker is re	egistered with the :	SEC, its registration number:	
	8 - 15869			
	CRD Number (if any): 8209			
	(d) Location of prime broke	er's office used prin	cipally by the private fund (city, state and c	country):
	City:	State:	Country:	3,
	NEW YORK	New York	UNITED STATES	
				Yes No
	(e) Does this prime broker	act as custodian fo	r some or all of the private fund's assets?	0

<u>Custodian</u>

IAPD - View All Page 162 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

Country:

BOSTON

Massachusetts

UNITED STATES

Yes No

(e) Is the custodian a related person of your firm?

State:



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

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

INTERNATIONAL FUND SERVICES

IAPD - View All Page 163 of 48

` ′	`	3,		
	City: DUBLIN	State:	Country:	
	DODLIN		IRELAND	
				Yes No
(d)	Is the administrator a related	d person of your firm?		O 🧧
(e)	Does the administrator prepainvestors?	are and send investor a	account statements to the private	fund's
	Yes (provided to all invest	tors) 💆 Some (provide	d to some but not all investors)	
	CNo (provided to no investo	ors)		
(f)	If the answer to 26(e) is "no	" or "some " who send	s the investor account statements	s to the
(1)		nvestors? If investor ac	count statements are not sent to	

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 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 HOLDINGS LP

(b) Private fund identification number: (include the "805-" prefix also)

IAPD - View All Page 164 of 48

805-4379556060

2.	Under the	laws of wha	t state or	country is t	the private	fund organized:

State: Country:

Delaware

UNITED STATES

3. 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

- 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?

Private Fund Name	Private Fund Identification Number
ALLIANCEBERNSTEIN SELECT US EQUITY (BVI) LIMITED	805-7151027046
ALLIANCEBERNSTEIN SELECT US EQUITY LLC	805-5344596545

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 the 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:

IAPD - View All Page 165 of 48

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 SELECT US EQUITY (BVI) LIMITED

(b) Private fund identification number: (include the "805-" prefix also)

805-7151027046

(c) Under the laws of what state or country is the private fund organized:

State: Country:

BRITISH VIRGIN ISLANDS

(d) 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

- (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:

ALLIANCEBERNSTEIN SELECT US EQUITY LLC

(b) Private fund identification number: (include the "805-" prefix also)

805-5344596545

IAPD - View All Page 166 of 48

	(c) Under the laws of what state or country is the private fund organized: State: Country:	
	Delaware UNITED STATES	
	(d) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):	r
	Name of General Partner, Manager, Trustee, or Director	
	ALLIANCEBERNSTEIN SELECT US EQUITY MANAGEMENT LLC	
	(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 (c)(1) of the Investment Company Act of 1940	on 3
	 (2) qualifies for the exclusion from the definition of investment company under section (c)(7) of the Investment Company Act of 1940 	on 3
	(f) List the name and country, in English, of each foreign financial regulatory authority with what the private fund is registered.	nich
	No Information Filed	
	series) of shares or interests, and each class (or series) invests substantially all of its assets in gle master fund. Ye	a es No
3 .	Is this private fund a "fund of funds"?	9 6
	If yes, does the private fund invest in funds managed by you or by a related person?	0 0
	TE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of it all assets in other pooled investment vehicles, whether or not they are also private funds, or istered investment companies.	ts
	Ye	es No
	ring your last fiscal year, did the private fund invest in securities issued by investment inpanies registered under the Investment Company Act of 1940 (other than "money market ds," to the extent provided in Instruction 6.e.)?) <u>©</u>
0.	at type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund	nd
	venture capital fund C Other private fund	
	TE: For funds of funds, refer to the funds in which the private fund invests. For definitions of th d types, please see Instruction 6 of the Instructions to Part 1A.	ese
1	rent gross asset value of the private fund:	

IAPD - View All Page 167 of 48

\$ 506,693,158

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:

32

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

1%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?



IAPD - View All Page 168 of 48 22. If yes, provide the private fund's Form D file number (if any): No Information Filed

B. SERVICE PROVIDERS

<u>Auditors</u>

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

Yes No

(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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

 \circ

- (d) Is the auditing firm an independent public accountant?
- (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C
- (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?

 \circ

(g) Are the private fund's audited financial statements distributed to the private fund's

Yes No

- (h) Does the report prepared by the auditing firm contain an unqualified opinion?
 - 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

IAPD - View All Page 169 of 48

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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,

IAPD - View All Page 170 of 48

	state and country	/):				
	City:	State:	Country:			
	BOSTON	Massachusetts	UNITED STATES			
				Yes No		
(e) Is the custodian a related person of your firm?				0		
(f) If the custodian is	s a broker-dealer, provide its SE	C registration number (if any)			
	-					
	CRD Number (if any):					

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

		311 1 113331 4 (5	,,		
use	he answer to 26(a) is "yes," respon es more than one administrator, you ch administrator.				
(b)	Name of the administrator: INTERNATIONAL FUND SERVICES				
(c)	Location of administrator (city, stat	te and country):			
	City: State	_	Country:		
	DUBLIN	IRELAND			
(d)	Is the administrator a related person	on of your firm?		Yes No	
(e)	(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)				
	CNo (provided to no investors)				
(f)	If the answer to 26(e) is "no" or "s (rest of the) private fund's investor				

(rest of the) private fund's investors, respond "not applicable."

IAPD - View All Page 171 of 48

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 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 (q) 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: Country:

Delaware **UNITED STATES**

3. 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

- 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

IAPD - View All Page 172 of 48

private fund is registered.

No Information Filed

Yes No

(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 Name	Private Fund Identification Number
ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT (BVI) LIMITED	805-6929989379
ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT LLC	805-9360655728

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 the 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 SELECT US EQUITY LONG/SHORT (BVI) LIMITED

(b) Private fund identification number: (include the "805-" prefix also)

805-6929989379

(c) Under the laws of what state or country is the private fund organized:

State: Country:

BRITISH VIRGIN ISLANDS

IAPD - View All Page 173 of 48

capacity):
Name of General Partner, Manager, Trustee, or Director
ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT MANAGEMENT LLC
(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 $(c)(1)$ of the Investment Company Act of 1940
(2) qualifies for the exclusion from the definition of investment company under section (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:
ALLIANCEBERNSTEIN SELECT US EQUITY LONG/SHORT LLC
(b) Private fund identification number: (include the "805-" prefix also) 805-9360655728
(c) Under the laws of what state or country is the private fund organized: State: Country:
Delaware UNITED STATES
Delaware ONTIED STATES
(d) 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
(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 (c)(1) of the Investment Company Act of 1940
(2) qualifies for the exclusion from the definition of investment company under section (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

IAPD - View All Page 174 of 48

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.

Yes No

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?

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, whether or not they are also private funds, or registered investment companies.

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?
 - Phedge fund Inquidity fund private equity fund real estate fund securitized asset fund venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 100,415,744

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 person:

100%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

IAPD - View All	age 175 of 48
0%	
16. What is the approximate percentage of the private fund beneficially owned by non-United S persons:0%	tates
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, adviser of the private fund. If the answer to question 17(a) is "no," leave this question by	
No Information Filed	\/ NI
18. (a) Do any other investment advisers 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, advisers to the private fund. If the answer to question 18(a) is "no," leave this question No Information Filed	
	Yes No
19. Are your clients solicited to invest in the private fund?	<u>•</u> О
20. Approximately what percentage of your clients has invested in the private fund? 0%	
Private Offering	
21. Does the private fund rely on an exemption from registration of its securities under Regulat 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	
<u>Auditors</u>	
	Yes No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	<u> </u>
(2) Are the financial statements prepared in accordance with U.S. GAAP?	<u> </u>
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the privuses more than one auditing firm, you must complete questions (b) through (f) separate auditing firm.	

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f)

Additional Auditor Information: 1 Record(s) Filed.

Page 176 of 48 IAPD - View All

separately fo	r each auditing	firm.					
' '	(b) Name of the auditing firm:						
.							
City: NEW YOR	-	State:	(Country:			
NEW TON	.ix	New York	l	JNITED STATES			
(d) Is the au	diting firm an in	dependent publi	lic accour	ntant?	Yes No		
(e) Is the au	diting firm regis	tered with the P	Public Co	mpany Accounting Oversight Boa	ard? 🧿 o		
				to regular inspection by the Pubnce with its rules?	olic 👩 🔿		
investors? (h) Does the repo Yes No If you check " update your re rime Broker 4. (a) Does the priva	rt prepared by t Report Not Yet Fesponse when the	he auditing firm Yet Received Received," you r ne report is avai	m contain must pro iilable. e brokers	an unqualified opinion? mptly file an amendment to you ? (b) through (e) below for each p	Yes No		
the private fur questions (b)	nd uses. If the p through (e) sep	rivate fund uses arately for each	es more to n prime b	han one prime broker, you must roker.			
Additional P	rime Broker I r	nformation : 1	Record	(s) Filed.			
the private fu	If the answer to 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 pri	me broker is reg	jistered with the	e SEC, its	s registration number:			
8 - 15869 CRD Num	ber (if any):						

IAPD - View All Page 177 of 48

8209

(d) Location of prime broker's office used principally by the private fund (city, state and country):

NEW YORK

UNITED STATES New York

Country:

Yes No

0

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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 25(a) is "yes," respond to questions (b) through (f) 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.

State:

If the answer to 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

State:

Country:

BOSTON

Massachusetts

UNITED STATES

Yes No

0

(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):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?

0

IAPD - View All Page 178 of 48

If the answer to 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 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 the administrator: INTERNATIONAL FUND SERVIC	EES				
(c)	Location of administrator (city, City: S-DUBLIN	state and country): tate:	Country:			
(d)	Is the administrator a related p	person of your firm?		Yes No		
(e)	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	s)				
(f)	If the answer to 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					

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?

(rest of the) private fund's investors, respond "not applicable."

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 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

Page 179 of 48 IAPD - View All

Α. Ι	PRIVATE FUND				
<u>I nf</u>	formation About the Private Fur	n <u>d</u>			
1.	 (a) Name of the private fund: ALLIANCEBERNSTEIN STRATEGIC OPPORTUNITIES FUND LP (b) Private fund identification number: (include the "805-" prefix also) 805-7066892619 				
2.	Under the laws of what state or country is the private fund organized: State: Country:				
	Delaware	UNITED STATES			
3.	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 STRATEGIC OPPORTUNITIES MANAGEMENT L.P.				
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) the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) 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 N		
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 Name		Private Fund I dentification Number		
	ALLIANCEBERNSTEIN STRATEGIC FEEDER LP	OPPORTUNITIES CAYMAN	805-1161322981		

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?

IAPD - View All Page 180 of 48

Name of the 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 auestions:
 - (a) Name of the private fund:

ALLIANCEBERNSTEIN STRATEGIC OPPORTUNITIES CAYMAN FEEDER LP

(b) Private fund identification number: (include the "805-" prefix also)

805-1161322981

(c) Under the laws of what state or country is the private fund organized: State: Country:

CAYMAN ISLANDS

(d) 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 STRATEGIC OPPORTUNITIES MANAGEMENT L.P.

- (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

IAPD - View All Page 181 of 48

	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ild al	so sses
		Yes	No
8.	(a) Is this private fund a "fund of funds"?	\circ	•
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	С
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	of its	
		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.)?	О	0

10. What type of fund is the private fund?

Phedge fund I liquidity fund I private equity fund I real estate fund I securitized asset fund C venture capital fund C Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 156,805,071

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:

27

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

IAPD - View All Page 182 of 48

69%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

Yes No

21. Does the private fund rely 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

021-140645

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

•	0
---	---

(2) Are the financial statements prepared in accordance with U.S. GAAP?

Ö	C
	2

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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:

Page 183 of 48 IAPD - View All

		PRICEWATERHOUSECO	OOPERS		
	(c)	The location of the auc state and country):	diting firm's office respons	onsible for the private fund's audit (city,	
		City:	State:	Country:	
		NEW YORK	New York	UNITED STATES	
	(d)	Is the auditing firm an	independent public ac	countant?	Yes No
	(e)	Is the auditing firm reg	gistered with the Public	: Company Accounting Oversight Board?	○ ○
	(f)	If "yes" to (e) above, i Company Accounting C		ject to regular inspection by the Public ordance with its rules?	<u>о</u> с
(g		the private fund's audit	ted financial statements	s distributed to the private fund's	Yes No
(h			_	tain an unqualified opinion?	
	If yo	Yes No Report No ou check "Report Not Ye ate your response when	et Received," you must	promptly file an amendment to your Fore.	m ADV to
Prime	Brol	<u>ker</u>			
24. (a) Doe	s the private fund use c	one or more prime brok	rers?	Yes No
	If th		'	(C) 3 :	<u>•</u> С
	the		res," respond to questic e private fund uses mo	ons (b) through (e) below for each prime re than one prime broker, you must com	broker
	the que:	private fund uses. If the	res," respond to questic e private fund uses mo eparately for each prin	ons (b) through (e) below for each prime re than one prime broker, you must com ne broker.	broker
	Add If t	private fund uses. If the stions (b) through (e) so ditional Prime Broker the answer to 24(a) is "	res," respond to questice private fund uses mo reparately for each print Information: 2 Records," respond to questing the private fund uses m	ons (b) through (e) below for each prime re than one prime broker, you must come broker. ord(s) Filed. ions (b) through (e) below for each prime ore than one prime broker, you must co	broker aplete e broker
	Add If the questions of the questions o	private fund uses. If the stions (b) through (e) so ditional Prime Broker the answer to 24(a) is "ge private fund uses. If the	res," respond to questice private fund uses mo reparately for each print Information: 2 Records," respond to questing the private fund uses maken a separately for each print oker:	ons (b) through (e) below for each prime re than one prime broker, you must come broker. ord(s) Filed. ions (b) through (e) below for each primore than one prime broker, you must come broker.	broker aplete e broker
	If t the que	private fund uses. If the stions (b) through (e) so ditional Prime Broker the answer to 24(a) is "generate fund uses. If the estions (b) through (e) Name of the prime broker t	res," respond to questice private fund uses mo reparately for each print Information: 2 Records," respond to questiche private fund uses many separately for each print oker: RITIES OF AMERICA, L	ons (b) through (e) below for each prime re than one prime broker, you must come broker. ord(s) Filed. ions (b) through (e) below for each primore than one prime broker, you must come broker.	broker aplete e broker
	If t the que	private fund uses. If the stions (b) through (e) so ditional Prime Broker the answer to 24(a) is "generate fund uses. If the estions (b) through (e) Name of the prime broker t	res," respond to questice private fund uses mo reparately for each print Information: 2 Records," respond to questiche private fund uses many separately for each print oker: RITIES OF AMERICA, L	ons (b) through (e) below for each prime re than one prime broker, you must come broker. ord(s) Filed. ions (b) through (e) below for each primore than one prime broker, you must come broker.	broker aplete e broker

IAPD - View All Page 184 of 48

> City: State: Country:

NEW YORK

UNITED STATES New York

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



If the answer to 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: State: Country:

NEW YORK

UNITED STATES New York

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



<u>Custodian</u>

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:

STATE STREET BANK

IAPD - View All Page 185 of 48

(c	l) The location of t state and count	•	e for custody of the private fund's as	ssets (city,
	City: BOSTON	State:	Country:	
		Massachusetts	UNITED STATES	
				Yes No
(∈	e) Is the custodian	a related person of your firm?		0 🧧
(f) If the custodian	is a broker-dealer, provide its S	EC registration number (if any)	
	CRD Number (if	any):		

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: STATE STREET BANK AND TRUST COMPANY (c) Location of administrator (city, state and country): City: State: Country: **BOSTON** Massachusetts **UNITED STATES** Yes No (d) Is the administrator a related person of your firm? 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 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."

IAPD - View All Page 186 of 48

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

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 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 - 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: Country:

UNITED STATES Delaware

3. 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), NORTHERN TRUST COMPANY OF DELAWARE (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 IAPD - View All Page 187 of 48

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
162	IAC

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 the 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 guestion 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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

\sim	
5.7	

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, whether or not they are also private funds, or registered investment companies.

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



IAPD - View All Page 188 of 48

funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DELAWARE BUSINESS TRUST

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 63,104,880

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

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

2%

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 other investment advisers 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

Page 189 of 48 IAPD - View All

•				
19. Are	e your clients solicited to inves	t in the private fun	d?	Yes No
20. App	proximately what percentage of	of your clients has	nvested in the private fund?	
<u>Privat</u>	e Offering			
	es the private fund rely on an of the Securities Act of 1933?	exemption from re	gistration of its securities under Regulatio	Yes No
22. <u>If</u> y	ves, provide the private fund's	Form D file number	r (if any):	
Fo	rm D file number			
02	1-124850			
B. SER\ Audito	VICE PROVIDERS <u>ors</u>			
				Yes No
23. (a)	(1) Are the private fund's fina	ancial statements s	ubject to an annual audit?	o o
	(2) Are the financial statemen	nts prepared in acc	ordance with U.S. GAAP?	o o
			uestions (b) through (f) below. If the privanglete questions (b) through (f) separately	ate fund
	Additional Auditor Inform	ation : 1 Record(s) Filed.	
		ıditing firm, you mı	questions (b) through (f) below. If the priv est complete questions (b) through (f)	vate .
	(b) Name of the auditing fire PRICEWATERHOUSECOC			
	(c) The location of the audit state and country):	ing firm's office res	ponsible for the private fund's audit (city,	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
(d) Is the aud	(d) Is the auditing firm an ir	ndependent public a	accountant?	Yes No
	(e) Is the auditing firm regis	stered with the Pub	lic Company Accounting Oversight Board?	o o
	(f) If "yes" to (e) above, is Company Accounting Ov		ubject to regular inspection by the Public cordance with its rules?	○ ○

IAPD - View All Page 190 of 48

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

Yes C No C 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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

UNITED STATES Illinois

Yes No

(e) Is the custodian a related person of your firm?

IAPD - View All Page 191 of 48

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

Illinois **UNITED STATES**

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?
- CYes (provided to all investors) CSome (provided to some but not all investors)
 - No (provided to no investors)
- (f) If the answer to 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.

IAPD - View All Page 192 of 48

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 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 TAIL HEDGE MASTER FUND LTD.

(b) Private fund identification number: (include the "805-" prefix also)

805-9277956600

2. Under the laws of what state or country is the private fund organized:

Country:

State:

CAYMAN ISLANDS

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

- 4. The private fund (check all that apply; you must check at least one):
 - \Box (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?

•

IAPD - View All Page 193 of 48

(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 Name	Private Fund I dentification Number
ALLIANCEBERNSTEIN TAIL HEDGE FUND (CAYMAN), L.P.	805-1793083220
ALLIANCEBERNSTEIN TAIL HEDGE FUND (DELAWARE), L.P.	805-8147500406

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 the 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 TAIL HEDGE FUND (CAYMAN), L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-1793083220

(c) Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

(d) 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 TAIL HEDGE MANAGEMENT, LLC

(e) The private fund (check all that apply; you must check at least one):

Page 194 of 48 IAPD - View All

	\Box (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
to qu	you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according the instructions to this Section 7.B.(1), for each of the feeder funds answer the following estions:
(a)	Name of the private fund:
	ALLIANCEBERNSTEIN TAIL HEDGE FUND (DELAWARE), L.P.
(b)	Private fund identification number: (include the "805-" prefix also) 805-8147500406
(c)	Under the laws of what state or country is the private fund organized: State: Country:
	Delaware UNITED STATES
(d)	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 TAIL HEDGE MANAGEMENT, LLC
(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

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder

No Information Filed

the private fund is registered.

IAPD - View All Page 195 of 48

	•		
	funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	class	
		Yes	N
8.	(a) Is this private fund a "fund of funds"?	0	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	O	С
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	its	
		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.)?	0	6
10.	What type of fund is the private fund?		
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	fund	
	o venture capital fund o Other private fund	ana	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	these	Э
11.	Current gross asset value of the private fund:		

Ownership

12. Minimum investment commitment required of an investor in the private fund:

\$ 5,000,000

\$ 25,035,000

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 person:

1%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

IAPD - View All Page 196 of 48

Your Advisory Services	
Yes 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. No Information Filed	
Yes 18. (a) Do any other investment advisers 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 oth advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank. No Information Filed	ner
Yes	No
	0
20. Approximately what percentage of your clients has invested in the private fund? 1%	
Private Offering	
Yes 21. Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	No ©
22. If yes, provide the private fund's Form D file number (if any):	
No Information Filed	
B. SERVICE PROVIDERS	
<u>Auditors</u>	
Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit?	No.
(2) Are the financial statements prepared in accordance with U.S. GAAP?	0
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for ea auditing firm.	
Additional Auditor Information: 1 Record(s) Filed.	
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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,	

IAPD - View All Page 197 of 48

	state and country).			
	state and country): City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm a	ın independent public	accountant?	Yes No
	(e) Is the auditing firm r	egistered with the Pu	blic Company Accounting Oversight Board?	o o
			subject to regular inspection by the Public accordance with its rules?	o 0
				Yes No
	Are the private fund's audinvestors?	lited financial stateme	ents distributed to the private fund's	<u>•</u> с
		by the auditing firm (contain an unqualified opinion?	
	Yes C No C Report i	Not Yet Received		
	If you check "Report Not" update your response who		ust promptly file an amendment to your For able.	rm ADV to
<u>Prime</u>	<u>Broker</u>			
24. (a)	Does the private fund use	one or more prime b	prokers?	Yes No
		he private fund uses	stions (b) through (e) below for each prime more than one prime broker, you must com prime broker.	
		No Info	ormation Filed	
Custoo	<u>lian</u>			Yes No
25. (a)	Does the private fund use some or all of its assets?	any custodians (inclu	uding the prime brokers listed above) to ho	
		private fund uses mor	stions (b) through (f) below for each custode than one custodian, you must complete q	
	Additional Custodian I	nformation : 1 Reco	ord(s) Filed.	
		private fund uses mo	estions (b) through (f) below for each custo ore than one custodian, you must complete custodian.	odian the
	(b) Legal name of custoo STATE STREET CAYN			

Page 198 of 48 IAPD - View All

(c) Primary business name of custodia STATE STREET BANK	ın:		
(d) The location of the custodian's office state and country):	ce responsil	ole for custody of the private fund's as	sets (city,
City: CAYMAN ISLANDS	State:	Country:	
CATMAIN ISLAINDS		CAYMAN ISLANDS	
			Yes No
(e) Is the custodian a related person of	of your firm?	?	O 🧧
(f) If the custodian is a broker-dealer	provide its	SEC registration number (if any)	
-			
CRD Number (if any):			

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

use	If the answer to 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)	(b) Name of the administrator: STATE STREET BANK							
(c)	Location of administrator (city, s City: TORONTO	tate and country): State:	Country:	Yes No				
(d)	(d) Is the administrator a related person of your firm?							
(e)	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 26(e) is "no" or	"some," who sends t	he investor account statements	s to the				

IAPD - View All Page 199 of 48

> (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

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 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 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:

State: Country:

UNITED STATES Delaware

3. 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.

4. The private fund (check all that apply; you must check at least one):

IAPD - View All Page 200 of 48

(1) c	qualifie	s for	the	exclı	usior	n fron	n the	e de	efin	nition	of	inve	stme	nt	compa	ny	under	section	3(c)(1)	of
Invest																					
(0)	11.61					•			C!										۰.	\	

(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?

Private Fund Name	Private Fund Identification Number
ALLIANCEBERNSTEIN U.S. REAL ESTATE (EMPLOYEE) FUND, L.P.	805-1188688689
ALLIANCEBERNSTEIN U.S. REAL ESTATE (HNW) FUND, L.P.	805-7591103848

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 the 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

Page 201 of 48 IAPD - View All

(c) Under the laws of state:	hat state or country is the private fund organized: Country:
Delaware	UNITED STATES
(d) Name(s) of General capacity):	Partner, Manager, Trustee, or Directors (or persons serving in a similar
Name of Genera	Partner, Manager, Trustee, or Director
ALLIANCEBERNST	N U.S. REAL ESTATE PARTNERS G.P. L.P.
(e) The private fund (d	eck all that apply; you must check at least one):
	or the exclusion from the definition of investment company under section 3 ment Company Act of 1940
	or the exclusion from the definition of investment company under section 3 ment Company Act of 1940
(f) List the name and the private fund is	ountry, in English, of each foreign financial regulatory authority with which egistered.
	No Information Filed
to the instructions to t questions: (a) Name of the privat	N U.S. REAL ESTATE (HNW) FUND, L.P. cation number:
	hat state or country is the private fund organized: Country: UNITED STATES
(d) Name(s) of General capacity):	Partner, Manager, Trustee, or Directors (or persons serving in a similar
Name of Genera	Partner, Manager, Trustee, or Director
ALLIANCEBERNST	N U.S. REAL ESTATE PARTNERS G.P. L.P.
	eck all that apply; you must check at least one):

IAPD - View All Page 202 of 48 (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. Yes No 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? 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, whether or not they are also private funds, or registered investment companies. 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? Phedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund NOTE: For funds of funds, refer to the funds in which the private fund invests. 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: \$ 565,192,469 **Ownership** 12. Minimum investment commitment required of an investor in the private fund: \$ 40,000 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:

280

IAPD - View All Page 203 of 48

	- 160 - 100 -
	nat is the approximate percentage of the private fund beneficially owned by you and your related rson:
	nat is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds funds:
	nat is the approximate percentage of the private fund beneficially owned by non-United States rsons: %
Your A	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 other investment advisers 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. Ar	e your clients solicited to invest in the private fund?
20. Ap	proximately what percentage of your clients has invested in the private fund?
<u>Privat</u>	<u>se Offering</u>
	Yes No
21. Do	bes the private fund rely 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

Yes No

IAPD - View All Page 204 of 48 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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): Citv: State: Country: **NEW YORK** New York **UNITED STATES** Yes No (d) Is the auditing firm an independent public accountant? 0 \circ (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public 0 C Company Accounting Oversight Board in accordance with its rules? Yes No (g) Are the private fund's audited financial statements distributed to the private fund's (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes C No C 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? If the answer to 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

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

Custodian

Yes No

IAPD - View All Page 205 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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.

No Information Filed

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 26(a) is "yes," respond to questions (b) through (f) below. If the private fund	b
uses more than one administrator, you must complete questions (b) through (f) separately for	r
each administrator.	

(b) Name of the administrator:

STATE STREET BANK & TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

BOSTON

Massachusetts **UNITED STATES**

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 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.

IAPD - View All Page 206 of 48

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 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 US LONG DURATION BOND SERIES

(b) Private fund identification number: (include the "805-" prefix also)

805-9971680381

2. Under the laws of what state or country is the private fund organized:

State:

Country:

Delaware

UNITED STATES

3. 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
 - (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

IAPD - View All Page 207 of 48

investing in this private fund?

	No Information Filed		
	(c) Is this a "feeder fund" in a master-feeder arrangement?	res	N
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests? Name of the Private Fund:	whi	icl
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting or funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to tl	h€
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets i single master fund.	d als class in a	so se
3.		es.	
<i>)</i> .	(h) If you does the private fund invest in funds managed by you or by a related person?	0	
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	C its	(
9.		res O	
10.	. What type of fund is the private fund?		
	hedge fund liquidity fund private equity fund real estate fund securitized asset further venture capital fund the contract of the private fund institutional fund to the contract of the contr	ınd	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of t fund types, please see Instruction 6 of the Instructions to Part 1A.	hes	е

11. Current gross asset value of the private fund:

IAPD - View All Page 208 of 48

\$ 14,327,038

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 0%

Private Offering

Yes No

21. Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

П	Į.		ł	
L		Ξ		

IAPD - View All Page 209 of 48 22. If yes, provide the private fund's Form D file number (if any): No Information Filed B. SERVICE PROVIDERS <u>Auditors</u> Yes No 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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** North Carolina **UNITED STATES** Yes No (d) Is the auditing firm an independent public accountant? \circ (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public C Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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

IAPD - View All Page 210 of 48

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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

Additional Prime Broker Information: 1 Record(s) Filed.

questions (b) through (e) separately for each prime broker.

If the answer to 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:

THERE IS NO PRIME BROKER

(c) If the prime broker is registered with the SEC, its registration number:

8 - 11111

CRD Number (if any):

(d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country:

NOWHERE

OTHER

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?





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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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,

Page 211 of 48 IAPD - View All

	state and country): City: TORONTO	State:	Country:			
(e) Is the custodian a related person of your firm?						
(f)	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)					
	8 - 73 CRD Number (if any):					

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

use	If the answer to 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 the administrator: SSB							
(c)	Location of administrator (city, s	state and country):						
	City:	State:	Country:					
	TORONTO		CANADA					
				Yes No				
(d)	Is the administrator a related per	rson of your firm?		o 🧧				
(e)	(e) Does the administrator prepare and send investor account statements to the private fund's investors?							
	Yes (provided to all investors)	''	to some but not all investors)					
	No (provided to no investors)							
(f)	If the answer to 26(e) is "no" or (rest of the) private fund's invest (rest of the) private fund's invest AB	tors? If investor acc	ount statements are not sent to					

IAPD - View All Page 212 of 48

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 28(a) is "yes", respond to questions (b) through (q) 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 US MID CAP FUNDAMENTAL GROWTH SERIES

(b) Private fund identification number: (include the "805-" prefix also)

805-8208160261

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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
 - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

IAPD - View All Page 213 of 48

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 the 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.

Yes No

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?

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, whether or not they are also private funds, or registered investment companies.

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?

IAPD - View All Page 214 of 48

	-
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund C Other private fund INSTITUTIONAL FUND
	TE: For funds of funds, refer to the funds in which the private fund invests. For definitions of these and types, please see Instruction 6 of the Instructions to Part 1A.
	rrent gross asset value of the private fund: 1,683,910
<u>Owne</u>	<u>rship</u>
	nimum investment commitment required of an investor in the private fund:
NC	TE: Report the amount routinely required of investors who are not your related persons (even if ferent from the amount set forth in the organizational documents of the fund).
13. Ap	proximate number of the private fund's beneficial owners:
	nat is the approximate percentage of the private fund beneficially owned by you and your related rson:
	nat is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds funds:
	nat is the approximate percentage of the private fund beneficially owned by non-United States rsons:
Your A	Advisory Services
17. (a)	Yes N 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
10 (a)	Yes N Do any other investment advisers advise the private fund?
	•
(0)	If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the othe advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank. No Information Filed
	Yes N
19. Are	e your clients solicited to invest in the private fund?

IAPD - View All Page 215 of 48

20. Approximately what percentage of your clients has invested in the private fund? 1%

Ρ	r	iν	a	t	е	0	f	fе	r	i	n	Q	ı

Yes No

21. Does the private fund rely 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

021-1

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?



(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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: Country:

New York UNITED STATES

Yes No

(d) Is the auditing firm an independent public accountant?

C

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

C

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public

0 -0

Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's investors?

0

Page 216 of 48 IAPD - View All

(h	n) Does the report prepared by the auditing firm contain an unqualified opinion?	
	Yes No Report Not Yet Received	
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV update your response when the report is available.	to
Prime	e Broker	
	Yes	Ν
24. (a) Does the private fund use one or more prime brokers?	C
	If the answer to 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	
Custo	<u>odian</u> Yes	N
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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.	Э
	(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):	۲,
	City: State: Country: TORONTO	
	CAYMAN ISLANDS	
	(e) Is the custodian a related person of your firm?	O 1
	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)	
	8 - 73 CRD Number (if any):	

IAPD - View All Page 217 of 48

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?

O

If the answer to 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.

uses	If the answer to 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.				
1 ` ′	ame of the administrator: SB				
(c) (ocation of administrator (city, st	tato and country):			
C	ity: ORONTO	State:	Country:		
	SKONTO		CANADA		
				Yes No	
(d) Is	the administrator a related per	rson of your firm?		c o	
	oes the administrator prepare a vestors?	and send investor acc	count statements to the private	e fund's	
- 0	Yes (provided to all investors)	Some (provided t	o some but not all investors)		
_	No (provided to no investors)	VI	,		
(r	the answer to 26(e) is "no" or est of the) private fund's invest	tors? If investor acco	ount statements are not sent to		

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%

AB

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,

Page 218 of 48 IAPD - View All

introducer, municipal advisor or other solicitor, or similar person. If the answer to 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

Α.	PRIVATE FUND		
<u>In</u> 1	<u>formation About the Private Fund</u>		
1.	 (a) Name of the private fund: BERNSTEIN ADVANCED VALUE I (b) Private fund identification numb (include the "805-" prefix also) 805-1849171615 		
2.	Under the laws of what state or cou State:	ntry is the private fund organized: Country:	
	Delaware	UNITED STATES	
3.	Name(s) of General Partner, Manag Name of General Partner, Manag ALLIANCEBERNSTEIN ADVANCED V		/):
4.	The private fund (check all that app	ly; you must check at least one):	
	the Investment Company Act of 194		
	(2) qualifies for the exclusion the Investment Company Act of 194	from the definition of investment company under section 3(c)(7)) O
5.	List the name and country, in Englis private fund is registered.	h, of each foreign financial regulatory authority with which the	
		No Information Filed	
6.	(a) Is this a "master fund" in a mas	Yes ter-feeder arrangement?	S N
	(b) If yes, what is the name and pri investing in this private fund?	vate fund identification number (if any) of the feeder funds	
		No Information Filed	
		Yes	i N

(c) Is this a "feeder fund" in a master-feeder arrangement?

IAPD - View All Page 219 of 48

	(d) If yes, what is the name and private fund identification number (if any) of the master fund ir this private fund invests?	n whicl
	Name of the Private Fund:	
	Private Fund Identification Number: (include the "805-" prefix also)	
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whethe are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.	
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to the
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund woul be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ld also classe in a
8.	(a) Is this private fund a "fund of funds"?	Yes N
0.	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not 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.)?	Yes N
10.	What type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	fund
	C venture capital fund C Other private fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	these
11.	Current gross asset value of the private fund: \$ 115,462,791	
<u>Ov</u>	<u>vnership</u>	
12.	Minimum investment commitment required of an investor in the private fund: \$500,000	

IAPD - View All Page 220 of 48

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:

93

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

8%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely 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

021-56614

B. SERVICE PROVIDERS

IAPD - View All Page 221 of 48

 I				- 1.61 11
Audito	<u>ors</u>			Yes No
23. (a)	(1) Are the private fund's fi	inancial statements	s subject to an annual audit?	es No
	(2) Are the financial statem	nents prepared in a	ccordance with U.S. GAAP?	<u> </u>
			questions (b) through (f) below. If the omplete questions (b) through (f) sepa	
	Additional Auditor Infor	mation : 1 Record	d(s) Filed.	
		auditing firm, you r	o questions (b) through (f) below. If th must complete questions (b) through (f	
(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS				
	(c) The location of the aud state and country):	diting firm's office r	responsible for the private fund's audit	(city,
	City: NEW YORK	State:	Country:	
	INEW TORK	New York	UNITED STATES	
	(d) Is the auditing firm an	independent publi	c accountant?	Yes No
	(e) Is the auditing firm reg	gistered with the Po	ublic Company Accounting Oversight Bo	oard? 🧿 o
			subject to regular inspection by the Puaccordance with its rules?	ıblic 🧿 💍
(g)	Are the private fund's audit investors?	ed financial statem	nents distributed to the private fund's	Yes No
(h)	Does the report prepared b	y the auditing firm	contain an unqualified opinion?	
	Yes No Report No If you check "Report Not Ye update your response wher	et Received," you n	nust promptly file an amendment to yo lable.	ur Form ADV to
<u>Prime</u>	<u>Broker</u>			Voc No

questions (b) through (e) separately for each prime broker. Additional Prime Broker Information: 2 Record(s) Filed.

24. (a) Does the private fund use one or more prime brokers?

If the answer to 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

IAPD - View All Page 222 of 48

If the answer to 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):

State: Country:

NEW YORK

New York **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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?

0

Custodian

Yes No

25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold



IAPD - View All Page 223 of 48

some or all of its assets?

If the answer to 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

BOSTON

Massachusetts **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):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK

(c) Location of administrator (city, state and country):

IAPD - View All Page 224 of 48

	City: TORONTO	State:	Country:	
	TORONTO		CANADA	
	d) le the administrator e related nor	con of your firm?		Yes No
	d) Is the administrator a related per	son or your minn?		o 💆
(6	e) Does the administrator prepare a investors?	and send investor acc	count statements to the private	e fund's
	Yes (provided to all investors) No (provided to no investors)	C Some (provided to	o some but not all investors)	
(f	f) If the answer to 26(e) is "no" or (rest of the) private fund's invest (rest of the) private fund's invest ALLIANCEBERNSTEIN L.P.	ors? If investor acco	unt statements are not sent to	

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 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

Page 225 of 48 IAPD - View All

2.	2. Under the laws of what state or country is the private fund organized: State: Country:	
	Delaware UNITED STATES	
3.	3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capal Name of General Partner, Manager, Trustee, or Director BERNSTEIN ALTERNATIVE STRATEGIES MANAGEMENT, LP	acity):
4.	(1) qualifies for the exclusion from the definition of investment company under section 3(of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(of the Investment Com	
5.	private fund is registered.	:he
	No Information Filed	
6.	6. (a) Is this a "master fund" in a master-feeder arrangement?	Yes N
	(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 this private fund invests? Name of the Private Fund: Private Fund Identification Number: (include the "805-" prefix also) 	Yes N
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting funds separately.	
7.	7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions: No Information Filed	

IAPD - View All Page 226 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?



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, whether or not they are also private funds, or registered investment companies.

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?

Private equity fund its fund its private equity fund its real estate fund its securitized asset fund its head its fund i venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 319,315,897

Ownership

12. Minimum investment commitment required of an investor in the private fund:

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:

377

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

6%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

Page 227 of 48 IAPD - View All

You	ur 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 other investment advisers advise the private fund?	o 🧧
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the 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?	O C
	Approximately what percentage of your clients has invested in the private fund? 1%	
<u>Priv</u>	vate Offering	
	Does the private fund rely 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	
	021-155283	
B. S	SERVICE PROVIDERS	
<u>Auc</u>	<u>ditors</u>	\/ BI
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?	Yes No
	(2) Are the financial statements prepared in accordance with U.S. GAAP?	6 0
		اممىنۇ
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private uses more than one auditing firm, you must complete questions (b) through (f) separately f auditing firm.	
	Additional Auditor Information : 1 Record(s) Filed.	
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.	:e
	(b) Name of the auditing firm:	

PRICEWATERHOUSECOOPERS

Page 228 of 48 IAPD - View All

	1			/
		ting firm's office respor	nsible 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 ir	ndependent public acco	ountant?	<u>•</u> с
	(e) Is the auditing firm regis	stered with the Public (Company Accounting Oversight Board?	<u>○</u> c
	(f) If "yes" to (e) above, is Company Accounting Ov		ect to regular inspection by the Public dance with its rules?	o o
	Are the private fund's audited investors?	d financial statements	distributed to the private fund's	Yes No
(h)	Does the report prepared by	· ·	ain an unqualified opinion?	
	Yes No Report Not			
	If you check "Report Not Yet update your response when t		promptly file an amendment to your For	m ADV to
<u>Prime</u>	<u>Broker</u>			Yes No
24. (a)	Does the private fund use on	ne or more prime broke	ers?	res ivo
	If the answer to 24(a) is "yes	s," respond to question private fund uses more	ns (b) through (e) below for each prime e than one prime broker, you must com	broker
		No Informati	tion Filed	
Custod	<u>lian</u>			You No
	Does the private fund use any some or all of its assets?	ıy custodians (includinç	g the prime brokers listed above) to hole	Yes No
		ate fund uses more tha	ns (b) through (f) below for each custod an one custodian, you must complete qu	
	Additional Custodian Info	rmation : 1 Record(s	s) Filed.	
		ivate fund uses more th	ons (b) through (f) below for each custonan one custodian, you must complete odian.	dian the
	(b) Legal name of custodian	1:		

IAPD - View All Page 229 of 48

	STATE STREET BANK			
(c)	Primary business name of custod STATE STREET BANK	ian:		
(d)	The location of the custodian's of state and country):	fice responsible for cu	ustody of the private fund's ass	sets (city,
	City:	State:	Country:	
	TORONTO		CANADA	
				Yes No
(e)	Is the custodian a related person	of your firm?		0 🧖
(f)	If the custodian is a broker-deale	r, provide its SEC reg	gistration number (if any)	
	-			
	CRD Number (if any):			

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

_					
us	If the answer to 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 the administrator: INTERNATIONAL FUND SERVICES				
(c) Location of administrator (city, state and could city: State: DUBLIN	ntry): Country: IRELAND	Yes No		
(d) Is the administrator a related person of your	firm?	o o		
(e	Does the administrator prepare and send investors?	estor account statement	s to the private fund's		
	Yes (provided to all investors) Some (provided to no investors)	ovided to some but not	all investors)		

IAPD - View All Page 230 of 48

(f) If the answer to 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?

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 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 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: Country:

UNITED STATES Delaware

3. 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

Page 231 of 48 IAPD - View All

4.	The private fund (check all that apply; you must check at least one):
	\Box (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
	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 the 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.
	Yes No
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?
	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, whether or not they are also private funds, or

IAPD - View All Page 232 of 48

registered investment companies.

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?

Phedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 182,825,806

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:

230

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

15%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers advise the private fund?



Page 233 of 48 IAPD - View All

		ide the name and SEC file number, if any, of th question 18(a) is "no," leave this question blan	
	No In	formation Filed	
19. Are your clients solicited to inve	est in the private f		Yes No
20. Approximately what percentage 1%	of your clients ha	as invested in the private fund?	
Private Offering			Voc No
21. Does the private fund rely on an D of the Securities Act of 1933?		registration of its securities under Regulation	Yes No
22. If yes, provide the private fund	s Form D file num	nber (if any):	
	No Info	rmation Filed	
B. SERVICE PROVIDERS			
<u>Auditors</u>			
<u>riaditoro</u>			Yes No
23. (a) (1) Are the private fund's fir	nancial statements	s subject to an annual audit?	<u>©</u> С
(2) Are the financial statement	ents prepared in a	accordance with U.S. GAAP?	<u>•</u> О
		questions (b) through (f) below. If the private complete questions (b) through (f) separately for	
Additional Auditor Inforr	nation : 1 Recor	d(s) Filed.	
	uditing firm, you	o questions (b) through (f) below. If the private must complete questions (b) through (f))
(b) Name of the auditing fi PRICEWATERHOUSECO			
(c) The location of the aud state and country):	iting firm's office	responsible for the private fund's audit (city,	
City: NEW YORK	State:	Country:	
NEW TORK	New York	UNITED STATES	
(d) Is the auditing firm an	independent publi	_	es No
			_
(e) Is the auditing firm reg	istered with the P	ublic Company Accounting Oversight Board?	0

IAPD - View All Page 234 of 48

(f) If "yes" to (e) above, is the Company Accounting Over		to regular inspection by the Public ace with its rules?	o o
			Yes N
(g) Are the private fund's audited fi investors?	inancial statements dist	ributed to the private fund's	•
(h) Does the report prepared by the	_	an unqualified opinion?	
Yes No Report Not Ye If you check "Report Not Yet Re update your response when the	eceived," you must pron	mptly file an amendment to your Fo	rm ADV
rime Broker			
4. (a) Does the private fund use one o	or more prime brokers?		Yes N
	vate fund uses more th	b) through (e) below for each prime an one prime broker, you must con oker.	
	No Information	n Filed	
ustodian			
	respond to questions (left) respond to questions (left) respond to questions (left) responds to the contract of the contract o	b) through (f) below for each custoone custodian, you must complete c	dian the
Additional Custodian Inform		iled.	
	te fund uses more than	(b) through (f) below for each custo one custodian, you must complete an.	odian the
private fund uses. If the private questions (b) through (f) sepa	te fund uses more than	one custodian, you must complete	odian the
private fund uses. If the private questions (b) through (f) separate (b) Legal name of custodian:	te fund uses more than rately for each custodia	one custodian, you must complete	odian the
private fund uses. If the private questions (b) through (f) separate (b) Legal name of custodian: STATE STREET BANK (c) Primary business name of STATE STREET BANK	te fund uses more than rately for each custodia custodian:	one custodian, you must complete	
private fund uses. If the private questions (b) through (f) separate (b) Legal name of custodian: STATE STREET BANK (c) Primary business name of STATE STREET BANK (d) The location of the custodian state and country): City:	te fund uses more than rately for each custodia custodian:	one custodian, you must complete an.	
private fund uses. If the private questions (b) through (f) separate (b) Legal name of custodian: STATE STREET BANK (c) Primary business name of STATE STREET BANK (d) The location of the custodian state and country):	te fund uses more than trately for each custodia custodian: an's office responsible f	one custodian, you must complete an. For custody of the private fund's ass	

IAPD - View All Page 235 of 48

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any):

Administrator

DUBLIN

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

		uestions (b) through (f) below. If the private fund complete questions (b) through (f) separately for
each administrator.		
(b) Name of the administrato		
(c) Location of administrator	(city, state and	country):
City:	State:	Country:

IRELAND

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 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

IAPD - View All Page 236 of 48

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 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 DIVERSIFIED HEDGE FUND L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-7207028445

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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 GLOBAL DIVERSIFIED MANAGEMENT LP

- 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?



Page 237 of 48 IAPD - View All

	(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	N
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	C
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests?Name of the Private Fund:	ı whi	cł
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to th	16
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ('funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	d als class in a	o se
3.	(a) Is this private fund a "fund of funds"?	Yes	
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	-	
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not 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.)?	Yes	
10	. What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset for	und	
	venture capital fund Other private fund N/A - FEEDER FUND		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	these	5

IAPD - View All Page 238 of 48

11. Current gross asset value of the private fund:

\$ 0

Ownership

12. Minimum investment commitment required of an investor in the private fund:

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 0%

Private Offering

Yes No

21. Does the private fund rely on an exemption from registration of its securities under Regulation



IAPD - View All Page 239 of 48

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

021-46687

B. SERVICE PROVIDERS

Aud	ito	rs

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

(2) Are the financial statements prepared in accordance with U.S. GAAP?

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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:

Country:

New York

UNITED STATES

(d) Is the auditing firm an independent public accountant?

Yes No 0 \circ

(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public

 $^{\circ}$

Company Accounting Oversight Board in accordance with its rules?

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's investors?

0

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

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.

IAPD - View All Page 240 of 48

Prime Broker

Yes No

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?





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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(b) Legal name of custodian:

STATE STREET BANK AND TRUST COMPANY

(c) Primary business name of custodian:

STATE STREET BANK

IAPD - View All Page 241 of 48

(d) The location of state and cou		sponsible for custody of the private	fund's assets (city,
City: BOSTON	State:	Country:	
BOSTON	Massachusetts	UNITED STATES	
			Yes No
(e) Is the custod	ian a related person of you	ur firm?	o 🧧
(f) If the custodi	an is a broker-dealer, prov	vide its SEC registration number (if a	any)
8 - 73 CRD Number	(if any):		

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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.

use	he answer to 26(a) is "yes," respo es more than one administrator, y ch administrator.					
(b)	Name of the administrator: STATE STREET BANK					
(c)	Location of administrator (city, s City: TORONTO	tate and country): State:	Country:			
(d)	Is the administrator a related per	rson of your firm?		Yes No		
(e)	 Does the administrator prepare and send investor account statements to the private fund's investors? CYes (provided to all investors) Some (provided to some but not all investors) 					
	No (provided to no investors)					
(f)	If the answer to 26(e) is "no" or (rest of the) private fund's investi					

IAPD - View All Page 242 of 48

> (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?

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 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 DIVERSIFIED PLUS HEDGE FUND L.P.

(b) Private fund identification number: (include the "805-" prefix also)

805-5526494910

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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 GLOBAL DIVERSIFIED MANAGEMENT LP

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

IAPD - View All Page 243 of 48

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

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 the Private Fund:

ALLIANCEBERNSTEIN GLOBAL DIVERSIFIED STRATEGIES L.P. - HEDGE FUND B

Private Fund Identification Number: (include the "805-" prefix also)

805-2123899075

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 guestion 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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

\sim	
	200

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, whether or not they are also private funds, or registered investment companies.

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



IAPD - View All Page 244 of 48

funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

hedge fund Iiquidity fund private equity fund real estate fund securitized asset fund venture capital fund Other private fund N/A - FEEDER FUND

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

14. What is the approximate percentage of the private fund beneficially owned by you and your related

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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

IAPD - View All Page 245 of 48

İ				
19. Aı	re your clients solicited to inv	est in the private fu	ınd?	Yes No
20. A _l		e of your clients ha	s invested in the private fund?	
<u>Priva</u>	<u>te Offering</u>			
	oes the private fund rely on a of the Securities Act of 1933		registration of its securities under Regulation	Yes No
22. If	yes, provide the private fund	d's Form D file numb	per (if any):	
F	orm D file number			
0	21-76927			
B. SEF	RVICE PROVIDERS			
<i>D</i> . <i>G</i> L	(VIOLINO VIDENO			
<u>Audit</u>	tors			
22 (5) (1) And the amplitude friendle f		oubject to an annual sudit?	Yes No
23. (a	a) (1) Are the private fund's f	inancial statements	subject to an annual audit?	° 0
	(2) Are the financial statem	nents prepared in ad	ccordance with U.S. GAAP?	o c
			questions (b) through (f) below. If the private omplete questions (b) through (f) separately	
	Additional Auditor Infor	mation : 1 Record	I(s) Filed.	
		auditing firm, you n	questions (b) through (f) below. If the priva nust complete questions (b) through (f)	te
	(b) Name of the auditing t	firm:		
	PRICEWATERHOUSEC			
	(c) The location of the audition state and country):	diting firm's office r	esponsible for the private fund's audit (city,	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
	(d) Is the auditing firm ar	independent public		Yes No
	(e) Is the auditing firm re	gistered with the Pu	ublic Company Accounting Oversight Board?	○ ○
			subject to regular inspection by the Public accordance with its rules?	○ ○

IAPD - View All Page 246 of 48

Yes No

(g) Are the private fund's audited financial statements distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?

Yes C No C 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?



If the answer to 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 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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 25(a) is "yes," respond to questions (b) through (f) 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.

IAPD - View All Page 247 of 48

p	rivate fund uses. If the		nore than	(b) through (f) below for each one custodian, you must comp n.				
(k	o) Legal name of cust STATE STREET BA	todian: NK AND TRUST COMP.	ANY					
(0	c) Primary business name of custodian: STATE STREET BANK							
(0	d) The location of the state and country)		ponsible f	or custody of the private fund'	s assets (city,			
	City: BOPSTON	State:		Country:				
	BOFSTON	Massachusetts		UNITED STATES				
					Yes No			
(6	e) Is the custodian a	related person of you	r firm?		o 🧧			
(f	f) If the custodian is	a broker-dealer, prov	ide its SE0	registration number (if any)				
	8 - 73							
	CRD Number (if ar	ny):						

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK

(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?

IAPD - View All Page 248 of 48

-	
1	



(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 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 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 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:

Country: State:

IAPD - View All Page 249 of 48

Delaware

		Manager,						

UNITED STATES

Name of General Partner, Manager, Trustee, or Director

BERNSTEIN GLOBAL OPPORTUNITIES MANAGEMENT LP

- 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

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 the 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.

Page 250 of 48 IAPD - View All

		Yes	Ν
8.	(a) Is this private fund a "fund of funds"?	O	•
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	O	C
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more o total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	fits	
		Yes	Ν
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.)?	О	G
10.	. What type of fund is the private fund?		
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset to venture capital fund C Other private fund	fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of fund types, please see Instruction 6 of the Instructions to Part 1A.	thes	е
11.	Current gross asset value of the private fund: \$ 2,079,224,201		
<u>Ov</u>	<u>vnership</u>		
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 different from the amount set forth in the organizational documents of the fund).	n if	
13.	Approximate number of the private fund's beneficial owners: 360		
14.	. What is the approximate percentage of the private fund beneficially owned by you and your rela person: 15%	ted	
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds:	/ fur	ıds
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	6	
<u>Yo</u>	ur Advisory Services		
		Yes	Ν
17.	(a) Are you a subadviser to this private fund?	О	•

Page 251 of 48 IAPD - View All

	(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 other investment advisers 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%
<u>Pri</u>	vate Offering Yes No
21.	Does the private fund rely 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
	021-56633
	SERVICE PROVIDERS
Au	Yes No
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?
	(2) Are the financial statements prepared in accordance with U.S. GAAP?
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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

IAPD - View All Page 252 of 48

New York UNITED STATES	
(d) Is the auditing firm an independent public accountant?	es No
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	ြ
(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?	0
(g) Are the private fund's audited financial statements distributed to the private fund's investors?	Yes No
(h) Does the report prepared by the auditing firm contain an unqualified opinion?	
Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form update your response when the report is available.	ADV to
<u>rime Broker</u>	
	Yes No
4. (a) Does the private fund use one or more prime brokers?	C
If the answer to 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 comple questions (b) through (e) separately for each prime broker.	
Additional Prime Broker Information : 2 Record(s) Filed.	
If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime be 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 cou	ntry):
City: State: Country: NEW YORK	
New York UNITED STATES	
(e) Does this prime broker act as custodian for some or all of the private fund's assets?	es No

IAPD - View All Page 253 of 48

If the answer to 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: State: Country:

NEW YORK

New York **UNITED STATES**

Yes No

(e) Does this prime broker act as custodian for some or all of the private fund's assets?



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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

BOSTON

Massachusetts **UNITED STATES**

Yes No

Page 254 of 48 IAPD - View All

(e) Is the custodian a related person of your firm?	O	•
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)		
8 - 73 CRD Number (if any):		

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

STATE STREET BANK AND TRUST

(c) Location of administrator (city, state and country): City: State: Country:

BOSTON

Massachusetts **UNITED STATES**

Yes No

0

(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 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%

IAPD - View All Page 255 of 48

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 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)

805-4075338293

2. Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

- 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
 - V (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

Page 256 of 48 IAPD - View All

	Other - CAYMAN ISLANDS MONETARY AUTHORITY		
		Yes	s No
6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	•
	(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	s No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	•
	(d) If yes, what is the name and private fund identification number (if any) of the master fund i this private fund invests? Name of the Private Fund:	n wh	nich
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:		the
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ild al	lso sses
8.	(a) Is this private fund a "fund of funds"?	Yes	
Ο.	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	•
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	c of its	0
		Yes	s 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.)?	0	Ö
10	. What type of fund is the private fund?		
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset	func	b
	C venture capital fund C Other private fund		

IAPD - View All Page 257 of 48

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 38,957,757

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:

62

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

16%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

25%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

IAPD - View All Page 258 of 48

21. Does the private fund rely 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 Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund t		Private Offering
No Information Filed B. SERVICE PROVIDERS Auditors Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for ea	Yes No Regulation 💍 🧿	
B. SERVICE PROVIDERS Auditors Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for ea		
Auditors Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each of the private fund uses for the private fund the pr		No Information Filed
Yes 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each		B. SERVICE PROVIDERS
23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each		<u>Auditors</u>
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for ea	Yes No	23. (a) (1) Are the private fund's financial statements subject to an annual
uses more than one auditing firm, you must complete questions (b) through (f) separately for ea	• o	(2) Are the financial statements prepared in accordance with U.S. G
4UQIIIIQ 11111.		
Additional Auditor Information : 1 Record(s) Filed.		
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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,	ugh (f)	fund uses more than one auditing firm, you must complete questic separately for each auditing firm. (b) Name of the auditing firm: PRICEWATERHOUSECOOPERS
state and country):	addit (city,	state and country):
City: State: Country: NEW YORK		
New York UNITED STATES	Vac Na	New York UNITED STATE
(d) Is the auditing firm an independent public accountant?	Yes No	(d) Is the auditing firm an independent public accountant?
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	ght Board? 🧑 🂍	(e) Is the auditing firm registered with the Public Company Accour
(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?	he Public 🧿 👩	
Yes (g) Are the private fund's audited financial statements distributed to the private fund's investors? (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received	Yes No	investors?

IAPD - View All Page 259 of 48

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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

State:

Country:

CAYMAN ISLANDS

CAYMAN ISLANDS

Yes No

(e) Is the custodian a related person of your firm?

0

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

CRD Number (if any):

<u>Administrator</u>

Yes No

IAPD - View All Page 260 of 48

26. (a) Does the private fund use an administrator other than your firm?

•	(
---	---

If the answer to 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 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 the administrator:

STATE STREET BANK CAYMAN TRUST COMPANY LTD

(c) Location of administrator (city, state and country):

City: State: Country:

CAYMAN

CAYMAN ISLANDS

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 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

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 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.

NI-	nform	1!	THE STATE OF
1/1()	1111()[[[าสมเดท	$-$ FH Θ O

	A. PR	IVAT	E F	UNE
--	-------	------	-----	-----

Information About the Private Fund

1. (a) Name of the private fund:

BERNSTEIN INTERNATIONAL VALUE - DEVELOPED MARKETS (UNHEDGED CAP-WEIGHTED) II **SERIES**

(b) Private fund identification number: (include the "805-" prefix also)

805-7269572548

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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

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

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 the Private Fund:

IAPD - View All Page 262 of 48

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 guestions:

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"?

(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund

venture capital fund Other private fund INSTITUTIONAL FUND

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 66,598,201

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).

IAPI	D - View All Page 26.	3 of 48
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 relate person: 0%	ed
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by of funds: 0%	funds
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	
You	ur Advisory Services	
17.	Y . (a) Are you a subadviser to this private fund?	es 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	
		es No
18.	. (a) Do any other investment advisers advise the private fund?	೦ 🧧
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank No Information Filed	
	Y	es No
19.	. Are your clients solicited to invest in the private fund?	<u>•</u> О
20.	. Approximately what percentage of your clients has invested in the private fund? 1%	
<u>Pri</u>	ivate Offering	
21.	<u>-</u>	es No
22.	. If yes, provide the private fund's Form D file number (if any):	
	Form D file number	
	021-67332	
В. 5	SERVICE PROVIDERS	

IAPD - View All Page 264 of 48

Yes No 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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 UNITED STATES** New York Yes No (d) Is the auditing firm an independent public accountant? O (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public O Company Accounting Oversight Board in accordance with its rules? Yes No (g) Are the private fund's audited financial statements distributed to the private fund's 0 investors? (h) Does the report prepared by the auditing firm contain an unqualified opinion? 🎴 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? If the answer to 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

IAPD - View All Page 265 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

IAPD - View All Page 266 of 48

(c) Location of admi	nistrator (city, state	and country):
City: CHICAGO	State:	Country:
0000	Illinois	UNITED STATES

Yes No

(d) Is the administrator a related person of your firm?

ø.

(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 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 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 (q) 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

Page 267 of 48 IAPD - View All

2.	Under the laws of what state or country is the private fund organized: State: Country:
	CAYMAN ISLANDS
3.	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
4.	The private fund (check all that apply; you must check at least one):
	\Box (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
	Yes N
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 N
	(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 the 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

IAPD - View All Page 268 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund CDO

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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

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:

 \cap

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

Page 269 of 48 IAPD - View All

0%

investors?

Your Advisory Services	
	Yes No
17. (a) Are you a subadviser to this private fund?	ဝ 🧧
(b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of adviser of the private fund. If the answer to question 17(a) is "no," leave this question bla	
No Information Filed	
	Yes No
18. (a) Do any other investment advisers advise the private fund?	0 🧖
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of advisers to the private fund. If the answer to question 18(a) is "no," leave this question b	
No Information Filed	
	Yes No
19. Are your clients solicited to invest in the private fund?	o 🤷
20. Approximately what percentage of your clients has invested in the private fund? 0%	
<u>Private Offering</u>	
21. Does the private fund rely on an exemption from registration of its securities under Regulatio 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	
3. SERVICE PROVIDERS	
<u>Auditors</u>	
	Yes No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?	0 👨
(2) Are the financial statements prepared in accordance with U.S. GAAP?	0 🧧
If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the prival uses more than one auditing firm, you must complete questions (b) through (f) separately auditing firm.	
No Information Filed	
	Yes No
(g) Are the private fund's audited financial statements distributed to the private fund's	0 0

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

C Yes C No Report Not Yet Received

IAPD - View All Page 270 of 48

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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

CANADA

Yes No

(e) Is the custodian a related person of your firm?

0

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

CRD Number (if any):

<u>Administrator</u>

Yes No

IAPD - View All Page 271 of 48

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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?

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 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 ALL-COUNTRY BLEND SERIES

(b) Private fund identification number:

(include the "805-" prefix also)

805-6419232884

2. Under the laws of what state or country is the private fund organized:

State: Country:

UNITED STATES Delaware

3. 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)

Page 272 of 48 IAPD - View All

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.	Yes Note (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 the 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.
0	Yes No
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?
	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, whether or not they are also private funds, or

IAPD - View All Page 273 of 48

registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DELAWARE BUSINESS TRUST

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 173,891,354

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:

8

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers advise the private fund?



IAPD - View All Page 274 of 48

(k		If the answer to	de the name and SEC file number, if any, of t question 18(a) is "no," leave this question bla formation Filed	
19. A	re your clients solicited to inve	est in the private fo	und?	Yes No
	pproximately what percentage %	of your clients ha	s invested in the private fund?	
<u>Priva</u>	<u>ite Offering</u>			
	oes the private fund rely on ar of the Securities Act of 1933?		registration of its securities under Regulation	Yes No
22. If	yes, provide the private fund'	s Form D file num	ber (if any):	
_	form D file number			
0	21-67332			
B. SEI	RVICE PROVIDERS tors			Yes No
23. (8	a) (1) Are the private fund's fir	nancial statements	subject to an annual audit?	© O
	(2) Are the financial stateme	ents prepared in a	ccordance with U.S. GAAP?	© 0
			questions (b) through (f) below. If the privat omplete questions (b) through (f) separately	
	Additional Auditor Inform	nation : 1 Record	d(s) Filed.	
	fund uses more than one a separately for each auditing	uditing firm, you r g firm.	o questions (b) through (f) below. If the priva must complete questions (b) through (f)	ite
	(b) Name of the auditing fit PRICEWATERHOUSECO			
	(c) The location of the audistate and country):	iting firm's office r	responsible for the private fund's audit (city,	
	City: NEW YORK	State:	Country:	
	IVEVV TORK	New York	UNITED STATES	
	(d) Is the auditing firm an	independent publi	c accountant?	Yes No
	(e) Is the auditing firm reg	istered with the Pu	ublic Company Accounting Oversight Board?	<u>○</u> c

IAPD - View All Page 275 of 48

(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 distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?



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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **UNITED STATES**

Yes No

IAPD - View All Page 276 of 48

(e) Is the custodian a related person of your firm?	0	Õ
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)		
- CRD Number (if any):		

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

Illinois **UNITED STATES**

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 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

IAPD - View All Page 277 of 48

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 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: Country:

Delaware **UNITED STATES**

3. 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
 - V (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

IAPD - View All Page 278 of 48

6.	(a) Is this a "master fund" in a master-feeder arrangement?	Yes	No
0.	(b) If yes, what is the name and private fund identification number (if any) of the feeder funds	О	•
	investing in this private fund?		
	No Information Filed		
		Yes	No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	О	0
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests? Name of the Private Fund:	n wh	ich
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	to t	he
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund woul be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ld als	so ses
		Yes	
8.	(a) Is this private fund a "fund of funds"?	0	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	\circ	O
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	fits	
	·	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.)?	0	0
10.	What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	und	
	venture capital fund Other private fund DELAWARE BUSINESS TRUST		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of	thes	se

IAPD - View All Page 279 of 48

fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

\$ 39,323,832

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Page 280 of						
	es No					
Y	es No					
	<u>•</u> с					
	<u>•</u> с					
private for						
e private)						
PRICEWATERHOUSECOOPERS (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):						
Ye ©	s No					
oard? 🧿	O					
blic 🧿	0					
oa	Ye o ard?					

investors?

•	0

(h) Does the report prepared by the auditing firm contain an unqualified opinion?

6		\sim		\sim	_				
-	Yes		No	М.	Report	Not	Yet	Recei	vec

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to

IAPD - View All Page 281 of 48

update your response when the report is available.

Prime Broker

Yes No

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

State:

Country:

CHICAGO

Illinois

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)

CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?

IAPD - View All Page 282 of 48

If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

UNITED STATES Illinois

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 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

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 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	Filad
171()	ппоппапоп	L III C CI

Δ	PRI	IVA ⁻	ΓF	FΙ	INI	\Box
┑.	$\Gamma \Gamma \Gamma$	· v –		1 () I VI	

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)

805-3958255102

2. Under the laws of what state or country is the private fund organized:

State:

Country:

Delaware

UNITED STATES

3. 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

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

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 the Private Fund:

IAPD - View All Page 284 of 48

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 guestions:

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"?

(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DELAWARE BUSINESS TRUST

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 1,435,891,682

<u>Ownership</u>

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).

API	D - View All Page 285	of 48
13.	. Approximate number of the private fund's beneficial owners: 68	
14.	. What is the approximate percentage of the private fund beneficially owned by you and your related person: 1%	I
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by further of funds:	ınds
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	
Yo	our Advisory Services	
	-	s 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	
	Ye	s No
18.	. (a) Do any other investment advisers 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 advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank.	other
	No Information Filed	
19.	Ye . Are your clients solicited to invest in the private fund?	s No
20.	. Approximately what percentage of your clients has invested in the private fund? 0%	
<u>Pri</u>	ivate Offering	
21.	Ye Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	s No
22.	. If yes, provide the private fund's Form D file number (if any):	
	Form D file number	

IAPD - View All Page 286 of 48

					Υe	es No				
23. (a)	(1)	Are the private fund's	financial statements	subject to an annual audit?	C	0				
	(2)	Are the financial state	ments prepared in ac	cordance with U.S. GAAP?	C					
	uses aud	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.								
		ditional Auditor Info								
	fur		auditing firm, you m	questions (b) through (f) below. If ust complete questions (b) through						
	(b)	Name of the auditing	firm:							
		PRICEWATERHOUSE	COOPERS							
	(c)	The location of the austate and country):	uditing firm's office re	ting firm's office responsible for the private fund's audit (city,						
		City: NEW YORK	State:	Country:						
		NEW TORK	New York	UNITED STATES						
	(d)	Is the auditing firm a	n independent public	accountant?	Yes	S No				
	(e)	Is the auditing firm r	egistered with the Pul	olic Company Accounting Oversight	Board? o	0				
	(f)			subject to regular inspection by the ccordance with its rules?	Public ©	0				
					.,					
(g)		the private fund's aud	ited financial stateme	ents distributed to the private fund's		es No				
(h)	Doe	s the report prepared	by the auditing firm o	contain an unqualified opinion?						
	If yo	Yes No Report Not Neport Not Not Yete your response whe	Yet Received," you mu	ust promptly file an amendment to yble.	your Form A[DV to				
<u>Prime</u>	Brol	<u>ker</u>								
04 ()	_				Ye	es No				
24. (a)		s the private fund use	·		С	9				
	the		he private fund uses i	stions (b) through (e) below for eac more than one prime broker, you m rime broker.						
			No Info	rmation Filed						

Custodian

IAPD - View All Page 287 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

IAPD - View All Page 288 of 48

(c)	Location of admin	nistrator (city, state	and country):	
	City:	State:	Country:	
	011107100	Illinois	UNITED STATES	

Yes No

(d) Is the administrator a related person of your firm?

ø.

(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 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.

<u>Marketers</u>

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 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 STRATEGIC **VALUE SERIES**

(b) Private fund identification number: (include the "805-" prefix also)

Page 289 of 48 IAPD - View All

805-2879415445

2.	Under the laws of what state or country is the private fund organized: State: Country:
	Delaware UNITED STATES
3.	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):
	\Box (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 N
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 N
	(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 the 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

IAPD - View All Page 290 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

10

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

22%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

IAPD - View All Page 291 of 48

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

Yes No

21. Does the private fund rely 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

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

6

(2) Are the financial statements prepared in accordance with U.S. GAAP?

0	C
---	---

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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:

IAPD - View All Page 292 of 48

	ı				
		PRICEWATERHOUSECOC	JPERS		
	(c)	The location of the audit state and country):	ting firm's office respor	nsible for the private fund's audit (city,	
		City: NEW YORK	State:	Country:	
		TVEVV TORK	New York	UNITED STATES	
	(d)	Is the auditing firm an in	ndependent public acco	ountant?	Yes No
	(e)	Is the auditing firm regis	stered with the Public (Company Accounting Oversight Board?	• c
	(f)	If "yes" to (e) above, is Company Accounting Ov		ct to regular inspection by the Public dance with its rules?	<u> </u>
					Vaa Ni
(g)		the private fund's auditedestors?	d financial statements (distributed to the private fund's	Yes No
(h)			_	in an unqualified opinion?	
		Yes C No C Report Not			
		ou check "Report Not Yet ate your response when t		romptly file an amendment to your For	m ADV to
<u>Prime</u>	Brol	<u>ker</u>			
24. (a)	Doe	s the private fund use on	e or more prime broke	rs?	Yes No
	the		private fund uses more	s (b) through (e) below for each prime than one prime broker, you must com broker.	
			No Informa	ion Filed	
Custo	dian				
<u>ousto.</u>	<u> </u>				Yes No
25. (a)		s the private fund use an ne or all of its assets?	y custodians (including	the prime brokers listed above) to hol	d 🧿 C
	priv		ate fund uses more tha	s (b) through (f) below for each custod in one custodian, you must complete qu	
	Add	ditional Custodian Info	rmation : 1 Record(s) Filed.	
	pri		vate fund uses more th	ns (b) through (f) below for each custo an one custodian, you must complete	odian the

IAPD - View All Page 293 of 48

(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: State: Country: **CHICAGO** Illinois **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) CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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

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 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

IAPD - View All Page 294 of 48

A. PRIVATE FUND	
nformation About the Private Fund	
 (a) Name of the private fund: SANFORD C. BERNSTEIN & CO DELAWARE BUSINESS TRUST - SERIES 	- BERNSTEIN GLOBAL STYLE BLEND
(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 organi	zod
Under the laws of what state or country is the private fund organi State: Country:	zeu.
· ·	
Delaware UNITED STATES	
3. Name(s) of General Partner, Manager, Trustee, or Directors (or pe	ersons 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 on	ne):
(1) qualifies for the exclusion from the definition of investment has been strongly and the Investment Company Act of 1940	ent company under section 3(c)(1) of
(2) qualifies for the exclusion from the definition of investment the Investment Company Act of 1940	ent company under section 3(c)(7) of
 List the name and country, in English, of each foreign financial req private fund is registered. 	gulatory authority with which the
No Information Filed	
	Yes No
6. (a) Is this a "master fund" in a master-feeder arrangement?	င 🧧
(b) If yes, what is the name and private fund identification number investing in this private fund?	er (if any) of the feeder funds
No Information Filed	
	Yes No
(c) Is this a "feeder fund" in a master-feeder arrangement?	0 0
(d) If yes, what is the name and private fund identification number	er (if any) of the master fund in which

this private fund invests? Name of the Private Fund: IAPD - View All Page 295 of 48

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.

Yes No

- 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?

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, whether or not they are also private funds, or registered investment companies.

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?
 - C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 209,404,564

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:

IAPI	D - View All Page 296	6 of 48
	39	
14.	. What is the approximate percentage of the private fund beneficially owned by you and your relate person: 30%	ed
15.	. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by to of funds: 0%	funds
16.	. What is the approximate percentage of the private fund beneficially owned by non-United States persons: 0%	
<u>Yo</u>	our Advisory Services	
17.	(a) Are your a subadviser to this private fund?	es 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.	Y (a) Do any other investment advisers advise the private fund?	es No
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank	
	No Information Filed	
19.	_	es No
20.	Approximately what percentage of your clients has invested in the private fund? 1%	
<u>Pri</u>	ivate Offering	
21.	<u>-</u>	es No
22.	. If yes, provide the private fund's Form D file number (if any):	
1	Form D file number	1

021-73280

B. SERVICE PROVIDERS

Auditors

Yes No

IAPD - View All Page 297 of 48 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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): Citv: State: Country: **NEW YORK** New York **UNITED STATES** Yes No (d) Is the auditing firm an independent public accountant? 0 \circ (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? 0 C (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public 0 -0 Company Accounting Oversight Board in accordance with its rules? Yes No (g) Are the private fund's audited financial statements distributed to the private fund's (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes C No C 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? If the answer to 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

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

Custodian

Yes No

IAPD - View All Page 298 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: Country: State:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

IAPD - View All Page 299 of 48

City: CHICAGO	State:	Country:	
	Illinois	UNITED STATES	
(d) Is the administrator a r	related person of	your firm?	Yes No
(e) Does the administrator investors?	prepare and sen	d investor account statements to the private	fund's
Yes (provided to all i		ne (provided to some but not all investors)	
, ,	nd's investors? If	" who sends the investor account statements investor account statements are not sent to spond "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 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 - ALL COUNTRY SERIES

(b) Private fund identification number: (include the "805-" prefix also)

805-6414800740

Page 300 of 48 IAPD - View All

2.	Under the laws of what s State:	tate or country is the private fund organized: Country:	
	Delaware	UNITED STATES	
3.	Name of General Part	ner, Manager, Trustee, or Directors (or persons ner, Manager, Trustee, or Director PANY (CUSTODIAL TTEE), WILMINGTON TRUST	
4.	(1) qualifies for the the Investment Company	exclusion from the definition of investment co	
5.	List the name and country private fund is registered		ory authority with which the
		No Information Filed	
6.	(a) Is this a "master fund	l" in a master-feeder arrangement?	Yes N
	(b) If yes, what is the na investing in this priva	me and private fund identification number (if a te fund?	any) of the feeder funds
	3	No Information Filed	
	(d) If yes, what is the nath this private fund inventor Name of the Private Private Fund Identification	ation Number:	Yes N C any) of the master fund in which
7.	are filing a single Schedu funds separately. If you are filing a single	e question 6 for each master-feeder arrangem le D, Section 7.B.(1). for the master-feeder ar Schedule D, Section 7.B.(1) for a master-feede on 7.B.(1), for each of the feeder funds answer	rangement or reporting on the er arrangement according to the
		No Information Filed	

IAPD - View All Page 301 of 48

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"?

(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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 C liquidity fund C private equity fund real estate fund c securitized asset fund

venture capital fund Other private fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 207,512,451

Ownership

12. Minimum investment commitment required of an investor in the private fund:

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:

8

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

0%

IAPD - View All Page 302 of 48

Your Ac	dvisory Services	
	Yes	Nc
17. (a) A	Are you a subadviser to this private fund?	•
	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) [Yes Do any other investment advisers advise the private fund?	No
	If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the oth advisers to the private fund. If the answer to question 18(a) is "no," leave this question blank. No Information Filed	ner
	Yes	Nc
19. Are <u>y</u>	your clients solicited to invest in the private fund?	0
20. Appr 1%	roximately what percentage of your clients has invested in the private fund?	
<u>Private</u>	Offering	
	Yes s the private fund rely on an exemption from registration of its securities under Regulation the Securities Act of 1933?	No.
22. If ye	es, provide the private fund's Form D file number (if any):	
	m D file number	
021	-73280	
B. SERVI	ICE PROVIDERS	
<u>Auditor</u>	<u></u>	
23. (a) (Yes (1) Are the private fund's financial statements subject to an annual audit?	No O
((2) Are the financial statements prepared in accordance with U.S. GAAP?	0
L	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for ea auditing firm.	
<i>i</i>	Additional Auditor Information : 1 Record(s) Filed.	
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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

IAPD - View All Page 303 of 48

	1				1
			ing firm's office respor	nsible for the private fund's audit (city,	
	1	state and country): City:	State:	Country:	
		NEW YORK	New York	UNITED STATES	
					Yes No
	(d)	Is the auditing firm an in	idependent public acco	untant?	<u>•</u> с
	(e)	Is the auditing firm regis	stered with the Public C	Company Accounting Oversight Board?	o o
		If "yes" to (e) above, is t Company Accounting Ove		ect to regular inspection by the Public dance with its rules?	<u>○</u> c
	-				
		the private fund's audited stors?	d financial statements (distributed to the private fund's	Yes No
			the auditing firm conta	ain an unqualified opinion?	
	If you	Yes No Report Not Yet For the Yet For the Yet For Yes at the Your response when the Yet For Yes Pour Person Not Yet For Yes Pour Person Not Yes Pour Yes Pour Person Not Yes Pour Person N	Received," you must p	promptly file an amendment to your For	m ADV to
<u>Prime</u>	<u>Brok</u>	<u>.er</u>			N
24. (a)	Does	s the private fund use one	e or more prime broke	rc7	Yes No
	If the	e answer to 24(a) is "yes,	s," respond to questions private fund uses more	s (b) through (e) below for each prime than one prime broker, you must com	broker
			No Informat	ion Filed	
Custod	<u>dian</u>				
		s the private fund use any e or all of its assets?	y custodians (including	the prime brokers listed above) to hold	Yes No
	priva		ate fund uses more tha	s (b) through (f) below for each custod an one custodian, you must complete qu	
	Add	litional Custodian Infor	rmation : 1 Record(s) Filed.	
	priv que:	vate fund uses. If the privestions (b) through (f) sep	vate fund uses more the parately for each custo	ns (b) through (f) below for each custonan one custodian, you must complete odian.	dian the
	(b)	Legal name of custodian:	:		

IAPD - View All Page 304 of 48

	NORTHERN TRUST COM	PANY		
(c)	Primary business name NT	of custodian:		
(d)	The location of the custo state and country):	odian's office resp	oonsible for custody of the private fund's ass	ets (city,
	City:	State:	Country:	
	CHICAGO	Illinois	UNITED STATES	
				Yes No
(e)	Is the custodian a relate	ed person of your	firm?	O 💇
(f)	If the custodian is a bro	ker-dealer provid	de its SEC registration number (if any)	
	-	ker-dealer, provid	de its Secregistration number (if any)	
	CRD Number (if any):			

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: NORTHERN TRUST (c) Location of administrator (city, state and country): State: City: Country: **CHICAGO** Illinois **UNITED STATES** Yes No (d) Is the administrator a related person of your firm? 0 (e) Does the administrator prepare and send investor account statements to the private fund's investors? CYes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)

IAPD - View All Page 305 of 48

(f) If the answer to 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.

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 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 - UNHEDGED 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: Country:

UNITED STATES Delaware

3. 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)

Page 306 of 48 IAPD - View All

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.	Yes Note (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 the 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.
0	Yes No
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?
	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, whether or not they are also private funds, or

IAPD - View All Page 307 of 48

registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 205,281,505

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:

7

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers advise the private fund?



IAPD - View All Page 308 of 48

		If the answer to	vide the name and SEC file number, if any, of the question 18(a) is "no," leave this question blant formation Filed	
10	A constant collected to invoce		. 10	Yes No
19.	Are your clients solicited to invest	t in the private i	fund?	<u>©</u> О
20.	Approximately what percentage of 1%	of your clients ha	as invested in the private fund?	
<u>Pri</u>	vate Offering			
21.	Does the private fund rely on an D of the Securities Act of 1933?	exemption from	registration of its securities under Regulation	Yes No
22.	If yes, provide the private fund's	Form D file num	nber (if any):	
	Form D file number			
	021-73280			
<u>Au</u>	SERVICE PROVIDERS ditors (a) (1) Are the private fund's fina	ancial statement	s subject to an annual audit?	Yes No
	(2) Are the financial statemer	nts prepared in a	accordance with U.S. GAAP?	• o
	If the answer to 23(a)(1) is "y	yes," respond to	o questions (b) through (f) below. If the private complete questions (b) through (f) separately f	fund
	Additional Auditor Information: 1 Record(s) Filed.			
		diting firm, you	to questions (b) through (f) below. If the privat must complete questions (b) through (f)	e
	(b) Name of the auditing firm	n:		
	PRICEWATERHOUSECOO	PERS		
	(c) The location of the auditi state and country):	ing firm's office	responsible for the private fund's audit (city,	
	City: NEW YORK	State:	Country:	
	THE TO THE	New York	UNITED STATES	
	(d) Is the auditing firm an in	edonondent nuhl	_	Yes No
	(u) is the additing him an in	аерепаент раы	ic accountant?	<u>မ</u> ေ ျ
	(e) Is the auditing firm regis	tered with the P	Public Company Accounting Oversight Board?	○ ○

IAPD - View All Page 309 of 48

(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 distributed to the private fund's investors?



(h) Does the report prepared by the auditing firm contain an unqualified opinion?



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?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **UNITED STATES**

Yes No

IAPD - View All Page 310 of 48

(e) Is the custodian a related person of your firm?	O	0
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)		
- CRD Number (if any):		

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

Illinois **UNITED STATES**

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 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

IAPD - View All Page 311 of 48

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 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 "805-" prefix also)

805-2128077400

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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
 - $\overline{\mathbf{v}}$ (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

IAPD - View All Page 312 of 48

6	(a) Is this a "master fund" in a master feeder arrangement?	Yes	
6.		0	0
	(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?	0	0
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in this private fund invests?Name of the Private Fund:	n wh	iich
	Private Fund Identification Number: (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting of funds separately.		
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	j to t	he
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds (funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund wou be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	ld als	so ses
0		Yes	
8.		0	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	O
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more o total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	f its	
	9,000 - 10 mm - 10	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.)?	0	0
10	. What type of fund is the private fund?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset f	und	
	venture capital fund Other private fund DBT		
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of	thes	se

IAPD - View All Page 313 of 48

fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the private fund:

\$ 354,222,703

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:

27

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

IAPD - View All Page 314 of 48

22. If <u>y</u>	yes, provide the private fu	ınd's Form D file numb	per (if any):	
	orm D file number			
02	21-73280			
B. SER	VICE PROVIDERS			
Audito	ore			
Additt	<u>013</u>			Yes No
23. (a)) (1) Are the private fund	s financial statements	subject to an annual audit?	<u>•</u> О
	(2) Are the financial stat	ements prepared in ac	ccordance with U.S. GAAP?	© 0
			questions (b) through (f) below. If the priva omplete questions (b) through (f) separately	
	Additional Auditor Inf	ormation : 1 Record	l(s) Filed.	
		ne auditing firm, you niting firm.	questions (b) through (f) below. If the privenust complete questions (b) through (f)	ate
	(c) The location of the a state and country):	auditing firm's office re	esponsible for the private fund's audit (city,	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
				Yes No
	(d) Is the auditing firm	an independent public	accountant?	C
	(e) Is the auditing firm	registered with the Pu	ublic Company Accounting Oversight Board?	○ ○
			subject to regular inspection by the Public accordance with its rules?	○ ○
				Yes No
(g)) Are the private fund's au investors?	dited financial statem	ents distributed to the private fund's	0 0
(h)		d by the auditing firm	contain an unqualified opinion?	
` '	Yes O No O Report		, ,	
	·		ust promptly file an amendment to your For	m ADV to

IAPD - View All Page 315 of 48

update your response when the report is available.

Prime Broker

Yes No

24. (a) Does the private fund use one or more prime brokers?



If the answer to 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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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:

State:

Country:

CHICAGO

Illinois

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)

CRD Number (if any):

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?

IAPD - View All Page 316 of 48

If the answer to 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 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 the administrator:

NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

UNITED STATES Illinois

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 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

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 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.

\cap	Intorn	nation	Filod
ועט	ппоп	таноп	THEA

	RIVATE F	UNI)
--	----------	-----	---

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

(b) Private fund identification number: (include the "805-" prefix also)

805-1692104218

2. Under the laws of what state or country is the private fund organized:

State: Country:

Delaware **UNITED STATES**

3. 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

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

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 the Private Fund:

IAPD - View All Page 318 of 48

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 guestions:

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 by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 505,002,893

<u>Ownership</u>

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).

APD - View All	Page 319 of 48
13. Approximate number of the private fund's beneficial owners: 195	
14. What is the approximate percentage of the private fund beneficially owned by you and yo person:3%	ur related
15. What is the approximate percentage of the private fund beneficially owned (in the aggreg of funds: 0%	ate) by funds
16. What is the approximate percentage of the private fund beneficially owned by non-United persons:0%	States
Your Advisory Services	
	Yes No
17. (a) Are you a subadviser to this private fund?	O 👨
(b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any adviser of the private fund. If the answer to question 17(a) is "no," leave this question	
No Information Filed	
	Yes No
18. (a) Do any other investment advisers advise the private fund?	o 👨
(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any advisers to the private fund. If the answer to question 18(a) is "no," leave this question	
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. Does the private fund rely on an exemption from registration of its securities under Regul D of the Securities Act of 1933?	Yes No ation
22. If yes, provide the private fund's Form D file number (if any):	
Form D file number	

B. SERVICE PROVIDERS

<u>Auditors</u>

IAPD - View All Page 320 of 48 Yes No 23. (a) (1) Are the private fund's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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 UNITED STATES** New York Yes No (d) Is the auditing firm an independent public accountant? O (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? C

> Yes No 0

O

(g) Are the private fund's audited financial statements distributed to the private fund's investors?

Company Accounting Oversight Board in accordance with its rules?

(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public

- (h) Does the report prepared by the auditing firm contain an unqualified opinion?
 - 🎴 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?



If the answer to 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

IAPD - View All Page 321 of 48

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 25(a) is "yes," respond to questions (b) through (f) 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 25(a) is "yes," respond to questions (b) through (f) 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.

(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: State: Country:

CHICAGO

Illinois **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)

CRD Number (if any):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator:

NORTHERN TRUST

IAPD - View All Page 322 of 48

(c)	Location of administra	ntor (city, stat	te and country):
	City:	State:	Country:
		Illinois	UNITED STATES

Yes No

(d) Is the administrator a related person of your firm?

ø.

(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 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.

<u>Marketers</u>

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 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 TAX-MANAGED INTERNATIONAL BLEND SERIES

(b) Private fund identification number: (include the "805-" prefix also)

Page 323 of 48 IAPD - View All

805-5935982495

2.	Under the laws of what state or country is the private fund organized: State: Country:
	Delaware UNITED STATES
3.	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):
	\Box (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 N
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 N
	(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 the 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

IAPD - View All Page 324 of 48

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"?



(b) If yes, does the private fund invest in funds managed by you or by a related person?

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, whether or not they are also private funds, or registered investment companies.

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?

C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 170,182,885

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:

46

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

3%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

IAPD - View All Page 325 of 48

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund? 1%

Private Offering

Yes No

21. Does the private fund rely 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

021-67332

B. SERVICE PROVIDERS

Auditors

Yes No

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

•	0
---	---

(2) Are the financial statements prepared in accordance with U.S. GAAP?

0	C
---	---

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) 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 23(a)(1) is "yes," respond to questions (b) through (f) 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:

Page 326 of 48 IAPD - View All

		PRICEWATERHOUSECOO	OPERS		
	(c)	The location of the audit state and country):	ting firm's office respon	nsible for the private fund's audit (city,	
		City: NEW YORK	State:	Country:	
		NEW YORK	New York	UNITED STATES	
	(d)) Is the auditing firm an i	ndependent public acco	ountant?	Yes No
	(e)	Is the auditing firm regi	istered with the Public (Company Accounting Oversight Board?	<u>•</u> с
	(f)	If "yes" to (e) above, is Company Accounting Ov		ect to regular inspection by the Public dance with its rules?	<u>•</u> с
	<u> </u>				
(g)		the private fund's audite	ed financial statements	distributed to the private fund's	Yes No
(h)	Doe	s the report prepared by	the auditing firm conta	ain an unqualified opinion?	
	O	Yes 🧖 No 🧖 Report Not	Yet Received		
		ou check "Report Not Yet ate your response when		promptly file an amendment to your For	m ADV to
<u>Prime</u>	Brol	<u>ker</u>			Yes No
24. (a)	Doe	s the private fund use on	ne or more prime broke	ers?	0 6
	the		private fund uses more	ns (b) through (e) below for each prime e than one prime broker, you must come broker.	
			No Informa	tion Filed	
•					
Custo	<u>nait</u>				Yes No
25. (a)		s the private fund use an ne or all of its assets?	ny custodians (includinç	g the prime brokers listed above) to hol	
	priv	, , ,	vate fund uses more that	ns (b) through (f) below for each custod an one custodian, you must complete qu	
	Add	ditional Custodian Info	ormation : 1 Record(s) Filed.	
	pri		ivate fund uses more th	ons (b) through (f) below for each custo nan one custodian, you must complete odian.	dian the

IAPD - View All Page 327 of 48

(b)	Legal name of custodian NORTHERN TRUST COM			
(c)	c) Primary business name of custodian: NORTHERN TRUST COMPANY			
(d)	The location of the custo state and country):	odian's office resp	oonsible for custody of the private fund's asso	ets (city,
	City:	State:	Country:	
	CHICAGO	Illinois	UNITED STATES	
(e)	Is the custodian a relate	ed person of your	firm?	Yes No
(f)	If the custodian is a brol	ker-dealer, provid	de its SEC registration number (if any)	
	CRD Number (if any):			

Administrator

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: NORTHERN TRUST

(c) Location of administrator (city, state and country):

City: State: Country:

CHICAGO

UNITED STATES Illinois

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)

IAPD - View All Page 328 of 48

No (provided to no investors)

(f) If the answer to 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.

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 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 TAX-MANAGED INTERNATIONAL VALUE SERIES

(b) Private fund identification number: (include the "805-" prefix also)

805-5964274196

2. Under the laws of what state or country is the private fund organized:

State: Country:

UNITED STATES Delaware

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

IAPD - View All Page 329 of 48

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 the Investment Company Act of 1940) of
	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7 the Investment Company Act of 1940) of
5.	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.	
	No Information Filed	
		s 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	
	Vos	s No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	S INC
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in what this private fund invests?	hich
	Name of the 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 instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:	the
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feefunds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would a be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple class (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	lso sses a
8.	Yes (a) Is this private fund a "fund of funds"?	s No
Ο.		0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its	6

IAPD - View All Page 330 of 48

total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.

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?

nedge fund I liquidity fund private equity fund real estate fund securitized asset fund venture capital fund Other private fund DBT

NOTE: For funds of funds, refer to the funds in which the private fund invests. 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:

\$ 21,758,301

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 person:

0%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

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

Page 331 of 48 IAPD - View All

	B(a) is "yes," provide to the answer to que:	ate fund? the name and SEC file number, if any, of stion 18(a) is "no," leave this question bla nation Filed	
19. Are your clients solicited to inve	est in the private fund	?	Yes No
20. Approximately what percentage 1%	of your clients has in	vested in the private fund?	
<u>Private Offering</u>			Yes No
21. Does the private fund rely on ar D of the Securities Act of 1933?		istration of its securities under Regulation	
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 fir (2) Are the financial statement			Yes No
		estions (b) through (f) below. If the prival plete questions (b) through (f) separately	
Additional Auditor Inforn	nation : 1 Record(s)) Filed.	
	uditing firm, you mus	lestions (b) through (f) below. If the priva t complete questions (b) through (f)	ate
(b) Name of the auditing fi PRICEWATERHOUSECO			
(c) The location of the aud state and country):	iting firm's office resp	onsible for the private fund's audit (city,	
City: NEW YORK	State:	Country:	
NEW TORK	New York	UNITED STATES	
(d) Is the auditing firm an	independent public ac	countant?	Yes No

IAPD - View All Page 332 of 48

	(e) Is the auditing firm re-	gistered with tl	he Public Company Accounting Oversight Board?	<u>•</u> с
			firm subject to regular inspection by the Public d in accordance with its rules?	o c
•				Yes No
	Are the private fund's audit	ed financial sta	atements distributed to the private fund's	© C
(h) [Does the report prepared b	y the auditing	firm contain an unqualified opinion?	
1	Yes No Report No f you check "Report Not You check "Report Not You pdate your response where	et Received," y	ou must promptly file an amendment to your For	m ADV to
rime B	<u>Broker</u>			
				Yes No
4. (a) [Does the private fund use of	one or more pr	ime brokers?	O 🧧
t		e private fund	o questions (b) through (e) below for each prime uses more than one prime broker, you must com each prime broker.	
		N	o Information Filed	
ustodi	an			
				Yes No
	Does the private fund use a come or all of its assets?	any custodians	(including the prime brokers listed above) to hol	ld 🧿 C
þ		ivate fund uses	o questions (b) through (f) below for each custoc s more than one custodian, you must complete q lian.	
	Additional Custodian In	formation : 1	Record(s) Filed.	
		rivate fund use	to questions (b) through (f) below for each custones more than one custodian, you must complete each custodian.	odian the
	(b) Legal name of custodic NORTHERN TRUST CO			
	(c) Primary business nam NORTHERN TRUST CO			
	(d) The location of the cus state and country):	stodian's office	responsible for custody of the private fund's asse	ets (city,
	City:	State:	Country:	
	CHICAGO	Illinois	UNITED STATES	

IAPD - View All Page 333 of 48

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):

<u>Administrator</u>

Yes No

26. (a) Does the private fund use an administrator other than your firm?



If the answer to 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 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 the administrator: NORTHERN TRUST

(c) Location of administrator (city, state and country): State: City: Country:

CHICAGO

Illinois **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 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%

IAPD - View All Page 334 of 48

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 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. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

DENNIS HUNTER, KARLA BODDEN, MARK MANLEY

- 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
 - V (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

IAPD - View All Page 335 of 48

Other - CAYMAN ISLANDS MONETARY AUTHORITY

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?

Private Fund Name	Private Fund Identification Number
BERNSTEIN ADVANCED VALUE OFFSHORE LTD.	805-7627223330

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 the 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)

805-7627223330

(c) Under the laws of what state or country is the private fund organized:

State: Country:

CAYMAN ISLANDS

(d) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

Name of General Partner, Manager, Trustee, or Director

IAPD - View All Page 336 of 48

	DENNIS HUNTER, KARLA BODDEN, MARK MANLEY	
	(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 sect (c)(1) of the Investment Company Act of 1940	tion 3
	(2) qualifies for the exclusion from the definition of investment company under sect (c)(7) of the Investment Company Act of 1940	tion 3
	(f) List the name and country, in English, of each foreign financial regulatory authority with with private fund is registered.	which
	Name of Country/English Name of Foreign Financial Regulatory Authority	
	Other - CAYMAN ISLANDS MONETARY AUTHORITY	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple (or series) of shares or interests, and each class (or series) invests substantially all of its assets single master fund.	d also classes
		Yes No
8.	(a) Is this private fund a "fund of funds"?	O 🧧
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies.	its
		Yes No
).	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.)?	O 6
Ο.	What type of fund is the private fund?	
	hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset for	und
	venture capital fund Other private fund	
	NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of t fund types, please see Instruction 6 of the Instructions to Part 1A.	these
1.	Current gross asset value of the private fund: \$ 22,819,974	
<u>N</u>	<u>vnership</u>	
2.	Minimum investment commitment required of an investor in the private fund: \$500,000	

IAPD - View All Page 337 of 48

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:

11

14. What is the approximate percentage of the private fund beneficially owned by you and your related person:

44%

15. What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:

0%

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

36%

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 other investment advisers 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?



20. Approximately what percentage of your clients has invested in the private fund?

1%

Private Offering

Yes No

21. Does the private fund rely 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

IAPD - View All	Page 338 of 48

Page 339 of 48 IAPD - View All

SECTION 7.B.(2) Private Fund Reporting

No Information Filed

Item 8 Participation or Interest in Client Transactions			
In this Item, we request inforr	mation about your participation and inter	est in vour clients' transactions. This	

information identifies additional areas in which conflicts of interest may occur between you and your clients.

Like Item 7, Item 8 requires you to provide information about you and your related persons, including

for	eign	affiliates.		
Pro	prie	etary Interest in Client Transactions		
Α.	Do	you or any related person:	Yes	No
	(1)	buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)?	0	0
	(2)	buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?	•	0
	(3)	recommend securities (or other 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))?	0	0
Sal	es I	nterest in Client Transactions		
В.	Do	you or any related person:	Yes	
	(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)?	0	0
	(2)	recommend purchase of securities to advisory clients for which you or any related person serves as underwriter, general or managing partner, or purchaser representative?	0	0
	(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)?	Ø	0
Inv	estr	ment or Brokerage Discretion		
С.	Do	you or any related person have discretionary authority to determine the:	Yes	No
	(1)	securities to be bought or sold for a client's account?	•	0
	(2)	amount of securities to be bought or sold for a client's account?	•	0
	(3)	broker or dealer to be used for a purchase or sale of securities for a client's account?	•	0
	(4)	commission rates to be paid to a broker or dealer for a client's securities transactions?	•	
D.	If y	ou answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	•	0
E.	Do	you or any related person recommend brokers or dealers to clients?	•	0
F.	If y	ou answer "yes" to E above, are any of the brokers or dealers related persons?	•	0
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?	0	0
	(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?	•	0

Page 340 of 48

IAPD - View All H. Do you or any related person, directly or indirectly, compensate any person for client referrals? Do you or any related person, directly or indirectly, receive compensation from any person for

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

client referrals?

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':

Yes No

(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:

U.S. Dollar Amount

Total Number of Clients

(a) \$ 41,965,997,745

(b) 200

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':

Yes No

(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:

U.S. Dollar Amount

Total Number of Clients

(a) \$ 67,393,969,279

(b) 29,762

IAPD - View All Page 341 of 48

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.
Ε.	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/YYYY) the examination commenced: 08/2011
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 connectio with advisory services you provide to clients?

Item 10 Control Persons

In this Item, we ask you to identify every person that, directly or indirectly, controls you.

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.

Yes No

Does any person not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, control your management or policies?

IAPD - View All Page 342 of 48

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.

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.

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.

Do	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:				
Α.	In the past ten years, have you or any advisory affiliate:	Yes No			
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?	င 🧧			
	(2) been charged with any felony?	္ 🧧			
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting you may limit your response to Item 11.A.(2) to charges that are currently pending.	adviser,			
В.	In the past ten years, have you or any advisory affiliate:				

- (1) been convicted of or pled 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:	Yes	s No
	(1) found you or any advisory affiliate to have made a false statement or omission?	•	0
	(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?	•	0
	(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?	О	0
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	0	0
	(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?	•	0
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?	•	0
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	0	0
	(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?	O	0
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	0	0
	(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?	O	0
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?	О	•
	(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)?	•	0
	(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?	О	0
	(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities?	C	O
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?	o	O
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.?	0	•
<u>Vie</u>	w Disclosure Reporting Page		
For	"yes" answers to the following questions, complete a Civil Judicial Action DRP:		
Н.	(1) Has any domestic or foreign court:	Yes	s No
	(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	О	0
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	\circ	Ô

IAPD - View All Page 344 of 48

(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:

- 1 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.

		Yes	Nc
Α.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0	0
lf "	yes," you do not need to answer Items 12.B. and 12.C.		
В.	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?	0	0
	(2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0
C.	Are you:		
	(1) controlled by or under common control with 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?	О	0
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0

Part 2 Brochures

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.

Yes No

IAPD - View All Page 345 of 48

Are you exempt from delivering a brochure to all of your clients under these rules?

If no, complete the ADV Part 2 filing below.

Brochures

Note: These documents are available as Portable Document Format (PDF) files. If you do not have the Adobe Acrobat Reader to view PDF files, please click here to download.

Brochure Name	Date Submitted	Date Last Confirmed
ALLIANCEBERNSTEIN ADV PART 2A (BERNSTEIN GLOBAL WEALTH MANAGEMENT)	03/30/2012	
ALLIANCEBERNSTEIN ADV PART 2A (INSTITUTIONAL)	03/30/2012	

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 Operations 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 or 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/FE/I 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
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of

IAPD - View All Page 346 of 48

the Exchange Act. (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	nn. DE/FE/I	Status	Date Status Acquired MM/YYYY	Ownership Code	Control Person	PR	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
ALLIANCEBERNSTEIN CORPORATION	DE	GENERAL PARTNER	10/1999	NA	Υ	N	107445
ALLIANCEBERNSTEIN HOLDING L.P.	DE	LIMITED PARTNER	10/1999	С	Υ	Υ	106998
DE CASTRIES, HENRI DE LA CROIX	l	DIRECTOR OF ABC	10/1993	NA	Υ	N	4338606
DUVERNE, DENIS	I	DIRECTOR OF ABC	02/1996	NA	Υ	Ν	3028622
TOBIN, PETER JOSEPH	I	DIRECTOR OF ABC	05/2000	NA	Υ	Ν	3231098
MANLEY, MARK, RANDALL	I	SENIOR VICE PRESIDENT, DEPUTY GENERAL COUNSEL, ASST. SECRETARY OF ABC AND CHIEF COMPLIANCE OFFICER	05/1984	NA	Y	N	1294370
CONDRON, CHRISTOPHER, MARK	I	DIRECTOR OF ABC	05/2001	NA	Υ	N	51937
SLUTSKY, LORIE, ANN	I	DIRECTOR OF ABC	07/2002	NA	Υ	Ν	4648694
CRANCH, LAURENCE, EDWARD	I	GENERAL COUNSEL	07/2004	NA	Υ	N	4828314
CARREL-BILLIARD, DOMINIQUE	I	DIRECTOR OF ABC	07/2004	NA	Υ	N	4838411
AXA EQUITABLE LIFE INSURANCE COMPANY	DE	LIMITED PARTNER	12/1985	D	Υ	Υ	13-5570651
HICKS, WESTON, MILLIKEN	I	DIRECTOR OF ABC	07/2005	NA	Υ	N	2172370
GINGRICH, JAMES, ANDREW	I	CHIEF OPERATING OFFICER	01/2012	NA	Υ	N	4123574
DZIADZIO, RICHARD	I	DIRECTOR OF ABC	05/2007	NA	Υ	Ν	4362519
HECHINGER, DEBORAH, SMITH	I	DIRECTOR OF ABC	05/2007	NA	Υ	N	5397115
SMITH, ALAN, WRIGHT	I	DIRECTOR OF ABC	07/2005	NA	Υ	Ν	5397121
KRAUS, PETER, STEVEN	I	CHAIRMAN AND CEO	12/2008	NA	Υ	Ν	1605655
MASSAD, LORI, ANNE	I	CHIEF TALENT OFFICER TALENT DEVELOPMENT & HUMAN CAPITAL	01/2009	NA	Υ	N	5268883
ELLIOTT, STEVEN, JAMES	I	DIRECTOR OF ABC	01/2011	NA	Υ	N	732500
MOLLOY, KEVIN	I	DIRECTOR OF ABC	01/2011	NA	Υ	Ν	2962906
FARRELL, EDWARD, JOSEPH	I	ACTING CHIEF FINANCIAL OFFICER	01/2011	NA	Υ	N	2069171
VAN BRUGGE, ROBERT, P.	1	CEO OF SANFORD C. BERNSTEIN & CO., LLC	01/2012	NA	Υ	N	4610799

IAPD - View All Page 347 of 48

PEARSON, MARK		DIRECTOR OF AB	01/2011	NA	Υ	Ν	5904212
---------------	--	----------------	---------	----	---	---	---------

Schedule B

Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application. 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/FE/I 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

C - 25% but less than

E - 75% or more

are:

50%

D - 50% but less than

F - Other (general partner, trustee, or elected

75% 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 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(d) of the Exchange Act.
 - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned			Ownership Code	Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
AXA	FE	AXA FINANCIAL,	100% SHAREHOLDER	03/1999	E	Y	Υ	0

IAPD - View All Page 348 of 48

	INC.						
AXA FINANCIAL, INC.	AXA EQUITABLE LIFE INSURANCE COMPANY	100% SHAREHOLDER	09/1999	E	Υ	N	13-3623351

Form ADV, Schedule D 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 S an exempt reporting adviser, list only t	0	3	3
Number and Street 1: 127 PUBLIC SQUARE		Number and Street 2: SUITE 5000	
City: CLEVELAND	State:	Country:	ZIP+4/Postal Code: 44114
	Ohio	UNITED STATES	
If this address is a private residence, c	heck this box	к: 🗖	
elephone Number: Facsimile Number: 16-378-8044			

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

53 STATE STREET 29ND FLOOR

City: State: ZIP+4/Postal Code: Country:

BOSTON 02109

> Massachusetts **UNITED STATES**

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

Telephone Number:

617-788-3700

Facsimile Number:

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 five offices (in terms of numbers of employees).

IAPD - View All Page 349 of 48

Number and Street 1: 101 EAST KENNEDY BLVD.		Number and Street 2: 32ND FLOOR	
City:	State:	Country:	ZIP+4/Postal Code:
TAMPA	Florida	UNITED STATES	33602
If this address is a private residence,	check this box		
Telephone Number: 813-314-3300	Facsimile Nu	umber:	
Complete the following information fo which you conduct investment adviso each location. If you are applying for an exempt reporting adviser, list only	ry business. Yo SEC registratio	ou must complete a sepa on, if you are registered o	rate Schedule D Section 1.F. for only with the SEC, or if you are
Number and Street 1: 135 WEST 50TH STREET		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
NEW YORK	New York	UNITED STATES	10020
If this address is a private residence,	check this box		
Telephone Number: (212)486-5800	Facsimile Nui (212)756-41		
Complete the following information fo which you conduct investment adviso each location. If you are applying for an exempt reporting adviser, list only	ry business. Yo SEC registratio	ou must complete a sepa on, if you are registered o	rate Schedule D Section 1.F. for only with the SEC, or if you are
Number and Street 1: 1999 AVENUE OF THE STARS		Number and Street 2 SUITE 2150	:
City:	State:	Country:	ZIP+4/Postal Code:
LOS ANGELES	California	UNITED STATES	90067
If this address is a private residence,	check this box		
Telephone Number: (310)286-6000	Facsimile Nun (310)286-600		

Page 350 of 48

IAPD - View All 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: 8000 1H 10 WEST 4TH FLOOR Country: ZIP+4/Postal Code: City: State: SAN ANTONIO 78230 Texas **UNITED STATES** If this address is a private residence, check this box: \Box Telephone Number: Facsimile Number: (210)384-6000 (210)384-6101 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: SUITE 950 300 CRESCENT COURT City: ZIP+4/Postal Code: State: Country: **DALLAS** 75201 Texas **UNITED STATES** If this address is a private residence, check this box: \Box Telephone Number: Facsimile Number: (214)860-5200 (214)860-5222 an exempt reporting adviser, list only the largest five offices (in terms of numbers of employees).

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

Number and Street 1: Number and Street 2:

601 UNION SQUARE **SUITE 4650**

City: State: ZIP+4/Postal Code: Country:

SEATTLE 98101

> Washington **UNITED STATES**

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

IAPD - View All Page 351 of 48

Telephone Number: Facsimile Number: (206)342-1300 (206)342-1300

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

800 CONNECTICUT AVENUE NW **SUITE 1001**

City: ZIP+4/Postal Code: State: Country: WASHINGTON

20006

District of Columbia UNITED STATES

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

Telephone Number: Facsimile Number: (202)261-6700 (202)261-6767

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2: 777 SOUTH FLAGLER DRIVE SUITE 1010 WEST

State: Country: ZIP+4/Postal Code:

WEST PALM BEACH 33401

> **UNITED STATES** Florida

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

Telephone Number: Facsimile Number: (561)820-2100 (561)820-2100

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

1735 MARKET STREET **SUITE 3800**

ZIP+4/Postal Code: City: State: Country:

PHILADELPHIA 19103 IAPD - View All Page 352 of 48

	Pennsylvania	UNITED STATES	
If this address is a private residence,	check this box:		
Telephone Number: I 215-430-5600	Facsimile Number	:	
Complete the following information for which you conduct investment advisor each location. If you are applying for an exempt reporting adviser, list only	ory business. You SEC registration,	must complete a separa if you are registered on	ite Schedule D Section 1.F. for ily with the SEC, or if you are
Number and Street 1: 1225 17TH ST.		Number and Street 2: SUITE 2900	
City: DENVER	State:	Country:	ZIP+4/Postal Code: 80202
DERVER	Colorado	UNITED STATES	00202
If this address is a private residence,	check this box:		
Telephone Number: 303-292-7400	Facsimile Numb	er:	
Complete the following information for which you conduct investment advisor each location. If you are applying for an exempt reporting adviser, list only	ory business. You SEC registration,	must complete a separa if you are registered on	ite Schedule D Section 1.F. for ily with the SEC, or if you are
Number and Street 1: 4365 EXECUTIVE DRIVE		Number and Street 2: SUITE 700	
City: SAN DIEGO	State:	Country:	ZIP+4/Postal Code: 92121
SAN BIEGO	California	UNITED STATES	72121
If this address is a private residence,	check this box:		
Telephone Number: 858-812-2200	Facsimile Number	er:	

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 five offices (in terms of numbers of employees).

Page 353 of 48 IAPD - View All

Number and Street 1: PROMINENCE TOWER, 3475 PIEDMON	T ROAD	Number and Street 19TH FLOOR	2:
City:	State:	Country:	ZIP+4/Postal Code:
ATLANTA	Georgia	UNITED STATES	30305
If this address is a private residence, c	check this box:		
Telephone Number: 404-279-4842	Facsimile Nun 404-279-4850		
Complete the following information for which you conduct investment advisory each location. If you are applying for S an exempt reporting adviser, list only to	y business. You SEC registration	u must complete a se n, if you are registere	parate Schedule D Section 1.F. for d only with the SEC, or if you are
Number and Street 1:		Number and Stree	
NO. 1233 LUJIAZUI RING ROAD City:	State:	ROOM 2601-2602 Country:	, AZAI CENTER ZIP+4/Postal Code:
SHANGHAI	State.	CHINA	200120
If this address is a private residence, c	check this box:		
Telephone Number: 86-21-2893-4828	Facsimile 86-21-289		
Complete the following information for which you conduct investment advisory each location. If you are applying for S an exempt reporting adviser, list only to	y business. You SEC registration	u must complete a se n, if you are registere	parate Schedule D Section 1.F. for d only with the SEC, or if you are
Number and Street 1: C/ PINAR 5		Number and Stree	et 2:
City:	State:	Country:	ZIP+4/Postal Code:
MADRID		SPAIN	28006
If this address is a private residence, c	check this box:		
Telephone Number: 34-91-745-6836	Facsimile 34-91-74		
1			

IAPD - View All Page 354 of 48

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 five offices (in terms of numbers of employees). Number and Street 2: Number and Street 1: AV. PRESIDENTE JUSCELINO KUBITSCHEK 1.726 - 200. ANDAR City: State: Country: ZIP+4/Postal Code: SAO PAOLO 04548-011 BRAZIL If this address is a private residence, check this box: Telephone Number: Facsimile Number: 55-11-4505-3770 55-11-4505-3799 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: ONE NORTH LEXINGTON AVENUE City: ZIP+4/Postal Code: State: Country: WHITE PLAINS 10601 New York UNITED STATES If this address is a private residence, check this box: Telephone Number: Facsimile Number: (914)993-2300 (914)993-2660 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: CHIFLEY TOWER, 2 CHIFLEY SQUARE LEVEL 37 ZIP+4/Postal Code: City: State: Country: **SYDNEY** NSW 2000 AUSTRALIA If this address is a private residence, check this box: \Box

IAPD - View All Page 355 of 48

Telephone Number: Facsimile Number: 612-9247-9766 612-9247-9766

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

TD CANADA TRUST TOWER, 161 BAY STREET 27TH FLOOR

City: ZIP+4/Postal Code: State: Country:

TORONTO M5J 2S1

CANADA

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

Telephone Number: Facsimile Number: (416)601-1262 (416)601-1263

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

BMB BUILDING, 6TH FLOOR DIPLOMATIC ARENA P.O. BOX 10515

City: State: Country: ZIP+4/Postal Code:

MANAMA

BAHRAIN

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

Telephone Number: Facsimile Number: 917-530-510 917-530-510

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 five offices (in terms of numbers of employees).

Number and Street 1: Number and Street 2:

1-8-3, MARUNOUCHI, CHIYODA-KU MARUNOUCHI TRUST TOWER MAIN State: Country: ZIP+4/Postal Code: City:

TOKYO 100-0005

APD - View All			Page 356 of	48
		JAPAN		
If this address is a private resi	dence, check this b	ox:		
Telephone Number: 81-3-3240-8410		ille Number: 240-8534		
which you conduct investment	advisory business. ing for SEC registra	You must complete attion, if you are regis	ncipal office and place of business, as separate Schedule D Section 1.F. for tered only with the SEC, or if you are of numbers of employees).	for
Number and Street 1: PRUDENTIAL TOWER, NO. 30 (SUITE 28-0	CECEIL STREET,	Number and Stre 28TH FLOOR	et 2:	
City: SINGAPORE	State:	Country:	ZIP+4/Postal Code: 49712	
		SINGAPORE		
If this address is a private resi	dence, check this b	ox: \square		
Telephone Number: 65-535-0722	Facsimile 65-535-2	Number: 2766		
which you conduct investment	advisory business. ing for SEC registra	You must complete attion, if you are regis	ncipal office and place of business, as separate Schedule D Section 1.F. for tered only with the SEC, or if you are of numbers of employees).	for
Number and Street 1: 50 BERKELEY STREET		Number and Street	2:	
City: LONDON	State:	Country:	ZIP+4/Postal Code: W1J8HA	
		UNITED KINGDOM		
If this address is a private resi	dence, check this b	ox:		
Telephone Number:	Facsimile N			

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

IAPD - View All Page 357 of 48

an exempt reporting adviser, list only th	e largest five	offices (in terms of	numbers of employees).
Number and Street 1: SUITE 2608-11, 26/F		Number and Stre ONE INTERNATIONSTREET	eet 2: ONAL CENTRE, 1 HARBOUR VIEW
City:	State:	Country:	ZIP+4/Postal Code:
HONG KONG		CHINA	
If this address is a private residence, ch	eck this box:		
Telephone Number: 852-2918-7888	Facsimile N 852-2918-		
Complete the following information for exhibit you conduct investment advisory each location. If you are applying for SE an exempt reporting adviser, list only the	business. You C registration	must complete a s , if you are register	eparate Schedule D Section 1.F. for ed only with the SEC, or if you are
Number and Street 1: 22 RIEBEEK STREET	N	lumber and Street	2:
City: CAPETOWN	State: 0	Country:	ZIP+4/Postal Code: 8001
CAPETOWN	S	SOUTH AFRICA	8001
If this address is a private residence, ch	eck this box:		
Telephone Number: 27-21-409-7680	Facsimile Nur 27-11-409-76		
Complete the following information for ewhich you conduct investment advisory each location. If you are applying for SE an exempt reporting adviser, list only the	business. You C registration	must complete a s , if you are register	eparate Schedule D Section 1.F. for ed only with the SEC, or if you are
Number and Street 1: WINDSOR, 6TH FLOOR, OFF CST ROAD,	SANTA CRUZ	Number and Stre	eet 2:
City: MUMBAI	State:	Country:	ZIP+4/Postal Code: 400098
		INDIA	
If this address is a private residence, ch	eck this box:		
Telephone Number: 91-22-496-0094	Facsimile N 91-22-497		

IAPD - View All Page 358 of 48

which you conduct investment ad	visory business. for SEC registra	You must complete a settion, if you are registered	pal office and place of business, at eparate Schedule D Section 1.F. for ed only with the SEC, or if you are numbers of employees).
Number and Street 1: 701 BRICKELL AVENUE		Number and Street : SUITE 2240	2:
City:	State:	Country:	ZIP+4/Postal Code:
MIAMI	Florida	33131 a UNITED STATES	
If this address is a private resider	nce, check this b	ox:	
Telephone Number: (305) 530-6200	Facsimile (305) 530		
which you conduct investment ad	visory business. for SEC registra	You must complete a settion, if you are registered	pal office and place of business, at eparate Schedule D Section 1.F. for ed only with the SEC, or if you are numbers of employees).
Number and Street 1:		Number and Street 2	2.

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

City:

HOUSTON

Telephone Number: Facsimile Number:

(832) 366-2000 (832) 366-2000

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 five offices (in terms of numbers of employees).

Country:

UNITED STATES

ZIP+4/Postal Code:

77002

Number and Street 2: Number and Street 1:

227 WEST MONROE STREET **SUITE 3700**

ZIP+4/Postal Code: City: State: Country:

CHICAGO 60606

State:

Texas

Illinois **UNITED STATES** IAPD - View All Page 359 of 48 If this address is a private residence, check this box: \Box Telephone Number: Facsimile Number: (312)357-9700 (312)357-1197 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: 225 SOUTH SIXTH STREET **SUITE 5000** City: State: Country: ZIP+4/Postal Code: **MINNEAPOLIS** 55402 Minnesota **UNITED STATES** If this address is a private residence, check this box: \Box Telephone Number: Facsimile Number: (612)342-1544 (612)342-2149 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 five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: 555 CALIFORNIA STREET **SUITE 4300** City: ZIP+4/Postal Code: State: Country: SAN FRANCISCO 94104 California UNITED STATES If this address is a private residence, check this box: $\ \square$ Telephone Number: Facsimile Number: (415)217-8000 (415)217-8111 SECTION 1.1. Website Addresses List your website addresses. You must complete a separate Schedule D Section 1.I. for each website

address.

Website Address: WWW.ALLIANCEBERNSTEIN.COM IAPD - View All Page 360 of 48

Website Address: WWW.BERNSTEIN.COM

SECTION 1	1 1	ocation of	Books	and Record	15

Complete the following information your principal office and place of bulocation.						
Name of entity where books and re- ALLIANCEBERNSTEIN L.P.	cords are k	cept:				
Number and Street 1: 777 SOUTH FLAGLER DRIVE, SUITE	E 1010 WES		nber and Street 2:			
City: WEST PALM BEACH	State:	Cou	ntry:	ZIP+4/Postal Code: 33401		
WEST FALIN BEACT	Florida	UNI	TED STATES	33401		
If this address is a private residence	e, check thi	is box:				
Telephone Number: (561)820-2100		ile numbei <mark>20-2121</mark>	r:			
This is (check one):						
one of your branch offices or aff	filiates.					
a third-party unaffiliated records	keeper.					
C other.						
Briefly describe the books and record CERTAIN BOOKS AND RECORDS MAADVISERS ACT.				TION 204 OF THE INVESTMENT		
Name of entity where books and re- ALLIANCEBERNSTEIN LTD	cords are k	cept:				
Number and Street 1:	١	Number a	nd Street 2:			
	O BERKELEY STREET State: Country: ZIP+4/Postal Code:					
LONDON WIJ 8HA UNITED KINGDOM						
	(UNITED K	INGDOM			
If this address is a private residence	e, check thi	is box:				
•	Facsimile n					
44-20-7470-0100 44-20-7470-0100						

IAPD - View All Page 361 of 48 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. Name of entity where books and records are kept: ALLIANCEBERNSTEIN ASSET MANAGEMENT (KOREA) LTD. Number and Street 1: Number and Street 2: 84 TAEPYUNGRO 1-GA City: ZIP+4/Postal Code: State: Country: **SEOUL** KOREA, SOUTH If this address is a private residence, check this box: Telephone Number: Facsimile number: 82-2-3707-3400 82-2-3707-3400 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: INVESTMENT ADVISORY. Name of entity where books and records are kept: ALLIANCEBERNSTEIN INVESTMENTS (BRASIL) LTDA. Number and Street 1: Number and Street 2: AV. PRESIDENT JUSCELINO KUBITSCHEK, 1726-20 ANDAR City: ZIP+4/Postal Code: State:

Country:

SAO PAULO

BRAZIL

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

Telephone Number: Facsimile number: 55-11-3457-3770 55-11-3457-3770

IAPD - View All Page 362 of 48 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, DISTRIBUTION. Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P. Number and Street 1: Number and Street 2: ONE NORTH LEXINGTON AVENUE ZIP+4/Postal Code: City: State: Country: WHITE PLAINS 10601 New York **UNITED STATES** If this address is a private residence, check this box: Telephone Number: Facsimile number: (914)993-2300 (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: ALLIANCEBERNSTEIN L.P. Number and Street 1: Number and Street 2: 709 WESTCHESTER AVENUE ZIP+4/Postal Code: City: State: Country:

WHITE PLAINS 10604 New York **UNITED STATES** If this address is a private residence, check this box:

Facsimile number: Telephone Number: (914)684-6900 (914)684-0426

Page 363 of 48 IAPD - View All

This is (check one): one of your branch offices or affiliates. a third-party unaffiliated recordkeeper.				
O other. Briefly describe the books and records kept at this CERTAIN BOOKS AND RECORDS MAINTAINED IN ADVISERS ACT.		E WITH SECTIO	ON 204	4 OF THE INVESTMENT
Name of entity where books and records are kept ALLIANCEBERNSTEIN AUSTRALIA LIMITED	:			
Number and Street 1:	DI A OF	Number a	and Sti	reet 2:
LEVEL 29, GOVERNOR PHILIP TOWER, 1 FARRER City:	State:	Country:		ZIP+4/Postal Code:
SYDNEY		AUSTRAL		NSW 2000
If this address is a private residence, check this b	ox:			
Telephone Number: 612-9247-9766	Facsimile r 612-9247-			
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 CERTAIN BOOKS AND RECORDS MAINTAINED IN ADVISERS ACT.		E WITH SECTIO	ON 204	4 OF THE INVESTMENT
Name of entity where books and records are kept ALLIANCEBERNSTEIN CANADA, INC.	:			
Number and Street 1: BCE PLACE, 1 BAY STREET, SUITE 2350 City: S TORONTO		•		Postal Code:
If this address is a private residence, check this b	ox:			

IAPD - View All Page 364 of 48

·	Facsimile numbe (416)601-1263	er:	
This is (check one):			
one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at thi CERTAIN BOOKS AND RECORDS MAINTAINED IN ADVISERS ACT.		WITH SECTION	204 OF THE INVESTMENT
Name of entity where books and records are kep FUJI SECURITY	t:		
Number and Street 1: 973 AZA DAIKAN OAZA KAMIYATSU OGOSE-CHO)	Number and IRUMA-GUN	
City:	State:	Country:	ZIP+4/Postal Code:
SAITAMA		JAPAN	350-0407
		<i>57 tt 7 tt 1</i>	
If this address is a private residence, check this b	oox:		
Telephone Number: 81-49-292-7388	Facsimile nui 81-49-292-7		
This is (check one):			
one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at thi CERTAIN BOOKS AND RECORD MAINTAINED IN A ADVISERS ACT.		VITH SECTION 2	204 OF THE INVESTMENT
Name of entity where books and records are kep ALLIANCE CAPITAL MANAGEMENT INTERNATION.			
Number and Street 1:		Number and	Street 2:
BMB BUILDING, 6TH FLOOR, DIPLOMATIC ARENA	4	P.O. BOX 10	
City:	State:	Country:	ZIP+4/Postal Code:
MANAMA		BAHRAIN	
If this address is a private residence, check this b	oox:		

Page 365 of 48 IAPD - View All

Telephone Number: 973-530-510		Facsimile nun 973-530-520	nber:	
This is (check one): one of your branch offices or aff a third-party unaffiliated recordk other. Briefly describe the books and recordent of the control of	ceeper.		WITH SECTIO	N 204 OF THE INVESTMENT
Name of entity where books and rec ALLIANCEBERNSTEIN JAPAN LTD.	cords are kept:			
Number and Street 1:	FOWER 12F		Number and	d Street 2:
OHTEMACHI FIRST SQUARE WEST T City:		State:	Country:	ZIP+4/Postal Code:
1-5-1 OHTEMACHI, CHIYODA-KU TC	OKYO		JAPAN	100-0004
If this address is a private residence	e, check this box	c: □		
Telephone Number: 81-3-3240-8410		Facsimile 83-3-32	e number: 40-8534	
This is (check one):				
one of your branch offices or aff				
a third-party unaffiliated recordkother.	eeper.			
Briefly describe the books and recor CERTAIN BOOKS AND RECORDS MA ADVISERS ACT.			WITH SECTIO	N 204 OF THE INVESTMENT
Name of entity where books and rec ALLIANCEBERNSTEIN HONG KONG I				
Number and Street 1: SUITE 2608-11, 26/F City: State: HONG KONG	Number and Some INTERNATION Country:	TONAL FINAN	CE CENTRE,1 4/Postal Code	HARBOUR VIEW ST ::

IAPD - View All Page 366 of 48

This is (check one): one of your branch offices or affiliates. c 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 (SINGAPORE) LTD. Number and Street 1: 1 FINLAYSON GREEN #13-00 City: SINGAPORE SINGAPORE If this address is a private residence, check this box: Telephone Number: 65-535-0722 Facsimile number: 65-535-0722 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ	If this address is a private residence	ce, check th	nis box:			
one of your branch offices or affiliates. C a third-party unaffiliated recordkeeper. C 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 (SINGAPORE) LTD. Number and Street 1: 1 FINLAYSON GREEN #13-00 City: State: Country: ZIP+4/Postal Code: SINGAPORE If this address is a private residence, check this box: Telephone Number: Facsimile number: 65-535-0722 65-535-2766 This is (check one): One of your branch offices or affiliates. C a third-party unaffiliated recordkeeper. C 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: Witx 6JJ	•		:			
ALLIANCEBERNSTEIN (SINGAPORE) LTD. Number and Street 1: Number and Street 2: 1 FINLAYSON GREEN #13-00 City: State: Country: ZIP+4/Postal Code: 049246 SINGAPORE If this address is a private residence, check this box: Telephone Number: Facsimile number: 65-535-0722 65-535-2766 This is (check one): one of your branch offices or affiliates. Priefly 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ	a third-party unaffiliated recordother. Briefly describe the books and record	keeper. ords kept a			SECTION 204 OF THE INVESTMEN	Т
City: State: Country: ZIP+4/Postal Code: 049246 SINGAPORE SINGAPORE SINGAPORE SINGAPORE Telephone Number: Facsimile number: 65-535-0722 65-535-2766 This is (check one): □ one of your branch offices or affiliates. □ 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: WITX 6JJ			<ept:< td=""><td></td><td></td><td></td></ept:<>			
City: State: Country: ZIP+4/Postal Code: 049246 SINGAPORE If this address is a private residence, check this box: Telephone Number: Facsimile number: 65-535-0722 65-535-2766 This is (check one): one of your branch offices or affiliates. one a third-party unaffiliated recordkeeper. onther. 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ	Number and Street 1:			Number and Stree	et 2:	
Telephone Number: 65-535-0722 65-535-2766 This is (check one): one of your branch offices or affiliates. one of your branch offices or affiliates. one of ther. 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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: City: State: Country: ZIP+4/Postal Code: W1X 6JJ	City: SINGAPORE	State		J		
65-535-0722 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 LIMITED Number and Street 1: 1 MAYFAIR PLACE City: City: COUNTY: CIP+4/Postal Code: W1X 6JJ	If this address is a private residence	ce, check th	nis box:			
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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: City: State: Country: ZIP+4/Postal Code: W1X 6JJ	Telephone Number: 65-535-0722					
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 LIMITED Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ	C a third-party unaffiliated record					
Number and Street 1: Number and Street 2: 1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ					SECTION 204 OF THE INVESTMEN	Т
1 MAYFAIR PLACE City: State: Country: ZIP+4/Postal Code: W1X 6JJ	Name of entity where books and re	ecords are	<ept:< td=""><td></td><td></td><td></td></ept:<>			
City: State: Country: ZIP+4/Postal Code: W1X 6JJ	Number and Street 1: 1 MAYFAIR PLACE		Numb	er and Street 2:		
	City: LONDON	State:		ry:		

Page 367 of 48 IAPD - View All

If this address is a private residence	e, check th	is box:		
Telephone Number: 44-20-7470-0100	Facsimile (
This is (check one): one of your branch offices or af a third-party unaffiliated record other.				
Briefly describe the books and reco CERTAIN BOOKS AND RECORDS M ADVISERS ACT.			NCE WITH SECT	ION 204 OF THE INVESTMENT
Name of entity where books and re SANFORD C. BERNSTEIN LIMITED	ecords are k	ept:		
Number and Street 1: 99 GRESHAM STREET		Number and	Street 2:	
City: LONDON	State:	Country: UNITED KING	GDOM	ZIP+4/Postal Code: EC2V 7NG
If this address is a private residence	e, check th	is box:		
Telephone Number: 44-20-7367-7300	Facsimile (
This is (check one): one of your branch offices or af a third-party unaffiliated record other.				
Briefly describe the books and reco CERTAIN BOOKS AND RECORDS M ADVISERS ACT.			NCE WITH SECT	ION 204 OF THE INVESTMENT
Name of entity where books and re IRON MOUNTAIN RECORD MANAGE		ept:		
Number and Street 1: 9715 JAMES AVENUE SOUTH City:	State:	Number Country	and Street 2:	ZIP+4/Postal Code:

IAPD - View All Page 368 of 48

MINNEAPOLIS	Minnesota	UNITED STATES	55431			
If this address is a private residen	ce, check this	s box:				
Telephone Number: (612)888-3852	Facsimile nu (952)887-2					
This is (check one): one of your branch offices or at a third-party unaffiliated record other. Briefly describe the books and record certain BOOKS AND RECORDS MADVISERS ACT.	dkeeper. ords kept at t		ECTION 204 OF THE INVESTMENT			
Name of entity where books and re	ecords are ke	ept:				
Number and Street 1: 1301 S. ROCKWELL STREET		Number and Street 2:				
City: CHICAGO	State:	Country: UNITED STATES	ZIP+4/Postal Code: 60608			
If this address is a private residen	ce, check this	s box:				
Telephone Number: (773)522-5100	Facsimile (952)887-					
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 re	ecords are ke	ept:				
Number and Street 1:		Number and Stre	et 2.			

IAPD - View All Page 369 of 48

FOURTH STREET & PACIFIC AVEN	UE			
City: WEST PITTSTON	State:		Country:	ZIP+4/Postal Code: 18643
WEST PITTSTON	Pennsylvania		UNITED STATES	18043
If this address is a private resider	nce, check this	s box:		
Telephone Number: (800)458-4710	Facsimile nur (570)342-529			
This is (check one): one of your branch offices or a a third-party unaffiliated record other. Briefly describe the books and record certain Books and Records MADVISERS ACT.	rdkeeper. cords kept at ti			TION 204 OF THE INVESTMENT
Name of entity where books and r ALLIANCEBERNSTEIN INVESTMEN Number and Street 1: 5TH FLOOR DE WATERKANT City: CAPETOWN		Numb 9 SON Count	per and Street 2:	ZIP+4/Postal Code: 8001
If this address is a private resider	nce, check this	s box:		
Telephone Number: 27-21-409-7680	Facsimile 27-11-409		- ;	
This is (check one): one of your branch offices or a third-party unaffiliated record other. Briefly describe the books and record certain Books and Records Madvisors act.	dkeeper.			TION 204 OF THE INVESTMENT
Name of entity where books and r ALLIANCE CAPITAL ASSET MANAGE			'ATE LIMITED	

IAPD - View All Page 370 of 48

Number and Street 1: 82, DR. ANNIE BESANT ROAD City: WORLI, MUMBAI If this address is a private residence, che	State: eck this box:	Number and Stre INDAGE HOUSE, Country: INDIA		
Telephone Number: 91-22-496-0094	Facsimile nu			
This is (check one): one of your branch offices or affiliate a third-party unaffiliated recordkeepe other. Briefly describe the books and records k CERTAIN BOOKS AND RECORDS MAINTA ADVISORS ACT.	er. ept at this lo		SECTION 204 C	OF THE INVESTMENT
Name of entity where books and records HAYS INFORMATION MANAGEMENT	s are kept:			
Number and Street 1: QUADRANT HOUSE 15/16 STOCKWELL (City: LONDON	GREEN State:	Number and Country: UNITED KIN	ZII SW	P+4/Postal Code: V9 9JJ
If this address is a private residence, ch	eck this box:			
Telephone Number: 020-7540-2300	Facsimi	le number:		
This is (check one): one of your branch offices or affiliate a third-party unaffiliated recordkeep other. Briefly describe the books and records k CERTAIN BOOKS AND RECORDS MAINTA ADVISERS ACT.	er. ept at this loo		SECTION 204 C	OF THE INVESTMENT

Page 371 of 48 IAPD - View All

Name of entity where books and re PICKFORDS RECORDS MANAGEME		ept:	
Number and Street 1: 345 SOUTHBURY ROAD		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
MIDDLESEX		UNITED KINGDOM	EN1 1UP
If this address is a private residence	ce, check th	is box:	
Telephone Number: 020-8219-8220	Facsimile r	number:	
This is (check one):			
one of your branch offices or af			
a third-party unaffiliated record	dkeeper.		
O other.			
Briefly describe the books and reco CERTAIN BOOKS AND RECORDS M ADVISERS ACT.			ECTION 204 OF THE INVESTMENT
1			
Name of entity where books and real IRON MOUNTAIN, INC.	ecords are k	ept:	
IRON MOUNTAIN, INC. Number and Street 1:	ecords are k	ept: Number and Street 2	:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City:	ecords are k State:		ZIP+4/Postal Code:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE		Number and Street 2	
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City:	State: New York	Number and Street 2 Country: UNITED STATES	ZIP+4/Postal Code:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City: CHESTER	State: New York	Number and Street 2 Country: UNITED STATES is box:	ZIP+4/Postal Code:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City: CHESTER If this address is a private residence Telephone Number:	State: New York ce, check the Facsimile r	Number and Street 2 Country: UNITED STATES is box:	ZIP+4/Postal Code:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City: CHESTER If this address is a private residence Telephone Number: (845)469-5510	State: New York ce, check the Facsimile recomples (845)469-6	Number and Street 2 Country: UNITED STATES is box:	ZIP+4/Postal Code:
IRON MOUNTAIN, INC. Number and Street 1: 64 LEONE LANE City: CHESTER If this address is a private residence Telephone Number: (845)469-5510 This is (check one):	State: New York ce, check th Facsimile r (845)469-6	Number and Street 2 Country: UNITED STATES is box:	ZIP+4/Postal Code:

IAPD - View All Page 372 of 48

Name of entity where books and I	records are kept	:	
Number and Street 1: 22 KIMBERLY PLACE		Number and Street 2	2:
City: EAST BRUNSWICK	State:	Country:	ZIP+4/Postal Code: 08816
EAST BRUNSWICK	New Jersey	UNITED STATES	00010
If this address is a private resider	nce, check this b	ох: П	
Telephone Number: (732)651-2800	Facsimile numb (732)651-8655		
This is (check one):			
one of your branch offices or a			
a third-party unaffiliated record other.	rdkeeper.		
other.			
Briefly describe the books and rec CERTAIN BOOKS AND RECORDS I ADVISERS ACT.			CTION 204 OF THE INVESTMENT
Name of entity where books and I	records are kept	:	
EAGLE BUSINESS ARCHIVES Number and Street 1:	records are kept	: Number and Street 2:	
EAGLE BUSINESS ARCHIVES Number and Street 1: 2302 49TH AVENUE City:	records are kept State:		ZIP+4/Postal Code:
Number and Street 1: 2302 49TH AVENUE		Number and Street 2:	ZIP+4/Postal Code: 11101
EAGLE BUSINESS ARCHIVES Number and Street 1: 2302 49TH AVENUE City:	State: New York	Number and Street 2: Country: UNITED STATES	
EAGLE BUSINESS ARCHIVES Number and Street 1: 2302 49TH AVENUE City: LONG ISLAND CITY	State: New York	Number and Street 2: Country: UNITED STATES ox:	
Number and Street 1: 2302 49TH AVENUE City: LONG ISLAND CITY If this address is a private resider Telephone Number:	State: New York nce, check this be Facsimile num	Number and Street 2: Country: UNITED STATES ox:	
EAGLE BUSINESS ARCHIVES Number and Street 1: 2302 49TH AVENUE City: LONG ISLAND CITY If this address is a private resider Telephone Number: (718)663-0400 This is (check one): one of your branch offices or a	State: New York nce, check this be Facsimile num (718)729-868	Number and Street 2: Country: UNITED STATES ox:	
Number and Street 1: 2302 49TH AVENUE City: LONG ISLAND CITY If this address is a private resider Telephone Number: (718)663-0400 This is (check one): one of your branch offices or a third-party unaffiliated record	State: New York nce, check this be Facsimile num (718)729-868	Number and Street 2: Country: UNITED STATES ox:	
EAGLE BUSINESS ARCHIVES Number and Street 1: 2302 49TH AVENUE City: LONG ISLAND CITY If this address is a private resider Telephone Number: (718)663-0400 This is (check one): one of your branch offices or a	State: New York nce, check this be Facsimile num (718)729-868	Number and Street 2: Country: UNITED STATES ox:	

Page 373 of 48 IAPD - View All

Name of entity where books a EAGLE BUSINESS ARCHIVES	nd records are ke	ept:	
Number and Street 1: 9 EMPIRE BOULEVARD		Number and Street	2:
City: SOUTH HACKENSACK	State:	Country:	ZIP+4/Postal Code:
SOUTH HACKENSACK	New Jersey	UNITED STATES	07606
If this address is a private res	idence, check this	s box:	
Telephone Number: (201)641-3992	Facsimile nu (201)691-39		
This is (check one): one of your branch offices a third-party unaffiliated re other.			
Briefly describe the books and CERTAIN BOOKS AND RECORI ADVISERS ACT.			ECTION 204 OF THE INVESTMENT
Name of entity where books a ALLIANCEBERNSTEIN L.P.	nd records are ke	ept:	
Number and Street 1: 227 WEST MONROE STREET		Number and Street 2:	
City: CHICAGO	State:	Country:	ZIP+4/Postal Code: 60606
CHICAGO	Illinois	UNITED STATES	00000
If this address is a private res	idence, check this	s box:	
Telephone Number: (312)357-9700	Facsimile (312)357-		
This is (check one):			
one of your branch offices			
a third-party unaffiliated reconstruction other.	ecordkeeper.		
Briefly describe the books and	records kept at t	his location:	

IAPD - View All Page 374 of 48

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 2: Number and Street 1: 601 SECOND AVENUE SOUTH City: ZIP+4/Postal Code: State: Country: **MINNEAPOLIS** 55402 Minnesota **UNITED STATES** If this address is a private residence, check this box: Telephone Number: Facsimile number: (612)342-1544 (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. Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P. Number and Street 1: Number and Street 2: 701 BRICKELL AVENUE **SUITE 2240** City: ZIP+4/Postal Code: State: Country: MIAMI 33131 Florida **UNITED STATES** If this address is a private residence, check this box: Telephone Number: Facsimile number: (305) 530-6200 (305) 530-6264 This is (check one): one of your branch offices or affiliates. a third-party unaffiliated recordkeeper. other.

IAPD - View All Page 375 of 48

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** ZIP+4/Postal Code: State: Country: **HOUSTON** 77002 Texas **UNITED STATES** If this address is a private residence, check this box: Telephone Number: Facsimile number: (832) 366-2000 (832) 366-2000 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: Number and Street 2: 4881 W. 145TH STREET ZIP+4/Postal Code: City: State: Country: **HAWTHORNE** 90250 **UNITED STATES** California If this address is a private residence, check this box: Telephone Number: Facsimile number: 310-973-6091 This is (check one): one of your branch offices or affiliates. a third-party unaffiliated recordkeeper.

Page 376 of 48 IAPD - View All

O other.			
Briefly describe the books and record RECORDS OF ALLIANCEBERNSTEIN		his location:	
Name of entity where books and re- IRON MOUNTAIN, INC.	cords are ke	pt:	
Number and Street 1: 2425 SOUTH HALSTED		Number and Street 2:	
City: CHICAGO	State:	Country:	ZIP+4/Postal Code:
CHICAGO	Illinois	UNITED STATES	00000
If this address is a private residence	e, check this	s box:	
Telephone Number: (312)674-1595	Facsimile r	number:	
This is (check one): one of your branch offices or aff a third-party unaffiliated record other. Briefly describe the books and record CERTAIN BOOKS AND RECORD MAI ADVISERS ACT.	keeper. rds kept at t		ION 204 OF THE INVESTMENT
Name of entity where books and re-	cords are ke	pt:	
Number and Street 1: 4175 CHANDLER DRIVE		Number and Street 2:	
City: HANDOVER PARK	State:	Country:	ZIP+4/Postal Code: 60133
TIANDOVER FARK	Illinois	UNITED STATES	00133
If this address is a private residence	e, check this	s box:	
Telephone Number: (630)540-9700	Facsimile r	number:	
This is (check one):			
one of your branch offices or aff	iliates.		

IAPD - View All Page 377 of 48 a third-party unaffiliated recordkeeper. other. 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: IRON MOUNTAIN, INC. Number and Street 2: Number and Street 1: 931 NORTH BROADWAY ZIP+4/Postal Code: City: State: Country: SAN ANTONIO 78215 **UNITED STATES** Texas If this address is a private residence, check this box: Telephone Number: Facsimile number: (210)226-8999 (210)223-3091 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 RECORD MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT. Name of entity where books and records are kept: IRON MOUNTAIN, INC. Number and Street 1: Number and Street 2: 7960 CENTRAL INDUSTRIAL BOULEVARD City: State: Country: ZIP+4/Postal Code: WEST PALM BEACH 33404 Florida **UNITED STATES**

If this address is a private residence, check this box: Telephone Number: Facsimile number: (561)842-5783 This is (check one):

IAPD - View All Page 378 of 48 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 RECORD MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT ADVISERS ACT. Name of entity where books and records are kept: IRON MOUNTAIN TORONTO Number and Street 1: Number and Street 2: 70 TALMAN COURT ZIP+4/Postal Code: City: State: Country: CONCORD L4K 4L5 ONTARIO, CANADA If this address is a private residence, check this box: Telephone Number: Facsimile number: (905)760-0764 This is (check one): one of your branch offices or affiliates. o third-party unaffiliated recordkeeper. other. 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: IRON MOUNTAIN (UK) LIMITED Number and Street 2: Number and Street 1: WHITELAW HOUSE, MACMILLAN ROAD ZIP+4/Postal Code: City: State: Country: LIVINGSTON EH54 7DF UNITED KINGDOM If this address is a private residence, check this box:

Facsimile number:

020 7939 1501

Telephone Number:

020 7939 1500

Page 379 of 48 IAPD - View All

This is (check one): one of your branch offices or affiliated a third-party unaffiliated recordkee other. Briefly describe the books and records CERTAIN BOOKS AND RECORD MAINTA	per. kept at this loo		SECTION	204 OF THE INVESTMENT
Name of entity where books and record WANBISHI ARCHIVES	ds are kept:			
Number and Street 1: 568 TAKAMI OGAWA-CHO City: SAITAMA	State:	Number and Stree HIK-GUN Country: JAPAN		Postal Code: 06
If this address is a private residence, o	heck this box:			
Telephone Number: 81-48-582-2521	Facsimile number: 81-48-582-2533			
This is (check one): one of your branch offices or affiliated a third-party unaffiliated recordkee other. Briefly describe the books and records CERTAIN BOOKS AND RECORD MAINTA	per. kept at this loo		SECTION :	204 OF THE INVESTMENT
Name of entity where books and record ALLIANCEBERNSTEIN L.P.	ds are kept:			
Number and Street 1: 555 CALIFORNIA STREET, SUITE 4300 City: SAN FRANCISCO	State: California	Number and S Country: UNITED STATE		ZIP+4/Postal Code: 94104
If this address is a private residence, check this box:				

Page 380 of 48 IAPD - View All

Telephone Number: (415)217-8000		Facsimile number: (415)217-8111		
This is (check one):				
one of your branch offices or aff	filiates.			
a third-party unaffiliated recordk	keeper.			
C other.				
Briefly describe the books and recor CERTAIN BOOKS AND RECORDS MA ADVISERS ACT.			CTION 204 OF THE INVESTMENT	
Name of entity where books and rec ALLIANCEBERNSTEIN L.P.	cords are kep	t:		
Number and Street 1: 135 WEST 50TH STREET		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
NEW YORK	New York	UNITED STATES	10020	
If this address is a private residence	e, check this b	oox:		
· · · · · · · · · · · · · · · · · · ·	Facsimile number: (212)756-4168			
This is (check one):				
one of your branch offices or aff	filiates.			
a third-party unaffiliated recordk				
C other.				
Briefly describe the books and recorcentain BOOKS AND RECORDS MAADVISERS ACT.			CTION 204 OF THE INVESTMENT	
Name of entity where books and rec ALLIANCEBERNSTEIN, LP	cords are kep	t:		
Number and Street 1: 1530 DUNWOODY VILLAGE PKWY		Number and Street 2	:	
City:	State:	Country:	ZIP+4/Postal Code:	
DUNWOODY	Georgia	UNITED STATES	30338	
If this address is a private residence	e, check this b	oox:		

Page 381 of 48 IAPD - View All

This is (check one): one of your branch offices or affiliates. c a third-party unaffiliated recordskeeper. other. Briefly describe the books and records kept at this location: CCRTAIN BOOKS & 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 Country: 2IP+4/Postal Code: 90067 Telephone Number: (310)286-6000 This is (check one): one of your branch offices or affiliates. c a third-party unaffiliated records kept at this location: CCRTAIN 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: 8000 I H 10 WEST, 4TH FLOOR City: State: Country: 2IP+4/Postal Code: 78230 Texas UNITED STATES	Telephone Number: 404-279-4842	Facsimile nu 404-279-48				
Name of entity where books and records are kept: ALLIANCEBERNSTEIN L.P. Number and Street 1: 1999 AVENUE OF THE STARS, SUITE 2150 City: Clos ANGELES California UNITED STATES If this address is a private residence, check this box: Telephone Number: (310)286-6000 This is (check one): one of your branch offices or affillates. c a third-party unaffillated recordkeeper. c 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. Number and Street 1: Number and Street 2: Number and Street 2: Number and Street 2: Number and Street 2: Number and Street 3: Number and Street 2: Number and Street 1: Number and Street 2: Number and Street 1: Number and Street 2: Number and Street 3: Number and Street 4: Number and Street 3: Number and Street 3: Number and Street 4: Number and Street 3: Number and Street 3: Number and Street 4: Number and Street 4: Number and Street 3: Number and Street 4: Number and Street 4: Number and Street 3: Number and Street 4: Number and	one of your branch offices or affiliated a third-party unaffiliated recordkee					
ALLIANCEBERNSTEIN L.P. Number and Street 1: Number and Street 2: 1999 AVENUE OF THE STARS, SUITE 2150 City: State: Country: ZIP+4/Postal Code: 90067 California UNITED STATES If this address is a private residence, check this box: □ Telephone Number: Facsimile number: (310)286-6000 This is (check one): (310)286-6000 This is (check one): one of your branch offices or affiliates. o 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230	CERTAIN BOOKS & RECORDS MAINTA				N 204 (OF THE INVESTMENT
City: State: Country: ZIP+4/Postal Code: 90067 California UNITED STATES If this address is a private residence, check this box: Telephone Number: Facsimile number: (310)286-6000 This is (check one): and one of your branch offices or affiliates. athird-party unaffiliated recordkeeper. athird-party unaffiliated 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230		rds are kept:				
City: LOS ANGELES California UNITED STATES If this address is a private residence, check this box: Telephone Number: Facsimile number: (310)286-6000 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230		2150		Number and Street 2:		
California UNITED STATES If this address is a private residence, check this box: Telephone Number: Facsimile number: (310)286-6000 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230	City:			Country:		
Telephone Number: Facsimile number: (310)286-6000 (310)286-6000 This is (check one): one of your branch offices or affiliates. one of your branch offices or affiliates. one of third-party unaffiliated recordkeeper. onther. 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230	LOS ANGELES	California		UNITED STATES	,	70067
(310)286-6000 This is (check one): one of your branch offices or affiliates. one of your branch offices or affiliates. 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: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230	If this address is a private residence, check this box: \Box					
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: 8000 1 H 10 WEST, 4TH FLOOR City: SAN ANTONIO State: Country: ZIP+4/Postal Code: 78230	·			:		
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 1: Number and Street 2: 8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230	This is (check one):					
Orther. 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: 8000 1 H 10 WEST, 4TH FLOOR City: SAN ANTONIO State: Country: ZIP+4/Postal Code: 78230	one of your branch offices or affilia	ates.				
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 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230						
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 1 H 10 WEST, 4TH FLOOR City: SAN ANTONIO State: Country: ZIP+4/Postal Code: 78230	other.					
ALLIANCEBERNSTEIN L.P. Number and Street 1: 8000 1 H 10 WEST, 4TH FLOOR City: SAN ANTONIO Number and Street 2: Visual Street 2: Number and Street 2: Street 2: Number and Street 2:	CERTAIN BOOKS AND RECORDS MAINTAINED IN ACCORDANCE WITH SECTION 204 OF THE INVESTMENT					
ALLIANCEBERNSTEIN L.P. Number and Street 1: 8000 1 H 10 WEST, 4TH FLOOR City: SAN ANTONIO Number and Street 2: Visual Street 2: Number and Street 2: Street 2: Number and Street 2:						
8000 1 H 10 WEST, 4TH FLOOR City: State: Country: ZIP+4/Postal Code: 78230						
City: State: Country: ZIP+4/Postal Code: 78230			Numbe	er and Street 2:		
	City:	State:	Countr	ry:		
	SAN ANTONIO	Texas	UNITE	D STATES	7823	0

IAPD - View All Page 382 of 48

If this address is a private residen	ce, check this bo	ox:	
Telephone Number: (210)384-6000	Facsimile r (210)384-0		
This is (check one): one of your branch offices or a factor of a third-party unaffiliated record other. Briefly describe the books and rec CERTAIN BOOKS AND RECORDS MADVISERS ACT.	dkeeper. ords kept at this		CTION 204 OF THE INVESTMENT
Name of entity where books and r ALLIANCEBERNSTEIN L.P.	ecords are kept:		
Number and Street 1:	2	Number and Street 2	2:
300 CRESCENT COURT, SUITE 950 City:	State:	Country:	ZIP+4/Postal Code:
DALLAS	Texas	UNITED STATES	75201
If this address is a private residen	ce, check this bo	ох:	
Telephone Number: (214)860-5200	Facsimile (214)860	e number: 0-5222	
This is (check one):			
one of your branch offices or a a third-party unaffiliated record			
other.	лкеерег.		
Briefly describe the books and rec CERTAIN BOOKS AND RECORDS N ADVISERS ACT.			CTION 204 OF THE INVESTMENT
Name of entity where books and r ALLIANCEBERNSTEIN L.P.	ecords are kept:		
Number and Street 1: 601 UNION STREET		Number and Street 2	2:
City:	State:	Country:	ZIP+4/Postal Code:
SEATTLE	Washington	LINITED STATES	98101

Page 383 of 48 If this address is a private residence, check this box: Telephone Number: Facsimile number: (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: 800 CONNECTICUT AVENUE NW, SUITE 1001 City: State: Country: ZIP+4/Postal Code: WASHINGTON 20006 District of Columbia **UNITED STATES** If this address is a private residence, check this box: Telephone Number: Facsimile number: (202)261-6700 (202)261-6767 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.

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

No Information Filed

SECTION 2.A.(8) Related Adviser

IAPD - View All

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

IAPD - View All	Page 384 of 48
the following information:	
Name of Registered Investment Adviser	
CRD Number of Registered Investment Adviser	
SEC Number of Registered Investment Adviser	
801 -	
SECTION 2.A.(9) Newly Formed Adviser	
If you are relying on rule 203A-2(c), the newly formed adviser exemption from the registration, you are required to make certain representations about your eligibility checking the appropriate boxes, you will be deemed to have made the required representations: I am not registered or required to be registered with the SEC or a state securitive reasonable expectation that I will be eligible to register with the SEC within 120 registration with the SEC becomes effective.	for SEC registration. By resentations. You must es authority and I have a
I undertake to withdraw from SEC registration if, on the 120th day after my registration becomes effective, I would be prohibited by Section 203A(a) of the Advisers Active SEC.	
SECTION 2.A. (10) Multi-State Advisor	
If you are relying on rule 203A-2(d), the multi-state adviser exemption from the proyou are required to make certain representations about your eligibility for SEC regis 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 representations:	t make both of these
I have reviewed the applicable state and federal laws and have concluded that of 15 or more states to register as an investment adviser with the state securiti states.	
□ I undertake to withdraw from SEC registration if I file an amendment to this required by the laws of fewer than 15 states to register as an investment state securities authorities of those states.	
If you are submitting your annual updating amendment, you must make this repres Within 90 days prior to the date of filing this amendment, I have reviewed the a federal laws and have concluded that I am required by the laws of at least 15 s investment adviser with the state securities authorities in those states.	applicable state and
SECTION 2.A.(12) SEC Exemptive Order	
If you are relying upon an SEC order exempting you from the prohibition on registra following information:	ation, provide the
Application Number: 803-	

IAPD - View All	Page 385 of 48
Date of order:	
SECTION 4 Successions No Information Filed	
SECTION 5.G.(3) Advisers to Registered Investment Companies a Companies	nd Business Development
If you check Item 5.G.(3), what is the SEC file number (811 or 814 numinvestment companies and business development companies to which you advisory contract? You must complete a separate Schedule D Section 5. investment company and business development company to which you a	ou act as an adviser pursuant to an G.(3) for each registered
SEC File Number 811- or 814- 81100126	
SEC File Number 811- or 814- 81100134	
SEC File Number 811- or 814- 81100204	
SEC File Number 811- or 814- 81101716	
SEC File Number 811- or 814- 81102383	
SEC File Number 811- or 814- 81103131	
SEC File Number 811- or 814- 81104791	

IAPD - View All Page 386 of 48

SEC File Number 811- or 814- 81105088 SEC File Number 811- or 814- 81105398 SEC File Number 811- or 814- 81105555 SEC File Number 811- or 814- 81106068 SEC File Number 811- or 814- 81106554 SEC File Number 811- or 814- 81106730 SEC File Number 811- or 814- 81107391 SEC File Number 811- or 814- 81107618 SEC File Number 811- or 814- 81107707

IAPD - View All Page 387 of 48 SEC File Number 811- or 814- 81107732 SEC File Number 811- or 814-81107916 SEC File Number 811- or 814- 81108188 SEC File Number 811- or 814- 81108201 SEC File Number 811- or 814- 81108294 SEC File Number 811- or 814- 81108426 SEC File Number 811- or 814- 81109687 SEC File Number 811- or 814- 81110221 SEC File Number 811- or 814- 81110573

IAPD - View All Page 388 of 48

SEC File Number 811- or 814- 81121034

SEC File Number 811- or 814-81121064

SEC File Number 811- or 814-81121081

SEC File Number 811- or 814- 81121673

SECTION 5.1.(2) Wrap Fee Programs

If you are a portfolio manager for one or more wrap fee programs, list the name of each program and its sponsor. You must complete a separate Schedule D Section 5.1.(2) for each wrap fee program for which you are a portfolio manager.

Name of Wrap Fee Program

ACCESS

Name of Sponsor

MORGAN STANLEY

Name of Wrap Fee Program

ACCESS

Name of Sponsor

UBS

Name of Wrap Fee Program

ADVANCE PROGRAM

Name of Sponsor

BANK OF MONTREAL NESBITT BURNS

Name of Wrap Fee Program

IAPD - View All Page 389 of 48

ADVISORPORT PROGRAM

Name of Sponsor **ADVISORPORT**

Name of Wrap Fee Program **ADVISORY SERVICES**

Name of Sponsor LPL FINANCIAL

Name of Wrap Fee Program AMBASSADOR PORTFOLIO SERVICES

Name of Sponsor NATIONAL BANK FINANCIAL (NBF)

Name of Wrap Fee Program

ARCHITECT

Name of Sponsor BANK OF MONTREAL

Name of Wrap Fee Program BAIRD PREFERRED MANAGERS

Name of Sponsor R.W. BAIRD

Name of Wrap Fee Program COMMONWEALTH EQUITY SERVICES

Name of Sponsor **COMMONWEALTH**

Name of Wrap Fee Program CONCORD-EQUITY GROUP ADVISORS Page 390 of 48

IAPD - View All Name of Sponsor CONCORD EQUTIY GROUP Name of Wrap Fee Program CONSULTING SERVICES Name of Sponsor **RAYMOND JAMES** Name of Wrap Fee Program CONSULTING SERVICES SELECTS Name of Sponsor BANK OF AMERICA Name of Wrap Fee Program **CONSULTING SOLUTIONS** Name of Sponsor RBC DAIN RAUSCHER Name of Wrap Fee Program **CONSULTS** Name of Sponsor MERRILL LYNCH

Name of Wrap Fee Program **CORE ASSET MANAGER**

Name of Sponsor **BRINKER CAPITAL**

Name of Wrap Fee Program

DMA

Name of Sponsor

WACHOVIA

IAPD - View All Page 391 of 48

Name of Wrap Fee Program FIDUCIARY SERVICES PROGRAM Name of Sponsor **SMITH BARNEY** Name of Wrap Fee Program **IMAP** Name of Sponsor SEI Name of Wrap Fee Program **MACS** Name of Sponsor **PRUDENTIAL** Name of Wrap Fee Program MANAGED ACCOUNT LINK Name of Sponsor LOCKWOOD FINANCIAL SERVICES

Name of Wrap Fee Program

MANAGED ACCOUNT PROGRAM

Name of Sponsor

JANNEY MONTGOMERY

Name of Wrap Fee Program MANAGED ACCOUNT PROGRAM

Name of Sponsor STIFEL NICOLAUS IAPD - View All Page 392 of 48

Name of Wrap Fee Program MANAGED ACCOUNT PROGRAM (MAP) Name of Sponsor **EDWARD JONES** Name of Wrap Fee Program MANAGED ACCOUNT PROGRAMS Name of Sponsor **MOORS & CABOT** Name of Wrap Fee Program MANAGED ACCOUNT SELECT Name of Sponsor **CHARLES SCHWAB** Name of Wrap Fee Program MAP Name of Sponsor **SEI INVESTMENTS** Name of Wrap Fee Program MAP Name of Sponsor **FUNDQUEST** Name of Wrap Fee Program **MASTERS PROGRAM** Name of Sponsor WACHOVIA SECURITIES Name of Wrap Fee Program

MERRILL LYNCH UDP

IAPD - View All Page 393 of 48

Name of Sponsor

BANK OF AMERICA MERRILL LYNCH

Name of Wrap Fee Program

MORGAN STANLEY PPA

Name of Sponsor

MORGAN STANLEY

Name of Wrap Fee Program

PLATFORM STRATEGIC TRUST

Name of Sponsor

WELLS FARGO, PLATFORM STRATEGIC TRUST

Name of Wrap Fee Program

PREMIER PORTFOLIO SERVICES

Name of Sponsor

AMERIPRISE

Name of Wrap Fee Program

PROAM

Name of Sponsor

NBC SECURITIES

Name of Wrap Fee Program

RKA CHOICE ACCOUNT

Name of Sponsor

RK ADVISORS

Name of Wrap Fee Program

SELECT UMA

Name of Sponsor

IAPD - View All Page 394 of 48

SMITH BARNEY Name of Wrap Fee Program SEPARATE ACCOUNT MANAGEMENT PROGRAM Name of Sponsor D.A. DAVIDSON Name of Wrap Fee Program STRATEGIC WEALTH PORTFOLIOS Name of Sponsor UBS Name of Wrap Fee Program THE DIAMOND PORTFOLIO Name of Sponsor HSBC SECURITIES (CANADA) Name of Wrap Fee Program **UMA PROGRAM** Name of Sponsor **BRINKER CAPITAL** Name of Wrap Fee Program UNKNOWN Name of Sponsor JP MORGAN CHASE Name of Wrap Fee Program UNKNOWN Name of Sponsor **EVERGREEN INVESTMENTS**

IAPD - View All Page 395 of 48 Name of Wrap Fee Program UNKNOWN Name of Sponsor FOLIO DYNAMIX Name of Wrap Fee Program UNKNOWN Name of Sponsor RICHARDSON PARTNERS Name of Wrap Fee Program **UNKNOWN** Name of Sponsor **ENVESTNET** Name of Wrap Fee Program UNKNOWN Name of Sponsor NATIONWIDE FINANCIAL Name of Wrap Fee Program UNKNOWN Name of Sponsor TORONTO DOMINION Name of Wrap Fee Program WELLS SELECT Name of Sponsor WELLS FARGO

SECTION 6.A. Names of Your Other Businesses

No Information Filed

IAPD - View All Page 396 of 48

SECTION 6.B.(2) De	scription of Prin	nary Business	
Describe your primary	y business (not yo	ur investment advisory	business):
If you engage in that	business under a	different name, provide	that name:
SECTION 6.B.(3) De	escription of Oth	er Products and Servi	ces
Describe other production 6.B.(9	sell to your client, You	may omit products and services that you
If you engage in that	business under a	different name, provide	that name.
SECTION 7.B.(2) Pr	ivate Fund Repo	•	
		No Information File	ed
SECTION 9.C. Indep	endent Public A	ccountant	
surprise examination internal control report accountant. (1) Name of the independent & YOUNG (2) The location of the surprise of the surprise examination and the surprise examination internal control report accounts and the surprise examination and the surprise examination and the surprise examination accounts and the s	, perform an audit t. You must comp ependent public ac ne independent pu	of a pooled investment lete a separate Schedul countant: blic accountant's office	dent public accountant engaged to perform a vehicle that you manage, or prepare an e D Section 9.C. for each independent public responsible for the services provided:
Number and Street SQUAR		Number and Street	: 2:
City: NEW YORK	State:	Country:	ZIP+4/Postal Code: 10036
WEW TORK	New York	UNITED STATES	10000
(3) Is the independe Board?	nt public accounta	nt registered with the P	Yes Note that the value of the
		dent public accountant s ght Board in accordance	subject to regular inspection by the ewith its rules?
(5) The independent	public accountant	is engaged to:	
A. 🔽 audit a po	ooled investment v	rehicle	
B. Derform a	surprise examina	tion of clients' assets	
C. D prepare a	n internal control	report	
		ndependent public accou ontrols contain an unqu	Intant that audited the pooled investment alified opinion?

IAPD - View All Page 397 of 48 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 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:

Number and Street 2: Number and Street 1:

300 MADISON AVENUE

City: State: Country: ZIP+4/Postal Code:

NEW YORK 10017

> New York **UNITED STATES**

> > Yes No

- (3) Is the independent public accountant registered with the Public Company Accounting Oversight Board?
- (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:
 - audit a pooled investment vehicle
 - perform a surprise examination of clients' assets
 - prepare an internal control report
- (6) Does any report prepared by the independent public accountant that audited the pooled investment vehicle or that examined internal controls contain an unqualified opinion?
 - Yes
 - O 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 accountant's report is available.

SECTION 10.A. Control Persons

You must complete a separate Schedule D Section 10.A. for each control person not named in Item 1.A. or Schedules A, B, or C that directly or indirectly controls your management or policies.

Firm or Organization Name

AXA

CRD Number (if any)

Effective Date **Termination Date**

07/01/1992

IAPD - View All Page 398 of 48

Bus	siness Address:					
	mber and Street 1 AVENUE MATIGNON		Number and Street 2			
City	/	State	Country	ZIP+4/Postal Code		
PAF	RIS		FRANCE	75008		
lf +l	his address is a private	residence check t	his hov:			
11 (1	ilis address is a private	residerice, crieck t	TIIS DOX. —			
	efly describe the nature SCHEDULE D, PAGE 5					
	u must complete a sepa nedules A, B, or C that			control person not named in Item 1.A. ogement or policies.)r	
Firr	n or Organization Nam	e				
	A FINANCIAL, INC.					
CRI	O Number (if any)					
	ective Date 01/1999		Termination Date			
Bus	siness Address:					
Nur	mber and Street 1		Number and S	Street 2		
City	90 AVENUE OF THE AM V	State	Country	ZIP+4/Postal Code		
NΕ\	W YORK	New York	UNITED STATE	10104 ES		
IF +I	his address is a private	rosidoneo choek t	his boy.			
וו נו	riis address is a private	residerice, crieck t	IIIS DOX. —			
	efly describe the nature E SCHEDULE D, PAGE 5					
SEC	TION 10.B. Control F	Person Public Rep	oorting Companies			
B.	company under Section	ons 12 or 15(d) of t	the Securities Exchang	A. of Schedule D is a public reporting ge Act of 1934, please provide the D Section 10.B. for each public reporti	ng	
	(1) Full legal name of	f the public reportir	ng company:	ALLIANCEBERNSTEIN HOLDIN L.P.	G	
			number (Central Index n reporting company):	x Key 825313		

IAPD - View All Page 399 of 48

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:

AXA EQUITABLE LIFE INSURANCE CO.

(2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company):

727920

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 5.D CLIENTS - CLIENTS WHICH FALL INTO THE CATEGORY OF "INDIVIDUAL" MAKE UP A LARGE PROPORTION OF REGISTRANT'S TOTAL NUMBER OF CLIENTS, BUT ACCOUNT FOR LESS THAN 20% OF REGISTRANT'S TOTAL AUM AS OF 12/31/2011. INSTITUTIONAL CLIENTS (FOR EXAMPLE: PUBLIC AND PRIVATE PENSION PLANS, FOUNDATIONS ETC.) AND RETAIL MUTUAL FUNDS COMPRISE APPROXIMATELY 54% AND 28%, RESPECTIVELY, OF REGISTRANT'S TOTAL AUM AS OF THAT SAME DATE. 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 REGISTRANT INCLUDING THOSE ADVISORY AFFILIATES, SUCH AS SANFORD C. BERNSTEIN & CO., LLC, THAT HAVE DELEGATED INVESTMENT MANAGEMENT RESPONSIBILITY TO REGISTRANT. PART 1A, ITEM 10 - CONTROL PERSONS -AS OF DECEMBER 31, 2011, THE OWNERSHIP STRUCTURE OF ALLIANCEBERNSTEIN L.P., AS A PERCENTAGE OF LIMIED PARTNERSHIP INTERESTS, WAS AS FOLLOWS: AXA, THROUGH CERTAIN OF ITS SUBSIDIARIES OWNS 61.4% OF THE ECONOMIC INTEREST IN ALLIANCEBERNSTEIN. ABC, AN INDIRECT WHOLLY-OWNED SUBSIDIARY OF AXA EQUITABLE, OWNS 100,000 GENERAL PARTNERSHIP UNITS IN ALLIANCEBERNSTEIN HOLDING AND A 1% GENERAL PARTNERSHIP INTEREST IN ALLIANCEBERNSTEIN. AXA AND ITS SUBSIDIARIES OWN ALL OF THE ISSUED AND OUTSTANDING SHARES OF THE COMMON STOCK OF AXA FINANCIAL. FOR MORE DETAILED INFORMATION REGARDING REGISTRANT'S OWNERSHIP STRUCTURE, PLEASE REFER TO REGISTRANT'S FORM 10-K, AVAILABLE AT WWW.ALLIANCEBERNSTEIN.COM OR WWW.SEC.GOV. 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 12/31/2011.

ADV, DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an OINITIAL OR OAMENDED 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:

IAPD - View All				Page 400 of 48
☑ 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.	, ,	• •	
	RP for each event or p or entity using one DR			may be reported for more
only one DRP to		o the same event. If		11.E., 11.F. or 11.G. Use actions by more than one
PART I A. The person(s) or entity(ies) for wh	om this DRP is being	filed is (are):	
You (the	advisory firm)			
C You and	one or more of your ac	dvisory affiliates		
One or m	nore of your advisory a	ffiliates		
checking the	appropriate box.	·		te "non-registered" by
		No Informatio	n Filed	
associate This DRF more that	ed with the adviser. I should be removed fr	rom the ADV record b) the adviser is regist	ered or applying for req	filiate(s) is no longer or proceeding occurred gistration with the SEC
event you re years ago. It	ported only in respons	se to Item 11.D(4), an registering with the S	es authority , you may and only if that event oc SEC, you may remove a	
	P should be removed from the should be removed from the should be removed from the should be removed from the should be should		ecause it was filed in e Inces:	rror, such as due to a
submitted a no other info	DRP (with Form ADV, prmation on this DRP n	BD or U-4) to the IAF		has the advisory affiliate t? If the answer is "Yes,"
C Yes	No			
NOTE: The classifier that the classifier is not a second to the classifier that the classifier is not a second to the classifier is not a seco		does not relieve the	advisory affiliate of its	obligation to update its

IAPD - View All Page 401 of 48

PAR	ГП
	Regulatory Action initiated by:
	SEC Other Federal Ostate OsRO OForeign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
	UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Principal Sanction:

Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:

REGISTRANT'S MUTUAL FUNDS BOARDS MUST INSTITUTE CORPORATE GOVERNANCE REFORMS. REGISTRANT MUST ESTABLISH A CODE OF ETHICS OVERSIGHT COMMITTEE, AN INTERNAL COMPLIANCE CONTROLS COMMITTEE, A COMPANY OMBUDSMAN AND ENGAGE AN INDEPENDENT COMPLIANCE CONSULTANT. IN ADDITION, COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT MUST UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY.

3. Date Initiated (MM/DD/YYYY):

10/31/2003 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:

Mutual Fund(s)

Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

THE SEC ALLEGED THAT REGISTRANT VIOLATED SECTIONS 206(1), 206(2), SECTION 204A OF THE INVESTMENT ADVISERS ACT OF 1940, SECTIONS 20(A) SECTION 17(D) SECTION 34(B) OF THE INVESTMENT COMPANY ACT OF 1940 AND RULES 20A-1 AND 17D-1 THEREUNDER IN CONNECTION WITH MARKET TIMING TRANSACTIONS OF MUTUAL FUND SHARES, SOME OF WHICH HAD AN ADVERSE EFFECT ON MUTUAL FUND SHAREHOLDERS.

- Pending On Appeal Final 8. Current Status?
- 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:

Order

IAPD - View All Page 402 of 48

11. Re	esolution D	ate (N	MM/DE	D/YY	YY):
12	2/18/2003	Õ E	xact	О	Explanation
lf	not exact,	provi	de exp	olana	ation:

12. Resolution Detail:

Α.	Were any of the following Sanctions Ordered (check all appropriate items)?				
	Monetary/Fine Amount: \$ 100,000,000.00	0			
	\square Revocation/Expulsion/Denial		Disgorgement/Restitution		
	□ Censure		Cease and Desist/Injunction		
	□ _{Bar}		Suspension		

B. Other Sanctions Ordered:

REGISTRANT'S MUTUAL FUNDS BOARDS MUST INSTITUTE CORPORATE GOVERNANCE REFORMS. REGISTRANT MUST ESTABLISH A CODE OF ETHICS OVERSIGHT COMMITTEE, AN INTERNAL COMPLIANCE CONTROLS COMMITTEE, A COMPANY OMBUDSMAN AND ENGAGE AN INDEPENDENT COMPLIANCE CONSULTANT. IN ADDITION, COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT MUST UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY.

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 MUST ESTABLISH A \$250 MILLION FUND TO COMPENSATE FUND SHAREHOLDERS FOR THE ADVERSE EFFECTS OF MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. OF THE \$250 MILLION FUND, THE AGREEMENTS CHARACTERIZE \$150 MILLION AS DISGORGEMENT AND \$100 MILLION AS A PENALTY. REGISTRANT'S MUTUAL FUNDS BOARDS MUST HAVE INDEPENDENT DIRECTORS THAT COMPRISE AT LEAST 75% OF EACH BOARD AND ADD A SENIOR OFFICER AND ANY NEEDED STAFF TO ASSIST THE BOARDS IN THEIR OVERSIGHT OF COMPLIANCE, FIDUCIARY ISSUES AND CONFLICTS OF INTEREST. IN ADDITION, THE TERMS OF THE AGREEMENT ALSO INCLUDES THE FORMATION OF A CODE OF ETHICS OVERSIGHT COMMITTEE, ESTABLISHMENT OF AN INTERNAL COMPLIANCE CONTROLS COMMITTEE; ESTABLISHMENT OF A COMPANY OMBUDSMAN; ENGAGEMENT OF AN INDEPENDENT COMPLIANCE CONSULTANT; AND COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT SHALL UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY.

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 DECEMBER 18, 2003 REGISTRANT REACHED TERMS WITH THE NEW YORK STATE ATTORNEY GENERAL ("NYAG") AND THE STAFF OF THE SECURITIES AND EXCHANGE COMMISSION ("SEC") FOR THE RESOLUTION OF REGULATORY CLAIMS WITH RESPECT TO MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. THE AGREEMENT WITH THE NEW YORK ATTORNEY GENERAL ("NYAG") IS SUBJECT TO FINAL DEFINITIVE DOCUMENTATION. UNDER BOTH THE SEC AND NYAG AGREEMENTS, REGISTRANT MUST ESTABLISH A \$250 MILLION FUND TO COMPENSATE FUND SHAREHOLDERS FOR THE ADVERSE EFFECTS OF MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. OF THE \$250 MILLION FUND, THE AGREEMENTS CHARACTERIZE \$150 MILLION AS DISGORGEMENT AND \$100 MILLION AS A PENALTY. IN ADDITION, UNDER BOTH AGREEMENTS, REGISTRANT'S MUTUAL FUNDS BOARDS, MUST HAVE INDEPENDENT DIRECTORS THAT COMPRISE AT LEAST 75% OF EACH BOARD, AND MUST ADD A SENIOR OFFICER AND ANY NEEDED STAFF TO ASSIST THE BOARDS IN THEIR OVERSIGHT OF

IAPD - View All Page 403 of 48

COMPLIANCE, FIDUCIARY ISSUES AND CONFLICTS OF INTEREST. THE TERMS AND CONDITIONS OF THE AGREEMENTS ALSO INCLUDE, AMONG OTHERS FORMATION OF A CODE OF ETHICS OVERSIGHT COMMITTEE; ESTABLISHMENT OF AN INTERNAL COMPLIANCE CONTROLS COMMITTEE; ESTABLISHMENT OF A COMPANY; ENGAGEMENT OF AN INDEPENDENT COMPLIANCE CONSULTANT; AND COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT SHALL UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY. ON SEPTEMBER 1, 2004, THE NYAG AND REGISTRANT ENTERED INTO AN ASSURANCE OF DISCONTINUANCE WHICH DOCUMENTED AND CONFIRME THE TERMS PREVIOUSLY AGREED UPON. THE AGREEMENT WITH THE SEC IS REFLECTED IN AN ORDER OF THE COMMISSION.

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 Act	ion	
Check item(s) be	ing responded to:	g g		
□ 11.C(1)	☑ 11.C(2)	□ _{11.C(3)}	☑ 11.C(4)	1 1.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 to 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					
CRD Number:	108477	This advisory affiliate is a Firm	C an Individual		
Registered:	Yes C No				
Name:	ALLIANCE CAPITAL				

IAPD - View All Page 404 of 48

MANAGEMENT L P

(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 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 lister 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:
В.	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.
	C Yes No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
PAF	RT II
1.	Regulatory Action initiated by: SEC Other Federal Ostate Osro Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
2.	Principal Sanction:
	Censure Other Sanctions: REQUIRED TO RETAIN AN INDEPENDENT CONSULTANT TO CONDUCT A REVIEW OF ACMLP'S PERSONAL TRADING POLICIES AND PROCEDURES
3.	Date Initiated (MM/DD/YYYY):
	04/28/1997 Exact Explanation If not exact, provide explanation:
4.	Docket/Case Number: 3-9301
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

listed

IAPD - View All Page 405 of 48

6. Principal Product Type: Mutual Fund(s) Other Product Types: **INVESTMENT ADVISORY SERVICES** 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): THE SEC FOUND THAT IN THE 1990-92 PERIOD ACMLP HAD NOT ADEQUATELY SUPERVISED THE PERSONAL SECURITIES TRADING OF ONE OF ITS FORMER EMPLOYEES BASED ON ACMLP'S FAILURE TO HAVE SUFFICIENT SUPERVISORY PROCEDURES IN PLACE AND FAILURE TO IMPLEMENT PROPERLY THOSE PROCEDURES. Pending On Appeal Final 8. Current Status? 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): 04/28/1997 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: \$ 100,000.00 ☐ Disgorgement/Restitution Revocation/Expulsion/Denial Cease and Desist/Injunction Censure Suspension Bar B. Other Sanctions Ordered: REQUIRED TO RETAIN AN INDEPENDENT CONSULTANT TO CONDUCT A REVIEW OF ACLP'S PERSONAL TRADING POLICIES AND PROCEDURES. 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: \$100,000 PAID ON APRIL 29, 1997

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).

IAPD - View All Page 406 of 48

ON APRIL 17, 1997, THE SEC ACCEPTED AN OFFER OF SETTLEMENT FROM ALLIANCE CAPITAL MANAGEMENT L.P. ("ACMLP") AND ISSUED AN ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS PURSUANT TO SECTION 203(E)(5) OF THE INVESTMENT ADVISERS ACT OF 1940 ("THE ORDER"). IN THE ORDER, THE SEC FOUND THAT DURING THE 1990-92 PERIOD ACMLP HAD NOT ADEQUATELY SUPERVISED THE PERSONAL SECURITIES TRADING OF ONE OF ITS FORMER EMPLOYEES BASED ON ACMLP'S FAILURE TO HAVE SUFFICIENT SUPERVISORY PROCEDURES IN PLACE AND FAILING TO IMPLEMENT PROPERLY THOSE PROCEDURES. IN MAKING ITS OFFER OF SETTLEMENT, ACMLP NEITHER ADMITTED NOR DENIED THE SEC'S FINDINGS SET FORTH IN THE ORDER. AS PART OF THE SETTLEMENT, ACMLP AGREED TO BE CENSURED, TO PAY A CIVIL MONETARY PENALTY OF \$100,000 AND TO RETAIN AN INDEPENDENT CONSULTANT TO CONDUCT A REVIEW OF ACMLP'S PERSONAL TRADING POLICIES AND PROCEDURES.

			GENERAL INSTRUC	TIONS			
This	s Disclosure Rep ails for affirmati	oorting Page (DRP AI ve responses to Iter	DV) is an C INITIAL C ns 11.C., 11.D., 11.E.,	OR AMENDED resp 11.F. or 11.G. of For	oonse used to report rm ADV.		
			Regulatory Acti	on			
		g responded to:		_	_		
	11.C(1)	11.C(2)	□ 11.C(3)	11.C(4)	□ 11.C(5)		
V	11.D(1)	11.D(2)	□ 11.D(3)		□ 11.D(5)		
	11.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)			
	11.F.	□ 11.G.					
			proceeding . The same P. File with a complete		may be reported for more		
only	y one DRP to rep	port details related t			11.E., 11.F. or 11.G. Use actions by more than one		
PAR							
Α.		_	om this DRP is being f	iled is (are):			
	You (the ac	dvisory firm)					
	C You and on	e or more of your ac	dvisory affiliates				
	One or mor	e of your advisory a	ffiliates				
	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 - AD	VISORY 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 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. O Yes O 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: CSEC COther Federal State C SRO C Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) NEW YORK STATE ATTORNEY GENERAL 2. Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: REGISTRANT'S MUTUAL FUNDS BOARDS MUST INSTITUTE CORPORATE GOVERNANCE REFORMS. REGISTRANT MUST ESTABLISH A CODE OF ETHICS OVERSIGHT COMMITTEE, AN INTERNAL COMPLIANCE CONTROLS COMMITTEE, A COMPANY OMBUDSMAN AND ENGAGE AN INDEPENDENT COMPLIANCE CONSULTANT. IN ADDITION, COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT MUST UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY. 3. Date Initiated (MM/DD/YYYY): 08/25/2003 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: Mutual Fund(s) Other Product Types:

IAPD - View All

Page 407 of 48

IAPD - View All Page 408 of 48

7. Describe the allegations related to this regulatory action (your response must fit within the space provided): NYAG ALLEGED REGULATORY CLAIMS WITH REGARD TO MARKET TIMING TRANSACTIONS OF MUTUAL FUND SHARES, SOME OF WHICH HAD AN ADVERSE EFFECT ON MUTUAL FUND SHAREHOLDERS. On Appeal 8. Current Status? Pendina 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): 12/18/2003 © Exact Explanation If not exact, provide explanation: ON DECEMBER 18, 2003 REGISTRANT REACHED TERMS WITH THE NEW YORK STATE ATTORNEY GENERAL ("NYAG") SUBJECT TO FINAL, DEFINITIVE DOCUMENTATION. ON SEPTEMBER 1, 2004, THE NYAG AND REGISTRANT ENTERED INTO AN ASSURANCE OF DISCONTINUANCE WHICH DOCUMENTED AND CONFIRMED THE TERMS PREVIOUSLY AGREED UPON. 12. Resolution Detail: Were any of the following Sanctions Ordered (check all appropriate items)? Monetary/Fine Amount: \$ 100,000,000.00 Revocation/Expulsion/Denial Disgorgement/Restitution Cease and Desist/Injunction Censure Bar Suspension Other Sanctions Ordered: REGISTRANT'S MUTUAL FUNDS BOARDS MUST INSTITUTE CORPORATE GOVERNANCE REFORMS. REGISTRANT MUST ESTABLISH A CODE OF ETHICS OVERSIGHT COMMITTEE, AN INTERNAL COMPLIANCE CONTROLS COMMITTEE, A COMPANY OMBUDSMAN AND ENGAGE AN INDEPENDENT COMPLIANCE CONSULTANT. IN ADDITION, COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT MUST UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY. THE AGREEMENT WITH THE NYAG INCLUDES FEE REDUCTIONS IN CERTAIN OF REGISTRANT'S U.S. LONG-TERM OPEN-END RETAIL FUNDS. 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 MUST ESTABLISH A \$250 MILLION FUND TO COMPENSATE FUND SHAREHOLDERS FOR THE ADVERSE EFFECTS OF MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. OF THE \$250 MILLION FUND, THE AGREEMENTS CHARACTERIZE \$150 MILLION AS DISGORGEMENT AND \$100

IAPD - View All Page 409 of 48

MILLION AS A PENALTY. REGISTRANT'S MUTUAL FUNDS BOARDS MUST HAVE INDEPENDENT DIRECTORS THAT COMPRISE AT LEAST 75% OF EACH BOARD AND ADD A SENIOR OFFICER AND ANY NEEDED STAFF TO ASSIST THE BOARDS IN THEIR OVERSIGHT OF COMPLIANCE, FIDUCIARY ISSUES AND CONFLICTS OF INTEREST. IN ADDITION, THE TERMS OF THE AGREEMENT ALSO INCLUDES THE FORMATION OF A CODE OF ETHICS OVERSIGHT COMMITTEE; ESTABLISHMENT OF AN INTERNAL COMPLIANCE CONTROLS COMMITTEE; ESTABLISHMENT OF A COMPANY OMBUDSMAN; ENGAGEMENT OF AN INDEPENDENT COMPLIANCE CONSULTANT; AND COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT SHALL UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY.

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 DECEMBER 18, 2003 REGISTRANT REACHED TERMS WITH THE NEW YORK STATE ATTORNEY GENERAL ("NYAG") AND THE STAFF OF THE SECURITIES AND EXCHANGE COMMISSION ("SEC") FOR THE RESOLUTION OF REGULATORY CLAIMS WITH RESPECT TO MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. THE AGREEMENT WITH THE SEC IS REFLECTED IN AN ORDER OF THE COMMISSION. THE AGREEMENT WITH THE NYAG IS REFLECTED IN AN ASSURANCE OF DISCONTINUANCE DATED SEPTEMBER 1, 2004 WHICH DOCUMENTED AND CONFIRMED THE TERMS PREVIOUSLY AGREED UPON. UNDER BOTH THE SEC AND NYAG AGREEMENTS, REGISTRANT MUST ESTABLISH A \$250 MILLION FUND TO COMPENSATE FUND SHAREHOLDERS FOR THE ADVERSE EFFECTS OF MARKET TIMING IN SOME OF ITS MUTUAL FUNDS. OF THE \$250 MILLION FUND, THE AGREEMENTS CHARACTERIZE \$150 MILLION AS DISGORGEMENT AND \$100 MILLION AS A PENALTY. THE AGREEMENT WITH THE NYAG INCLUDES A WEIGHTED AVERAGE REDUCTION IN FEES OF 20% ON REGISTRANT'S U.S. LONG-TERM OPEN-END RETAIL FUNDS, COMMENCING JANUARY 1, 2004, FOR A MINIMUM OF 5 YEARS. UNDER BOTH AGREEMENTS, REGISTRANT'S MUTUAL FUNDS BOARDS, MUST ALSO HAVE INDEPENDENT DIRECTORS THAT COMPRISE AT LEAST 75% OF EACH BOARD, AND MUST ADD A SENIOR OFFICER AND ANY NEEDED STAFF TO ASSIST THE BOARDS IN THEIR OVERSIGHT OF COMPLIANCE, FIDUCIARY ISSUES AND CONFLICTS OF INTEREST. THE TERMS AND CONDITIONS OF THE AGREEMENTS ALSO INCLUDE, AMONG OTHERS FORMATION OF A CODE OF ETHICS OVERSIGHT COMMITTEE; ESTABLISHMENT OF AN INTERNAL COMPLIANCE CONTROLS COMMITTEE; ESTABLISHMENT OF A COMPANY; ENGAGEMENT OF AN INDEPENDENT COMPLIANCE CONSULTANT; AND COMMENCING IN 2005, AND AT LEAST ONCE EVERY OTHER YEAR THEREAFTER, REGISTRANT SHALL UNDERGO A COMPLIANCE REVIEW BY AN INDEPENDENT THIRD PARTY.

GENERAL	INISTRI	ICTI	ONS
	1111.3117.1	ハショコ	\cup

This Disclosure Reporting Page (DRP ADV) is an O INITIAL OR 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(4) □ 11.D(5) 11.D(2) □ 11.D(3) □ 11.D(1) □ _{11.E(4)} □ _{11.E(2)} □ 11.E(3) □ 11.E(1) □ 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 IAPD - View All Page 410 of 48

regulator, provide details to 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

CRD This advisory affiliate is 2 a Firm 2 an Individual Number:

Registered: Yes No

Name: **ALLIANCE**

CAPITAL MANAGEMENT (INDIA) PRIVATE

LTD.

(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 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.

No. Yes

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PART II

Page 411 of 48 IAPD - View All

1.	Regulatory Action initiated by: CSEC COther Federal CState CSRO Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SECURITIES AND EXCHANGE BOARD OF INDIA ("SEBI")
2.	Principal Sanction:
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY): 09/08/2003 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:
	Other Other Product Types: INVESTMENT ADVISORY SERVICES
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
	SEBI ALLEGED THAT REGISTRANT AND ALLIANCE CAPITAL ASSET MANAGEMENT (INDIA) PRIVATE LTD. ("ACAM") FAILED TO MAKE DISCLOSURE FILINGS AS TO THE ACQUISITION OF SHARES OF FIVE INDIAN EQUITY SECURITIES HELD AT VARIOUS TIMES BY REGISTRANT (THROUGH SUB-ACCOUNTS UNDER ITS FOREIGN INSTITUTIONAL INVESTOR LICENSES), ITS INDIAN ASSET MANAGEMENT SUBSIDIARY AND ITS LOCAL INDIAN MUTUAL FUND. REGULATION 7 OF SEBI REGULATIONS, 1997, REGULATION 13 OF SEBI AND REGULATIONS 1992 AND SECTION 15A OF THE SEBI ACT REQUIRE THAT DISCLOSURE BE MADE WHEN AN INVESTOR'S (OR A GROUP OF INVESTORS ACTING IN CONCERT) HOLDINGS IN AN INDIAN SECURITY EITHER EXCEEDS 5% OF THE OUTSTANDING SHARES OR CHANGES BY MORE THAN 2%.
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:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Order
11.	Resolution Date (MM/DD/YYYY):

IAPD - View All Page 412 of 48 05/12/2004 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: \$ 630,000.00 ☐ Disgorgement/Restitution Revocation/Expulsion/Denial Censure Cease and Desist/Injunction Bar Suspension 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: SEBI IMPOSED A PENALTY OF RS. 28,650,000 (APPROXIMATELY \$630,000) JOINTLY AND SEVERALLY AGAINST REGISTRANT AND ACAM. 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 MAY 12, 2004, SEBI ISSUED AN ADJUDICATING ORDER (THE "ORDER") AGAINST ACAM AND IT'S LOCAL INDIAN MUTUAL FUND, FINDING THAT THEY VIOLATED SECTION 15A OF THE SEBI ACT, 1992 BY NOT FILING THE NOTICES REQUIRED BY THE TAKEOVER REGULATIONS IN A TIMELY FASHION. SEBI ALLEGED THAT REGISTRANT FAILED TO MAKE DISCLOSURE FILINGS AS TO THE ACQUISITION OF SHARES OF FIVE INDIAN EQUITY SECURITIES HELD AT VARIOUS TIMES BY REGISTRANT (THROUGH SUB-ACCOUNTS UNDER ITS FOREIGN INSTITUTIONAL INVESTOR LICENSES), ALLIANCE CAPITAL ASSET MANAGEMENT INDIA (PRIVATE) LTD. ("ACAM") (ITS INDIAN ASSET MANAGEMENT SUBSIDIARY), AND ACAM'S LOCAL INDIAN MUTUAL FUND. REGULATION 7 OF SEBI REGULATIONS, 1997, REGULATION 13 OF SEBI AND REGULATIONS 1992 AND SECTION 15A OF THE SEBI ACT REQUIRE THAT DISCLOSURE BE MADE WHEN AN INVESTOR'S (OR A GROUP OF INVESTORS ACTING IN CONCERT) HOLDINGS IN AN INDIAN SECURITY EITHER EXCEEDS 5% OF THE OUTSTANDING SHARES OR CHANGES BY MORE THAN 2%. **GENERAL INSTRUCTIONS** This Disclosure Reporting Page (DRP ADV) is an OINITIAL OR OAMENDED 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(3) □ 11.C(4) □ 11.C(2) □ 11.C(1) □ 11.C(5) 11.D(4) □ _{11.D(5)} 11.D(2) □ 11.D(3) □ 11.D(1) □ _{11.E(4)} □ 11.E(3) □ 11.E(2) □ 11.E(1)

□ _{11.F.}

□ 11.G.

IAPD - View All Page 413 of 48

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 to each action on a separate DRP.

PART I

1 /\	X 1 1						
Α.	The person	(s) or entity(ies) for whom this DRP is being filed is (are):					
	C You (the	e advisory firm)					
	C You and	one or more of your advisory affiliates					
	One or more of your advisory affiliates						
	individuals If the advis	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: registered: No						
	Name:	ALLIANCE CAPITAL MANAGEMENT (INDIA) PRIVATE LTD. (For individuals, Last, First, Middle)					
	associa This DR more th	RP should be removed from the ADV record because the advisory affiliate(s) is no longer ted with the adviser. RP should be removed from the ADV record because: (1) the event or proceeding occurred han ten years ago or (2) the adviser is registered or applying for registration with the SEC event was resolved in the adviser's or advisory affiliate's favor.					
	event you r years ago.	registered or registering with a state securities authority, you may remove a DRP for an reported only in response to Item 11.D(4), and only if that event occurred more than ten If you are registered or registering with the SEC, you may remove a DRP for any event listed 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.

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:

IAP	D - View All	Page 414 of 4
	C Yes No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation IARD or CRD records.	to update its
PAF	RT II	
	Regulatory Action initiated by:	
	SEC Other Federal State SRO Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SECURITIES AND EXCHANGE BOARD OF INDIA ("SEBI")	
2.	Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	01/02/2004 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 applicable):	on (if
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 provided):	ne space
	SEBI ALLEGED THAT ON SEPTEMBER 29, 2003 ALLIANCE CAPITAL ASSET MANAGEMENT PRIVATE LTD. ("ACAM") (AN INDIAN ASSET MANAGEMENT SUBSIDIARY OF REGISTRANT LOCAL INDIAN MUTUAL FUND ACCEPTED A SUBSCRIPTION IN A LOCAL OPEN ENDED MUTUAL FOR TWO INVESTORS AFTER THE CUT OFF TIME IN VIOLATION OF INDIAN SECURITIES THE OFFERING DOCUMENTS OF THE FUND.) AND ACAM'S JTUAL FUND
8.	Current Status? C Pending C On Appeal Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date	Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10	. How was matter resolved:	
	Order	

IAPD - View All Page 415 of 48

11.	Reso	olutio	on Date (MM/DD/YYYY):			
	04/3	30/20	004 🧧 Exact 🔘 Expla	anation		
	If no	ot exa	act, provide explanation:			
12.	Reso	olutio	on Detail:			
	A.	Wer	e any of the following Sa	nctions Ordered (checl	k all appropriate ite	ms)?
		V	Monetary/Fine Amount:	\$ 12,600.00		
			Revocation/Expulsion/D	enial l	Disgorgement/F	Restitution
			Censure	I	Cease and Desis	st/Injunction
			Bar	I	Suspension	
	B.	Othe	er Sanctions Ordered:			
13.	ON A IND FUN THE ACA MUT	requiresu amo was SEB 5,75 vide ans, co	palify/retrain, type of exact the control of the co	Securities Principal, First ining was a condition of the immediate and whether its transfer of the immediate and whether its transfer of the immediate and whether its transfer of the immediate and its initial process. The immediate is a condition of the immediate and its initial process of the immediate and its initial process of the immediate and its initial process. The immediate is a conditional process of the immediate and its initial process. The immediate is a conditional process of the immediate and initial process. The immediate is a conditional process of the immediate and initial process. The immediate is a conditional process of the immediate and initial process. The immediate is a conditional process of the immediate and initial process. The immediate process of the immedia	nancial Operations For the sanction, proper condition has been at or monetary compatible and the sanction of t	Principal, etc.). If vide length of time given to en satisfied. If disposition pensation, provide total and if any portion of penalty ON ACAM AND RS. position and include relevant ded). ACAM, AND ACMA'S LOCAL
				GENERAL INSTRUC	CTIONS	
			re Reporting Page (DRP A			
Ch-	ok !+:	om/=) boing responded to	Regulatory Act	ion	
	CK ITE 11.C		being responded to:	□ _{11.C(3)}	□ _{11.C(4)}	□ 11.C(5)
	11.C		□ 11.C(2)	□ 11.D(3)	11.C(4) 11.D(4)	□ 11.D(5)
	11.L 11.E	` '	11.D(2)	□ 11.D(3) □ 11.E(3)	11.D(4)	— Π.υ(s)
	11.E		□ _{11.G.}	— II.E(3)	— II.E(4)	
	1 I.F	•	— II.G.			

IAPD - View All Page 416 of 48

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 to each action on a separate DRP.

Ρ

PAF	RT I								
٩.	The person((s) or entity(ies) fo	r whom this DRP is being filed is (are):						
	C You (the	C You (the advisory firm)							
	C You and	one or more of you	ur advisory affiliates						
	One or r	more of your adviso	ory affiliates						
	individuals, If the advis	Last name, First n	n advisory affiliate, give the full name of the advisory affiliate below (for ame, Middle name). CRD number, provide that number. If not, indicate "non-registered" by						
	ADV DRP -	ADVISORY AFFILIA	TE						
	CRD Number: Registered	: C Yes O No	This advisory affiliate is 🤦 a Firm 🗸 an Individual						
	Name:	ALLIANCE CAPITAL MANAGEMENT (INDIA) PRIVATE LTD. (For individuals, Last, First, Middle)							
	associat This DR more th	ed with the advise P should be remove an ten years ago o	ed from the ADV record because the advisory affiliate(s) is no longer r. ed from the ADV record because: (1) the event or proceeding occurred or (2) the adviser is registered or applying for registration with the SEC d in the adviser's or advisory affiliate's favor.						
	event you re years ago. I	eported only in res f you are registere	ering with a state securities authority, you may remove a DRP for an ponse to Item 11.D(4), and only if that event occurred more than ten d or registering with the SEC, you may remove a DRP for any event listed than ten years ago.						
			ed from the ADV record because it was filed in error, such as due to a ake. Explain the circumstances:						

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

no other information on this DRP must be provided.

No

Yes

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,"

IAPD - View All Page 417 of 48

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

PAR 1.	Regulatory Action initiated by: SEC Other Federal State SRO Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SECURITIES AND EXCHANGE BOARD OF INDIA ("SEBI")
2.	Principal Sanction:
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
3.	Date Initiated (MM/DD/YYYY): 05/11/2004 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:
	Mutual Fund(s) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
	THE SECURITIES AND EXCHANGE BOARD ALLEGED THAT ALLIANCE CAPITAL ASSET MANAGEMENT INDIA (PRIVATE) LTD. ("ACAM"), ITS LOCAL INDIAN MUTUAL FUND AND REGISTRANT VIOLATED SECTION 15G AND 15HA OF THE SEBI ACT WHEN A PORTFOLIO MANAGER OF ACAM RELIED ON UNPUBLISHED PRICE SENSITIVE INFORMATION IN MAKING CERTAIN INVESTMENT DECISIONS ON BEHALF OF CERTAIN CLIENTS OF ACAM AND REGISTRANT AND THAT DURING VARIOUS TIME PERIODS HE ENGAGED IN MANIPULATIVE TRADING ACTIVITY WITH RESPECT TO CERTAIN OTHER SECURITIES.
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: THE REGISTRANT AND ACAM INTEND TO FILE AN APPEAL WITH RESPECT TO THE ORDER WITH THE SECURITIES APPELLATE TRIBUNAL.
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Order

IAPD - View All Page 418 of 48

11.	Res	olution	Date (MM/DD/YYYY):					
	08/	18/200	04 🧧 Exact 🚨 Explar	nation				
	If n	ot exa	ct, provide explanation:					
			OSED A PENALTY OF RS. Y ON ACAM AND REGIST	•	MA	ATELY \$3,200,000)	, JOIN	ITLY AND
12.	Res	olution	Detail:					
	A.	Were	any of the following San	nctions Ordered (check a	all	appropriate items)?	
		☑	Monetary/Fine Amount:	\$ 3,200,000.00				
			Revocation/Expulsion/De	nial		Disgorgement/Res	titutior	٦
			Censure			Cease and Desist/I	njunct	tion
			Bar			Suspension		
	В.	Other	Sanctions Ordered:			·		
			IMPOSED A PENALTY OF RALLY ON ACAM AND RE	•	₹0	XIMATELY \$3,200,	000),	JOINTLY AND
		Sanct	ion detail: if suspended,	enjoined or barred, pro				
			cities affected (General S dification by exam/retrai					
		requa	ılify/retrain, type of exan	n required and whether	C	ondition has been :	satisfie	ed. If disposition
			ed in a fine, penalty, res int, portion levied agains					
		was v	vaived:			·		
			IMPOSED A PENALTY OF RALLY ON ACAM AND RE	•	V	XIMATELY \$3,200,	000),	JOINTLY AND
13.			brief summary of details nditions and dates (your					nd include relevant
			ST 18, 2004 THE SECURI	·			-	AN ORDER OF
			TION AGAINST ALLIANC INDIAN MUTUAL FUND					
			ACT. THE ORDER STATE					
			NSITIVE INFORMATION I					
			CLIENTS OF ACAM AND F IN MANIPULATIVE TRAD					
			NT AND ACAM INTEND T ES APPELLATE TRIBUNAL		ГΗ	RESPECT TO THE	ORDEF	R WITH THE
	SEC	JUNITH	ES AFFELLATE TRIBUNAL					
				GENERAL INSTRUCT	10	NS		
			e Reporting Page (DRP AI					
deta	ails f	or affir	mative responses to Iter	ms 11.C., 11.D., 11.E.,	11	1.F. or 11.G. of For	m AD\	V.
Che	ck it	em(s)	being responded to:	Regulatory Actio	n			
	11.0		11.C(2)	□ _{11.C(3)}		□ 11.C(4)	1	11.C(5)
		D(1)	✓ 11.D(2)	□ _{11.D(3)}		11.D(4)	_	11.D(5)

IAP	D - view All				Page 419 01 4
	11.E(1) 11.F.	□ 11.E(2) □ 11.G.	□ 11.E(3)	□ 11.E(4)	
			or proceeding . The sam DRP. File with a comple	e event or proceeding may ted Execution Page.	be reported for more
only	y one DRP to rep	ort details relate		to Items 11.C., 11.D., 11.E an event gives rise to action	
PAF	RT I				
Α.	The person(s)	or entity(ies) for	whom this DRP is being	filed is (are):	
	C You (the ad	visory firm)			
	You and one	e or more of you	r advisory affiliates		
	One or mor	e of your advisor	ry affiliates		
	individuals, Las If the advisory	st name, First na	ime, Middle name).	he full name of the advisor t number. If not, indicate '	
	ADV DRP - AD	VISORY AFFILIAT			
	CRD 10 Number: Registered:	04845	This advisory affiliate is	a Firm C an Individ	ual
	Name: AX	Yes No KA EQUITABLE FE INSURANCE DMPANY or individuals, ast, First, iddle)			
	associated This DRP sh more than and the event you repo years ago. If yo in Item 11 that This DRP sh	with the adviser. nould be remove ten years ago or ent was resolved stered or register rted only in resp bu are registered occurred more t	d from the ADV record k (2) the adviser is regist in the adviser's or advisting with a state securitionse to Item 11.D(4), at or registering with the than ten years ago.	es authority, you may rem nd only if that event occur SEC, you may remove a D pecause it was filed in erro	proceeding occurred ration with the SEC nove a DRP for an red more than ten RP for any event listed
B.				ystem or CRD system, has RD or CRD for the event? I	

IAPD - View All Page 420 of 48 no other information on this DRP must be provided. Yes O 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: OSEC Oother Federal OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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): Pending On Appeal Final 8. Current Status? 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): C Exact C Explanation If not exact, provide explanation:

12. Resolution Detail:

A. Were any of the following Sanctions Ordered (check all appropriate items)?

IAPD - View All Page 421 of 48 ☐ Monetary/Fine Amount: \$ ☐ Disgorgement/Restitution Revocation/Expulsion/Denial Censure Cease and Desist/Injunction Suspension Bar В. 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 OINITIAL OR OAMENDED 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(3) 11.D(4) □ 11.D(5) ✓ 11.D(2) □ 11.E(2) □ 11.E(3) □ 11.E(4) □ 11.E(1) □ _{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 to 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

individuals, Last name, First name, Middle name).

If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for

IAPD - View All Page 422 of 48

If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

CRD Number:	104845	This advisory affiliate is 🖸 a Firm 🤼 an Individual
Registered:	Yes C No	
Name:	AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First, Middle)	
associat	ed with the adviser	ed from the ADV record because the advisory affiliate(s) is no longer: ed from the ADV record because: (1) the event or proceeding occurred
		(2) the adviser is registered or applying for registration with the SEC d in the adviser's or advisory affiliate's favor.
event you re years ago. I	ported only in resp you are registered	ring with a state securities authority, you may remove a DRP for an conse to Item 11.D(4), and only if that event occurred more than ten d or registering with the SEC, you may remove a DRP for any event listed than ten years ago.
		ed from the ADV record because it was filed in error, such as due to a ke. Explain the circumstances:
submitted a	DRP (with Form Al	tered through the IARD system or CRD system, has the advisory affiliate DV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," RP must be provided.
• Yes	No	
NOTE: The classic land or CRE		orm does not relieve the advisory affiliate of its obligation to update its
RT II		
OSEC OC		tate SRO Sereign a financial regulatory authority, federal, state, or SRO)
Principal Sar	nction:	
Other Sancti	ons:	
C Exact	d (MM/DD/YYYY): Explanation provide explanatic	on:

IAPD - View All Page 423 of 48 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): Pending On Appeal Final 8. Current Status? 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): C Exact C 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 Censure Cease and Desist/Injunction 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).

GENERAL INSTRUCTIONS

IAPD - View All Page 424 of 48

This Disclosure Reporting Page (DRP ADV) is an C INITIAL OR 2 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(4) □ 11.C(5) □ 11.C(3) 11.C(2) □ 11.D(1) 11.D(4) □ 11.D(5) 11.D(2) □ 11.D(3) □ 11.E(4) □ 11.E(1) □ 11.E(2) □ 11.E(3) □ 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 to 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 **CRD** 104845 This advisory affiliate is a Firm an Individual Number: Registered: Yes No **AXA EQUITABLE** Name: 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 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

IAPD - View All Page 425 of 48

	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.
PAF	RT II
1.	
	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):
	C Exact C 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:
lf F	inal 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 C E ot exact, pro	Explanation ovide explanation:			
12. Reso	olution Detai	il:			
			ctions Ordered (check	all appropriate items	s)?
	□ _{Moneta}	ary/Fine Amount: \$			
	-	ation/Expulsion/De		Disgorgement/Res	stitution
	□ Censur	•		Cease and Desist/	
	□ _{Bar}			Suspension	•
В.	Other Sanc	tions Ordered:		•	
	capacities a requalificati requalify/re resulted in	affected (General Solion by exam/retrainetrain, type of exama fine, penalty, resortion levied agains	n required and whether titution, disgorgement	ncial Operations Print the sanction, providence condition has been or monetary compe	ncipal, etc.). If de length of time given to satisfied. If disposition
term This Disc	ns, condition	s and dates (your l	response must fit withi GENERAL INSTRUCT DV) is an C INITIAL O	n the space provided TIONS R AMENDED res	ponse used to report
details fo	or affirmative	e responses to Iter	ns 11.C., 11.D., 11.E.,	11.F. or 11.G. of Fo	orm ADV.
Check its	am(s) heina	responded to:	Regulatory Action	on	
□ _{11.0}	_	□ 11.C(2)	□ _{11.C(3)}	□ _{11.C(4)}	□ _{11.C(5)}
□ _{11.□}		✓ 11.D(2)	□ _{11.D(3)}	11.D(4)	□ _{11.D(5)}
□ _{11.E}		□ _{11.E(2)}	□ _{11.E(3)}	□ _{11.E(4)}	, ,
□ _{11.F}		□ _{11.G.}	` '	` '	
One ever only one regulator PART I A. The	person or enternation of the may result DRP to report, provide de	entity using one DR It in more than one ort details related t etails to each action r entity(ies) for wh	P. File with a complete affirmative answer to	d Execution Page. Items 11.C., 11.D., n event gives rise to	may be reported for more 11.E., 11.F. or 11.G. Use actions by more than one

IAPD - View All

Page 426 of 48

IAPD - View All Page 427 of 48 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 104845 This advisory affiliate is a Firm an Individual Number: 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 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 O 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: CSEC COther Federal CState CSRO CForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions:

IAPD - View All Page 428 of 48

3.	Date	re Initiated (MM/DD/YYYY):	
	C If no	Exact C Explanation ot exact, provide explanation:	
4.	Doc	cket/Case Number:	
5.		visory Affiliate Employing Firm when activity ocolicable):	curred which led to the regulatory action (if
6.	Prin	ncipal Product Type:	
	Oth	ner Product Types:	
7.		scribe the allegations related to this regulatory vided):	action (your response must fit within the space
8.	Curi	rrent Status? C Pending C On Appeal	C Final
9.	If or	n appeal, regulatory action appealed to (SEC,	SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal	or On Appeal, complete all items below. For Pe	ending Actions, complete Item 13 only.
10.	How	w was matter resolved:	
11.	Res	solution Date (MM/DD/YYYY):	
	0	Exact C Explanation	
		not exact, provide explanation:	
12.	Res	solution Detail:	
	A.	Were any of the following Sanctions Ordered	(check all appropriate items)?
		☐ Monetary/Fine Amount: \$	
		Revocation/Expulsion/Denial	☐ Disgorgement/Restitution
		Censure	Cease and Desist/Injunction
		□ Bar	Suspension
	B.	Other Sanctions Ordered:	
		capacities affected (General Securities Princip requalification by exam/retraining was a conc requalify/retrain, type of exam required and resulted in a fine, penalty, restitution, disgorg	rred, provide duration including start date and bal, Financial Operations Principal, etc.). If dition of the sanction, provide length of time given to whether condition has been satisfied. If disposition gement or monetary compensation, provide total isory affiliate date paid and if any portion of penalty

was waived:

IAPD - View All Page 429 of 48

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 INSTRUCT	IONS			
This Disclosure I details for affirm	Reporting Page (DRI native responses to	P ADV) is an C INITIAL OI Items 11.C., 11.D., 11.E.,	AMENDED res 11.F. or 11.G. of Fo	ponse used to report orm ADV.		
		Regulatory Actio	n			
	eing responded to:	_	_	_		
□ 11.C(1)	11.C(2)	□ 11.C(3)	11.C(4)	. ,		
□ 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.					
		or proceeding . The same endering . DRP. File with a completed		may be reported for more		
only one DRP to	report details relate	one affirmative answer to ed to the same event. If an ction on a separate DRP.				
PART I						
A. The person	(s) or entity(ies) for	whom this DRP is being fil	ed is (are):			
C You (the	e advisory firm)					
You and	one or more of you	r advisory affiliates				
One or I	more of your adviso	ry affiliates				
individuals, If the advis	Last name, First na	advisory affiliate, give the ame, Middle name). RD number, provide that n		-		
ADV DRP -	ADVISORY AFFILIA	TE				
CRD Number: Registered	This advisory attiliato is 🛀 a Firm 👢 an Individual					
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

IAPD - View All Page 430 of 48 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 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 O 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 OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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): Pending On Appeal Final 8. Current Status?

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

Page 431 of 48 IAPD - View All

If Final or On Ap	peal, complete all item	ns below. For Pending A	4c	ctions, complete Ite	em 13 only.
10. How was ma	tter resolved:				
11. Resolution D	ate (MM/DD/YYYY):				
	Explanation provide explanation:				
12. Resolution D	etail:				
A. Were ar	ny of the following San	ctions Ordered (check	а	II appropriate item	s)?
□ мо	netary/Fine Amount: \$	\$			
□ _{Re}	vocation/Expulsion/De	nial		Disgorgement/Res	stitution
□ Cei	nsure			Cease and Desist	'Injunction
□ _{Baı}	-			Suspension	
B. Other S	anctions Ordered:				
requalify requalify resulted amount was wai	cation by exam/retrain y/retrain, type of exam in a fine, penalty, res , portion levied agains ved: ef summary of details	n required and whether titution, disgorgement t you or an advisory af	f t r o offill	the sanction, provious condition has been or monetary compeliate date paid and attust and (or) dispo	de length of time given to satisfied. If disposition ensation, provide total if any portion of penalty sition and include relevant
		GENERAL INSTRUCT DV) is an O INITIAL O ms 11.C., 11.D., 11.E.,	R	AMENDED res	
		Regulatory Action	or	1	
\Box 11.C(1)	ing responded to: $\square_{11.C(2)}$	□ _{11.C(3)}		□ _{11.C(4)}	□ 11.C(5)
□ _{11.D(1)}		□ 11.D(3)		11.D(4)	□ 11.D(5)
		□ 11.E(3)		□ 11.E(4)	11.0(3)
□ _{11.F.}	□ _{11.G.}	11.2(0)		(7)	
Use a separate D	RP for each event or p	proceeding . The same	e	vent or proceeding	may be reported for more

nore 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

IAPD - View All Page 432 of 48

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 to each action on a separate DRP.

PART I

Α.

The person(s) or entity(ies) for whom this DRP is being filed is (are):
C You (the advisory firm)
C 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 104845 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 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,"

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:

Yes 🗀 No

no other information on this DRP must be provided.

IAPD - View All Page 433 of 48 OSEC Oother Federal OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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): On Appeal 8. Current Status? Pending C 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): C Exact C 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 □ Disgorgement/Restitution ☐ Censure Cease and Desist/Injunction Bar Suspension B. Other Sanctions Ordered: Sanction detail: if suspended, enjoined or barred, provide duration including start date and

IAPD - View All Page 434 of 48

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).

	eporting Page (DRP AI ative responses to Iter		OR 🧧 AMENDED resp		
		Regulatory Act	ion		
	ing responded to: $\square_{11.C(2)}$	□ 11.C(3)	□ 11.C(4)	□ _{11.C(5)}	
	11.D(2)	□ _{11.D(3)}		· ·	
□ _{11.E(1)}	□ _{11.E(2)}	□ _{11.E(3)}	□ 11.E(4)		
□ _{11.F.}	□ _{11.G.}				
	RP for each event or por entity using one DR			may be reported for mor	~e
only one DRP to r		o the same event. If a		11.E., 11.F. or 11.G. Uso actions by more than or	
PART I A. The person(s	s) or entity(ies) for wh	om this DRP is being	filed is (are):		
C 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:	104845	This advisory affiliate is a Firm	C an Individual			
Registered:	Yes C No					
Name:	AXA EQUITABLE					

C You and one or more of your advisory affiliates

One or more of your advisory affiliates

IAPD - View All Page 435 of 48

> 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 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.
PAR	रा ॥
1.	Regulatory Action initiated by: OSEC Other Federal OState OSRO OF 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:

IAPD - View All Page 436 of 48 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): Pending On Appeal Final 8. Current Status? 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): C Exact C 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 ☐ Censure Cease and Desist/Injunction Bar 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 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.D(4) □ _{11.D(3)} □ _{11.D(5)} □ 11.D(1) 11.D(2) □ 11.E(1) □ 11.E(2) □ 11.E(3) □ 11.E(4)

□ 11.C(3)

□ 11.C(4)

□ 11.C(1)

□ 11.C(2)

□ 11.C(5)

IAP	D - View All		Page 437 of 48
	11.F.	□ 11.G.	
			nt or proceeding. The same event or proceeding may be reported for more ne DRP. File with a completed Execution Page.
onl	y one DRP to	report details rela	in one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use ated to the same event. If an event gives rise to actions by more than one action on a separate DRP.
PAF A.		s) or entity(ies) f	for whom this DRP is being filed is (are):
	C You (the	advisory firm)	
	C You and	one or more of yo	our advisory affiliates
	One or r	nore of your advi	sory affiliates
	individuals, If the advis	Last name, First	an advisory affiliate, give the full name of the advisory affiliate below (for name, Middle name). CRD number, provide that number. If not, indicate "non-registered" by
	ADV DRP -	ADVISORY AFFILI	ATE
	CRD Number: Registered:	104845 Yes No	This advisory affiliate is a Firm an Individual
	Name:	AXA EQUITABLE LIFE INSURANC COMPANY (For individuals, Last, First, Middle)	
	associat This DRI more th and the If you are re event you re years ago. I in Item 11 t	ed with the advise should be remorant en years ago event was resolvegistered or registered only in refusor fyou are register hat occurred mor	ved from the ADV record because the advisory affiliate(s) is no longer er. ved from the ADV record because: (1) the event or proceeding occurred or (2) the adviser is registered or applying for registration with the SEC ed in the adviser's or advisory affiliate's favor. tering with a state securities authority, you may remove a DRP for an isponse to Item 11.D(4), and only if that event occurred more than ten red or registering with the SEC, you may remove a DRP for any event listed than ten years ago. ved from the ADV record because it was filed in error, such as due to a
			take. 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.

IAPD - View All Page 438 of 48 Yes C 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 OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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): On Appeal Pending C Final 8. Current Status? 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): C Exact C Explanation If not exact, provide explanation: 12. Resolution Detail:

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/2013

A. Were any of the following Sanctions Ordered (check all appropriate items)?

☐ Monetary/Fine Amount: \$

APD - View All					Page 439 of 4
□ _{Ce} □ _{Ba}	vocation/Expulsion/Der nsure r anctions Ordered:	nial		Disgorgement/Res Cease and Desist/ Suspension	
Sanction capaciti requalif requalif resulted	n detail: if suspended, e es affected (General Se ication by exam/retrain y/retrain, type of exam d in a fine, penalty, rest , portion levied against	ecurities Principal, F ning was a condition required and whet citution, disgorgeme	inan of t her o	cial Operations Pri he sanction, provid condition has been r monetary compe	ncipal, etc.). If de length of time given to satisfied. If disposition
	ief summary of details r tions and dates (your r				sition and include relevant d).
	Reporting Page (DRP AD ative responses to Item		OR	AMENDED res	
		Regulatory A	ction		
Check item(s) be \square 11.C(1)	eing responded to: $\square_{11.C(2)}$	□ _{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)	11.5(0)
□ _{11.F.}	□ 11.G.	(0)		= (.)	
	ORP for each event or proor entity using one DRF				may be reported for more
only one DRP to		the same event. I	f an		11.E., 11.F. or 11.G. Use actions by more than one
PART I A. The person(s	s) or entity(ies) for who	om this DRP is bein	g file	d is (are):	
C You (the	advisory firm)				
C You and	one or more of your ad	visory affiliates			
One or n	nore of your advisory at	ffiliates			
individuals,	Last name, First name,	Middle name).			lvisory affiliate below (for cate "non-registered" by

checking the appropriate box.

IAPD - View All Page 440 of 48

4 D\ / DDD	A D./.I.C.O.D./. A F.F.II. I.A	TE
ADV DRP - A	ADVISORY AFFILIA	
CRD Number:	104845	This advisory affiliate is 🤦 a Firm 🧢 an Individual
Name:	Yes No AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First, Middle)	
associat This DRI more that	ed with the advise of should be remove an ten years ago o	ed from the ADV record because the advisory affiliate(s) is no longer r. ed from the ADV record because: (1) the event or proceeding occurred or (2) the adviser is registered or applying for registration with the SEC d in the adviser's or advisory affiliate's favor.
event you re years ago. I	eported only in res f you are registere	ering with a state securities authority, you may remove a DRP for an ponse to Item 11.D(4), and only if that event occurred more than ten d or registering with the SEC, you may remove a DRP for any event listed than ten years ago.
		ed from the ADV record because it was filed in error, such as due to a ake. Explain the circumstances:
submitted a	DRP (with Form A	tered through the IARD system or CRD system, has the advisory affiliate DV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," RP must be provided.
Yes C	No	
NOTE: The C		form does not relieve the advisory affiliate of its obligation to update its
ТП		
OSEC OC		State C SRO C Foreign In financial regulatory authority, federal, state, or SRO)
Principal Sar	nction:	
Other Sancti	ions:	
C Exact	ed (MM/DD/YYYY): Explanation provide explanation	on:
Docket/Case	e Number:	

IAPD - View All Page 441 of 48 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: 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): C Exact C 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 □ _{Bar} 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

details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

This Disclosure Reporting Page (DRP ADV) is an OINITIAL OR OAMENDED response used to report

IAPD - View All Page 442 of 48

			Regulatory Action		
		ing 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.			
			or proceeding . The same eve DRP. File with a completed E		g may be reported for mor
only	one DRP to r	eport details relate	one affirmative answer to Ite ed to the same event. If an e ction on a separate DRP.		
PAR	ΤΙ				
A.	The person(s	s) or entity(ies) for	whom this DRP is being filed	l is (are):	
	C You (the	advisory firm)			
	C You and o	one or more of you	r advisory affiliates		
	-	nore of your adviso	_		
	individuals, If the adviso	Last name, First na	advisory affiliate, give the fu ame, Middle name). RD number, provide that nur		
	ADV DRP - A	ADVISORY AFFILIA	TE		
	CRD Number: Registered:	104845	This advisory affiliate is	a Firm C an Ir	ndividual
		163 - 110			
	Name:	AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First, Middle)			
	associate This DRP more tha	ed with the adviser should be remove in ten years ago or	ed from the ADV record becau ed from the ADV record becau (2) the adviser is registered I in the adviser's or advisory	use: (1) the even For applying for r	nt or proceeding occurred

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.

IAPD - View All Page 443 of 48 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: CSEC COther Federal CState CSRO CForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C Explanation If not exact, provide explanation: 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: 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): C Exact C Explanation

If not exact, provide explanation:

12. Res	olutio	on Detail:				
A.	Wer	e any of the following San	ctions Ordered (check	al	Il appropriate items)?	
		Monetary/Fine Amount: \$				
		Revocation/Expulsion/Del	nial		Disgorgement/Restitut	ion
		Censure			Cease and Desist/Injur	nction
		Bar			Suspension	
B.	Oth	er Sanctions Ordered:				
	requeresus amo	ction detail: if suspended, acities affected (General So palification by exam/retrain palify/retrain, type of examulted in a fine, penalty, respont, portion levied against waived:	ecurities Principal, Fina ning was a condition of n required and whethe titution, disgorgement	an ft ero to	cial Operations Principa he sanction, provide ler condition has been satis r monetary compensati	I, etc.). If ngth of time given to sfied. If disposition on, provide total
		a brief summary of details onditions and dates (your i				and include relevan
		re Reporting Page (DRP AE Firmative responses to Iten)R , 1	AMENDED respons 1.F. or 11.G. of Form A	
Check it	em(s) being responded to:	Regulatory Activ	011		
□ 11.0	C(1)	☐ 11.C(2)	□ _{11.C(3)}		11.C(4)	□ 11.C(5)
□ _{11.0}	D(1)	☑ 11.D(2)	□ 11.D(3)		☑ 11.D(4)	□ 11.D(5)
□ _{11.E}	E(1)	□ _{11.E(2)}	□ _{11.E(3)}		□ 11.E(4)	
□ 11.F	₹.	☐ 11.G.				
One eve	e pers	te DRP for each event or p son or entity using one DR ay result in more than one to report details related to ovide details to each action	P. File with a complete affirmative answer to the same event. If a	ed o It	Execution Page. tems 11.C., 11.D., 11.E	, 11.F. or 11.G. Use
PART I			·			
	pers	on(s) or entity(ies) for wh	om this DRP is being f	ile	ed is (are):	
0	You (the advisory firm)				
0	You a	and one or more of your ac	dvisory affiliates			
0	One	or more of your advisory a	ıffiliates			

Page 445 of 48 IAPD - View All

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.

CRD	104845	
Number:		This advisory affiliate is 🤦 a Firm 🧢 an Individual
	Yes C No	
Name:	AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First, Middle)	
	should be remove ed with the adviser	ed from the ADV record because the advisory affiliate(s) is no longer
This DRP more that	should be remove an ten years ago or	ed from the ADV record because: (1) the event or proceeding occurred r (2) the adviser is registered or applying for registration with the SEC d in the adviser's or advisory affiliate's favor.
event you re years ago. If	ported only in resp you are registered	ring with a state securities authority, you may remove a DRP for an conse to Item 11.D(4), and only if that event occurred more than ten d or registering with the SEC, you may remove a DRP for any event listed than ten years ago.
		ed from the ADV record because it was filed in error, such as due to a ke. Explain the circumstances:
submitted a	DRP (with Form Al	tered through the IARD system or CRD system, has the advisory affiliate DV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," RP must be provided.
Yes C	No	
NOTE: The c		orm does not relieve the advisory affiliate of its obligation to update its
ТП		
OSEC CO		tate C SRO C Foreign n financial regulatory authority, federal, state, or SRO)
Principal Sar	ction:	
Other Sancti	ons:	
Date Initiate	d (MM/DD/YYYY):	
C Exact	Explanation	

Page 446 of 48 IAPD - View All

	If no	ot exact, provide explanation:	
4.	Doc	ket/Case Number:	
5.		risory Affiliate Employing Firm when activity occurre licable):	ed which led to the regulatory action (if
6.	Prin	ncipal Product Type:	
	Othe	er Product Types:	
7.		scribe the allegations related to this regulatory action vided):	on (your response must fit within the space
8.	Curr	rent Status? C Pending C On Appeal C	Final
9.	If or	n appeal, regulatory action appealed to (SEC, SRO	Federal or State Court) and Date Appeal Filed:
If F	inal (or On Appeal, complete all items below. For Pendir	ng Actions, complete Item 13 only.
10.	How	v was matter resolved:	
11.	Res	olution Date (MM/DD/YYYY):	
	\circ	Exact C Explanation	
	If no	ot exact, provide explanation:	
12.	Res	olution Detail:	
	A.	Were any of the following Sanctions Ordered (che	ck all appropriate items)?
		☐ Monetary/Fine Amount: \$	
		☐ Revocation/Expulsion/Denial	□ Disgorgement/Restitution
		□ Censure	☐ Cease and Desist/Injunction
		□ _{Bar}	☐ Suspension
	B.	Other Sanctions Ordered:	
		Sanction detail: if suspended, enjoined or barred, capacities affected (General Securities Principal, Frequalification by exam/retraining was a condition requalify/retrain, type of exam required and whet resulted in a fine, penalty, restitution, disgorgement amount, portion levied against you or an advisory was waived:	inancial Operations Principal, etc.). If n of the sanction, provide length of time given to her condition has been satisfied. If disposition ent or monetary compensation, provide total

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).

Page 447 of 48 IAPD - View All

	eporting Page (DRP AL ative responses to Iter		OR 🧧 AMENDED resp	
		Regulatory Act	ion	
	ing responded to:	0 0		
□ 11.C(1)	11.C(2)	□ 11.C(3)	11.C(4)	` '
□ 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.			
	RP for each event or p or entity using one DR			may be reported for more
only one DRP to		o the same event. If a		11.E., 11.F. or 11.G. Use actions by more than one
PART I			· · · · · · · · · · · · · · · · · ·	
	s) or entity(ies) for wh	om this DRP is being	filed is (are):	
	advisory firm)			
You and of	one or more of your ac	lvisory affiliates		
One or m	ore of your advisory a	ffiliates		
individuals, If the adviso	Last name, First name	, Middle name).		visory affiliate below (for ate "non-registered" by
ADV DRP - A	ADVISORY AFFILIATE			
		No Information	n Filed	
associate This DRF more tha		rom the ADV record be the adviser is registe	ecause: (1) the event ered or applying for re	ffiliate(s) is no longer or proceeding occurred egistration with the SEC
event you re years ago. If		se to Item 11.D(4), ar registering with the S	nd only if that event o	remove a DRP for an ccurred more than ten a DRP for any event listed

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:

IAPD - View All Page 448 of 48

В.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliar 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 C No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
	RT II
1.	Regulatory Action initiated by: SEC Other Federal Ostate Osro 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 Penalt(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): ALLIANCEBERNSTEIN 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): ON JULY 2, 2008, THE NETHERLANDS AUTHORITY FOR THE FINANCIAL MARKETS (AFM) IMPOSED AN ADMINISTRATIVE FINE OF EUR 120,000 ON ALLIANCEBERNSTEIN CORPORATION THE GENERAL PARTNER OF ALLIANCEBERNSTEIN L.P. THE FINE CONCERNED THE UNTIMELY SUBMISSION OF FIVE BENEFICIAL OWNERSHIP REPORTS UNDER ARTICLE 5:38, SECTION 1, OF THE NETHERLANDS' FINANCIAL SUPERVISION ACT. THE FIRM'S PAYMENT OF THE FINE RESOLVED THE AFM'S INQUIRY.
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 F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:

Settled

11. Res	solution [Date (MM/DD/YYYY):			
08/	/01/2008	Exact Explanation	n		
		provide explanation:			
API	PROXIMA	TE RESOLUTION DATE.			
12. Res	solution D				
Α.	_	ny of the following Sanction		all appropriate items)?	
	☑ Mc	onetary/Fine Amount: \$ 120	0,000.00		
	□ _{Re}	vocation/Expulsion/Denial		Disgorgement/Restituti	ion
	□ _{Ce}	nsure		Cease and Desist/Injur	nction
	□ _{Ba}	r		Suspension	
В.	Other S	anctions Ordered:			
	capaciti requalif requalif resulted amount was wa ON JUL AN ADM GENERA SUBMIS THE NE THE AF	n detail: if suspended, enjoges affected (General Securication by exam/retraining ly/retrain, type of exam requing a fine, penalty, restitution, portion levied against you ived: Y 2, 2008, THE NETHERLANGINISTRATIVE FINE OF EURAL PARTNER OF ALLIANCES SION OF FIVE BENEFICIAL THERLANDS' FINANCIAL SUM'S INQUIRY. ief summary of details relations and dates (your response	ities Principal, Final was a condition of juired and whether ion, disgorgement or an advisory affolios AUTHORITY FOR 120,000 ON ALLI ERNSTEIN L.P. THE OWNERSHIP REPOSENTED ACT.	ncial Operations Principa the sanction, provide ler condition has been satis or monetary compensati- filiate date paid and if an OR THE FINANCIAL MARK ANCEBERNSTEIN CORPO E FINE CONCERNED THE ORTS UNDER ARTICLE 5: THE FIRM'S PAYMENT OF	I, etc.). If ngth of time given to sfied. If disposition on, provide total y portion of penalty (ETS (AFM) IMPOSED RATION THE UNTIMELY 38, SECTION 1, OF THE FINE RESOLVED
AD PAI BEI	MINISTRA RTNER OF NEFICIAL	2008, THE NETHERLANDS ATIVE FINE OF EUR 120,000 FALLIANCEBERNSTEIN L.P. OWNERSHIP REPORTS UNI SUPERVISION ACT. THE FIF	O ON ALLIANCEBE THE FINE CONCE DER ARTICLE 5:38	RNSTEIN CORPORATION RNED THE UNTIMELY SUI , SECTION 1, OF THE NE	THE GENERAL BMISSION OF FIVE THERLANDS'
		G	ENERAL INSTRUCT	IONS	
		Reporting Page (DRP ADV) i ative responses to Items 1	s an C INITIAL O	R 🔼 AMENDED response	
			Regulatory Action	n	
		eing responded to:	_	П	П
□ _{11.}	• •	☐ 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)

APD -	view All				Page 450 01 4
□ ₁₁ □ ₁₁		☐ 11.E(2) ☐ 11.G.	□ _{11.E(3)}	□ 11.E(4)	
		or each event or pro ntity using one DRP.		e event or proceeding m ted Execution Page.	ay be reported for more
only or	ne DRP to repor		the same event. If	o Items 11.C., 11.D., 17 an event gives rise to ac	
PART I					
		entity(ies) for whom	n this DRP is being	filed is (are):	
C	You (the advi	sory firm)			
С	You and one of	or more of your advi	sory affiliates		
С	One or more	of your advisory affil	liates		
in If	ndividuals, Last	name, First name, M ffiliate has a CRD nu	Middle name).	ne full name of the advis	-
А	DV DRP - ADVI	SORY AFFILIATE			
			No Informatio	n Filed	
	associated wi This DRP sho more than te	ith the adviser. uld be removed fror	n the ADV record b he adviser is registo	ecause the advisory affi ecause: (1) the event o ered or applying for regi ory affiliate's favor.	r proceeding occurred
ev ye	vent you reporte ears ago. If you	ed only in response	to Item 11.D(4), aregistering with the S	es authority , you may rend only if that event occ SEC, you may remove a	urred more than ten
		uld be removed fror ta-entry mistake. Ex		ecause it was filed in er inces:	ror, such as due to a
SU	ibmitted a DRP		or U-4) to the IAR	ystem or CRD system, h RD or CRD for the event	
С	Yes C No				
	OTE: The comp		oes not relieve the	advisory affiliate of its c	obligation to update its
PART I	I				
1. Re	egulatory Action	n initiated by:			

IAP:	D - View All Page 451 of 48
	CSEC COther Federal CState CSRO 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.
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:
lf F	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).

IAPD - View All Page 452 of 48

12. Res	olution Deta	ail:				
A.	Were any	of the following San	nctions Ordered (chec	ck a	II appropriate items)?	
	Mone	tary/Fine Amount:	\$ 22,500.00			
	□ Revo	cation/Expulsion/De	nial		Disgorgement/Restit	ution
	□ Censi	ure			Cease and Desist/Inj	junction
	□ _{Bar}				Suspension	
B.	Other San	ctions Ordered:				
tern PUR REG	capacities requalifica requalify/r resulted ir amount, p was waive PURSUANTHE REGIS (APPROXII) vide a briefins, conditions	affected (General S tion by exam/retrai retrain, type of exam a fine, penalty, res ortion levied agains d: T TO A CONSENT OF STRANT PAID SEBLA MATELY USD \$22,50 summary of details and dates (your A CONSENT ORDER	recurities Principal, Fining was a condition required and wheth stitution, disgorgement you or an advisory RDER DATED MARCH A FINE AND ADMINISTOD). related to the action response must fit with a DATED MARCH 20,	nar of ner nt caffi 20 STR	condition has been sales monetary compensaliate date paid and if , 2009, WHICH DISPONDATIVE FEE OF RPS. 1, atus and (or) disposition the space provided).	pal, etc.). If length of time given to atisfied. If disposition ation, provide total any portion of penalty OSED OF THE MATTER, ,025,000
			GENERAL INSTRU	СТІ	ONS	
			DV) is an C INITIAL	OF	AMENDED respo	
	()		Regulatory Ac	tior	٦	
		g responded to:	□ _{11.C(3)}		□ 11.C(4)	□ _{11.C(5)}
□ _{11.0}		□ 11.C(2) ☑ 11.D(2)	□ _{11.D(3)}		□ 11.C(4) □ 11.D(4)	11.C(5)
□ _{11.E}		11.D(2) 11.E(2)	□ 11.D(3)		11.D(4) 11.E(4)	— II.υ(5)
□ _{11.6}		□ _{11.G.}	← II.E(3)		— II.⊑(4)	
— II.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 to each action on a separate DRP.

PART I

IAPD - View All Page 453 of 48

Α.	The person(s) or entity(ies) for whom this DRP is being filed is (are):					
	You (the advisory firm)					
	C 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 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.					
	C Yes C No					
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.					
PAF	RT II					
1.	Regulatory Action initiated by:					
	© SEC © Other Federal © State © SRO Proreign (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:					

IAPD - View All Page 454 of 48

4.	Doc N/A	ket/Case Number:					
5.		Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):					
6.	Prin	cipal Product Type:					
		ity Listed (Common & Preferred Stock) er Product Types:					
7.	prov IN A TIM HOL	cribe the allegations related to this regulatory actionided): A NOTICE OF ADMINISTRATIVE FINE, THE FSC ALL ELY REPORT ITS CLIENTS' BENEFICIAL OWNERSHILDING COMPANIES PURSUANT TO ARTICLES 8 AND ARTICLE 6-2 OF THE PRESIDENTIAL DECREES.	EGE P OI) 72	D THAT THE REGISTRANT IN 2008 DID NOT F MORE THAN 4% OF SHARES IN TWO BANK OF THE FINANCIAL HOLDING COMPANIES			
8.	Curi	rent Status? 🔼 Pending 💆 On Appeal	F	inal			
9.	If o	n appeal, regulatory action appealed to (SEC, SRO,	Fed	leral or State Court) and Date Appeal Filed:			
lf F	inal (or On Appeal, complete all items below. For Pendir	ıg Ad	ctions, complete Item 13 only.			
10.	How	v was matter resolved:					
	Con	sent					
11.	Res	olution Date (MM/DD/YYYY):					
		17/2009 Exact Explanation ot exact, provide explanation:					
12.	Res	olution Detail:					
	A.	Were any of the following Sanctions Ordered (che	ck a	Il appropriate items)?			
		Monetary/Fine Amount: \$ 12,500.00					
		Revocation/Expulsion/Denial		Disgorgement/Restitution			
		Censure		Cease and Desist/Injunction			
		□ Bar		Suspension			
	B.	Other Sanctions Ordered:					
		Sanction detail: if suspended, enjoined or barred, capacities affected (General Securities Principal, Frequalification by exam/retraining was a condition requalify/retrain, type of exam required and whet resulted in a fine, penalty, restitution, disgorgements	inar of ther	icial Operations Principal, etc.). If the sanction, provide length of time given to condition has been satisfied. If disposition			

IAPD - View All Page 455 of 48

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.

			GEN	NERAL INSTRU	JCTIONS			
		Reporting Page native response					onse used to report m ADV.	
				Regulatory A	ction			
		eing responded						
	11.C(1)	□ 11.C		11.C(3)		.C(4)	11.C(5)	
	11.D(1)			11.D(3)	□ 11	.D(4)	☑ 11.D(5)	
	11.E(1)	🔽 11.E((2) I	11.E(3)	□ 11	.E(4)		
	11.F.	□ 11.G						
		DRP for each ever or entity using					nay be reported for	more
only	y one DRP to		related to the	same event. I	f an event giv		1.E., 11.F. or 11.G. ctions by more thar	
PAF Δ		(s) or entity(ies	s) for whom th	is NRP is hein	n filed is (are	١.		
<i>7</i> \ .	_	advisory firm)		is bitt is being	g med is (are) ·		
	_			CCIII				
		one or more of	,					
	One or r	more of your ac	dvisory affiliate	es				
	individuals, If the advis	Last name, Fir	rst name, Midd s a CRD numb	lle name).			sory affiliate below re "non-registered"	
	ADV DRP -	ADVISORY AFF	ILIATE					
	CRD Number:	14549	This adv	isory affiliate	s 🤦 a Firm	C an Indi	vidual	
	Registered	: O Yes O	No					

Name:

ALLIANCE FUND

IAPD - View All Page 456 of 48

DISTRIBUTORS,

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 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 C 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: OSEC Oother Federal OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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:

IAPD - View All Page 457 of 48 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): Pending On Appeal Final 8. Current Status? 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): C Exact C 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 ☐ Censure Cease and Desist/Injunction Bar 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 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)	

IAPI	O - View All			Page 458 of 48			
	11.F.	□ 11.G.					
			or proceeding. The same event or proceeding may be repose DRP. File with a completed Execution Page.	orted for more			
only	one DRP to r	eport details relat	one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. ted to the same event. If an event gives rise to actions by nuction on a separate DRP.				
PAR	ΤΙ						
Α.	The person(s) or entity(ies) for	r whom this DRP is being filed is (are):				
	C You (the a	advisory firm)					
	C You and c	ne or more of you	ur advisory affiliates				
	One or m	ore of your adviso	ory affiliates				
	individuals, l If the adviso	ast name, First n	n advisory affiliate, give the full name of the advisory affiliat name, Middle name). CRD number, provide that number. If not, indicate "non-reg	·			
	ADV DRP - ADVISORY AFFILIATE						
	CRD Number:	. 8	This advisory affiliate is 🤦 a Firm 💆 an Individual				
	Name:	New-ALLIANCE ASSET MANAGEMENT (ASIA) LIMITED ("NAAM") (For individuals, Last, First, Middle)					
	associate This DRP more that and the element you are requested your replacement and the first the second se	d with the advised should be removed the years ago of event was resolved gistered or registed borted only in responding the you are registered at occurred more	ed from the ADV record because: (1) the event or proceeding (2) the adviser is registered or applying for registration with a din the adviser's or advisory affiliate's favor. Earing with a state securities authority, you may remove a Deponse to Item 11.D(4), and only if that event occurred more ad or registering with the SEC, you may remove a DRP for all than ten years ago.	ng occurred ith the SEC RP for an e than ten ny event listed			
			ed from the ADV record because it was filed in error, such a ake. Explain the circumstances:	s due to a			

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,"

IAPD - View All	Page 459 of 48
no other information on this DRP must be provided. O Yes No	
NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to IARD or CRD records.	o update its
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) THE HONG KONG SECURITIES AND FUTURES COMMISSION ("SFC")	
2. Principal Sanction:	
Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3. Date Initiated (MM/DD/YYYY): 12/06/2005 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 applicable):	(if
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 provided): THE HONG KONG SECURITIES AND FUTURES COMMISSION ("SFC") ISSUED SIX SUMMON ALLIANCE ASSET MANAGEMENT (ASIA) LIMITED ("NAAM") ALLEGING THAT NAAM FAILED WITH SECTIONS 3101(1)(A), 324(1) AND (2), 325(1) AND 328(A) UNDER PART XV OF TH SECURITIES AND FUTURES ORDINACE (THE "SUMMONSES").	SES TO NEW- TO COMPLY
8. Current Status? Pending On Appeal Final	
9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date A	ppeal Filed:
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10. How was matter resolved:	
Consent	

Page 460 of 48 IAPD - View All

11. Resolution Date (MM/DD/YYYY): 02/23/2006 Exact Explanation If not exact, provide explanation:	
requalify/retrain, type of exam required and where resulted in a fine, penalty, restitution, disgorge	Disgorgement/Restitution Cease and Desist/Injunction Suspension ed, provide duration including start date and I, Financial Operations Principal, etc.). If ion of the sanction, provide length of time given to nether condition has been satisfied. If disposition ement or monetary compensation, provide total ory affiliate date paid and if any portion of penalty ARCH 8, 2005, NAAM, ON BEHALF OF ITS HE APPLICABLE STATUTORY THRESHOLD
("SHANDONG"). ALTHOUGH, NAAM FAILED TO KONG LIMITED AND SHANDONG OF NAAM'S IN NAAM SELF REPORTED THIS BREACH TO THE S	TIMELY NOTIFY THE STOCK EXCHANGE OF HONG ITEREST IN SHANDONG, ON OCTOBER 29, 2005, SFC. THE SFC ISSUED THE SUMMONSES AFTER 23, 2005, NAAM AGREED TO NOT CONTEST THE INE OF 12,000 HONG KONG DOLLARS (HKD)
13. Provide a brief summary of details related to the acterms, conditions and dates (your response must fit ON OR ABOUT FEBRUARY 18, MARCH 5 AND MARCH CLIENTS, ACQUIRED MORE THAN THE APPLICABLE SHANDONG WEIGOO GROUP MEDICAL POLYMER, C NAAM FAILED TO TIMELY NOTIFY THE STOCK EXCH NAAM'S INTEREST IN SHANDONG, ON OCTOBER 29 THE SFC. THE SFC ISSUED THE SUMMONSES AFTER 2005, NAAM AGREED TO NOT CONTEST THE SUMMO 12,000 HONG KONG DOLLARS (HKD) (APPROXIMAT RESOLUTION OF THE MATTER.	within the space provided). H 8, 2005, NAAM, ON BEHALF OF ITS ADVISORY STATUTORY THRESHOLD PERCENTAGE OF OMPANY LIMITED ("SHANDONG"). ALTHOUGH, ANGE OF HONG KONG LIMITED AND SHANDONG OF P, 2005, NAAM SELF REPORTED THIS BREACH TO R INVESTIGATING THE MATTER. ON FEBRUARY 23, ONSES AND WAS REQUIRED TO PAY A FINE OF
GENERAL INST This Disclosure Reporting Page (DRP ADV) is an C INIT	
details for affirmative responses to Items 11.C., 11.D.,	11.E., 11.F. or 11.G. of Form ADV.
Regulatory Check item(s) being responded to:	/ Action

IAPD - View All				Page 461 of 48
□ _{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.			
•		proceeding . The same RP. File with a complet	1	nay be reported for more
only one DRP to	report details related			1.E., 11.F. or 11.G. Use actions by more than one
PART I				
A. The person(s) or entity(ies) for w	hom this DRP is being	filed is (are):	
C You (the	advisory firm)			
C You and	one or more of your a	ndvisory affiliates		
One or r	more of your advisory	affiliates		
checking th	ory affiliate has a CRE e appropriate box. ADVISORY AFFILIATE) number, provide that	number. If not, indica	te "non-registered" by
CRD Number:		his advisory affiliate is	a Firm C an Indi	vidual
Registered	Yes 🖰 No			
Name:	AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First, Middle)			
	P should be removed ted with the adviser.	from the ADV record be	ecause the advisory aff	filiate(s) is no longer
This DR more th	P should be removed t an ten years ago or (2		ered or applying for reg	or proceeding occurred gistration with the SEC
event you re years ago. I	eported only in respor	ise to Item 11.D(4), ar r registering with the S	s authority , you may ind only if that event oc SEC, you may remove a	
		from the ADV record be . Explain the circumsta	ecause it was filed in e nces:	rror, such as due to a

Page 462 of 48 IAPD - View All

B.	If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliat 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.
	RT II Regulatory Action initiated by: SEC Other Federal Ostate Osro Office 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? C Pending C On Appeal C Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	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:

IAPD - View All Page 463 of 48 12. Resolution Detail: A. Were any of the following Sanctions Ordered (check all appropriate items)? ☐ Monetary/Fine Amount: \$ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution ☐ Cease and Desist/Injunction Censure Suspension Bar 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 OINITIAL OR OAMENDED 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(3) □ 11.C(4) □ 11.C(1) □ 11.C(2) □ 11.C(5) □ _{11.D(3)} □ _{11.D(4)} □ 11.D(5) □ 11.D(1) 11.D(2) □ _{11.E(2)} □ 11.E(1) □ 11.E(3) □ 11.E(4) □ 11.E. □ 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 to 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

IAPD - View All Page 464 of 48

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.

CRD Number:	104845	This advisory affiliate is 🧧 a Firm 🏻 🧖 an Individual				
	: o Yes O 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						
This DR more th	nan ten years ago o	er. yed from the ADV record because: (1) the event or proceeding occurred or (2) the adviser is registered or applying for registration with the SEC ed in the adviser's or advisory affiliate's favor.				
event you r years ago.	eported only in res If you are registere	ering with a state securities authority, you may remove a DRP for an sponse to Item 11.D(4), and only if that event occurred more than ten ed or registering with the SEC, you may remove a DRP for any event listed a than ten years ago.				
		ved from the ADV record because it was filed in error, such as due to a take. Explain the circumstances:				
submitted a	a DRP (with Form A	stered through the IARD system or CRD system, has the advisory affiliate ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," DRP must be provided.				
Yes !	C No					
NOTE: The IARD or CR	•	form does not relieve the advisory affiliate of its obligation to update its				
T II						
OSEC O		: State [©] SRO [©] Foreign In financial regulatory authority, federal, state, or SRO)				
Principal Sa	nction:					
Other Sanct	tions:					
C Exact	ed (MM/DD/YYYY): © Explanation , provide explanat					

IAPD - View All Page 465 of 48

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 C On Appeal C Final				
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:				
If F	inal 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 Disgorgement/Restitution				
	Censure Cease and Desist/Injunction				
	□ Bar □ 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).

IAPD - View All Page 466 of 48

		GENERAL INSTRUC			
		ADV) is an CINITIAL (tems 11.C., 11.D., 11.E			
		Regulatory Act	ion		
	eing responded to:	_	_	_	
□ 11.C(1)	11.C(2)	` '	□ 11.C(4)	• ,	
□ 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.				
		r proceeding . The same DRP. File with a complet		may be reported for mor	
only one DRP to	report details related			11.E., 11.F. or 11.G. Use actions by more than on	
PART I					
A. The person(s) or entity(ies) for	whom this DRP is being	filed is (are):		
C You (the	advisory firm)				
C You and	one or more of your	advisory affiliates			
One or r	nore of your advisor	v affiliates			
If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (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 -	ADV DRP - ADVISORY AFFILIATE				
CRD Number:		This advisory affiliate is	a Firm C an Inc	lividual	
Registered:	Yes O No				
Name:	AXA EQUITABLE LIFE INSURANCE COMPANY (For individuals, Last, First,				
associat This DRI more th	ed with the adviser. P should be removed an ten years ago or	I from the ADV record b I from the ADV record b (2) the adviser is registentials in the adviser's or adviser'	ecause: (1) the event ered or applying for re	or proceeding occurred	

If you are registered or registering with a state securities authority , you may remove a DRP for an

IAPD - View All Page 467 of 48

	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:		
В.	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 C No		
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.		
PAR			
1.	Regulatory Action initiated by: CSEC COther Federal CState CSRO CForeign (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:		
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.		
10. How was matter resolved:			

IAPD - View All Page 468 of 48 11. Resolution Date (MM/DD/YYYY): C Exact C 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 □ _{Bar} Suspension 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.C(1) □ 11.C(2) □ 11.C(3) □ 11.C(4) □ 11.C(5) 11.D(2) □ _{11.D(3)} □ _{11.D(4)} □ 11.D(1) □ 11.D(5) □ _{11.E(1)} □ 11.E(3) □ 11.E(4) □ 11.E(2) □ _{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 to each action on a separate DRP. PART I A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

IAPD - View All Page 469 of 48 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 108477 This advisory affiliate is a Firm an Individual Number: Registered: Yes No Name: ALLIANCE **CAPITAL** MANAGEMENT I P (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 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. C Yes C 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 Ostate OSRO Foreign

http://www.adviserinfo.sec.gov/(S(kxkobvmqg41qos0a0nnrmlij))/iapd/content/viewform/adv/Sectio... 4/2/201

(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)

KOREAN FINANCIAL SUPERVISORY COMMISSION

IAPD - View All Page 470 of 48

2. Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: 3. Date Initiated (MM/DD/YYYY): 09/03/2004 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: Other Other Product Types: INVESTMENT ADVISORY SERVICES 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): ON APRIL 11, 2005 THE FINANCIAL SUPERVISORY COMMISSION (THR "FSC") (THE KOREAN SECURITIES REGULATOR) IMPOSED AN ADMINISTRATIVE FINE OF 10,000,000 WON (APPROXIMATELY \$9,800) UNDER ARTICLE 72, PARAGRAPH (1) OF THE FINANCIAL HOLDINGS COMPANIES ACT FOR VIOLATION OF ARTICLE 8, PARAGRAPH (2) OF THE FINANCIAL HOLDINGS COMPANIES ACT. THIS PROVISION REQUIRES DISCLOSURE WITHIN FIVE DAYS TO THE "FSC" IF AN INVESTOR'S HOLDINGS IN A BANK HOLDING COMPANY EXCEED 4% OR MORE OF THE VOTING SHARES ISSUED AND OUTSTANDING OR CHANGES BY MORE THAN 1% THEREAFTER. On Appeal Pending 8. Current Status? 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: Other 11. Resolution Date (MM/DD/YYYY): 04/11/2005 Exact Explanation If not exact, provide explanation: 12. Resolution Detail: A. Were any of the following Sanctions Ordered (check all appropriate items)?

IAPD - View All Page 471 of 48 Monetary/Fine Amount: \$ 9,800.00 ☐ Disgorgement/Restitution Revocation/Expulsion/Denial Censure Cease and Desist/Injunction □ _{Bar} Suspension 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: ON APRIL 11, 2005 THE FINANCIAL SUPERVISORY COMMISSION (THE "FSC") (THE KOREAN SECURITIES REGULATORY) IMPOSED AN ADMINISTRATIVE FINE OF 10,000,000 WON (APPROXIMATELY \$9,800)UNDER ARTICLE 72, PARAGRAPH (1) OF THE FINANCIAL HOLDINGS COMPANIES ACT FOR VIOLATION OF ARTICLE 8, PARAGRAPH (2) OF THE FINANCIAL HOLDINGS COMPANIES ACT. THE FINE WAS PAID ON APRIL 27, 2005.

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 APRIL 11, 2005 THE FINANCIAL SUPERVISORY COMMISSION (THR "FSC") (THE KOREAN SECURITIES REGULATOR) IMPOSED AN ADMINISTRATIVE FINE OF 10,000,000 WON (APPROXIMATELY \$9,800) UNDER ARTICLE 72, PARAGRAPH (1) OF THE FINANCIAL HOLDINGS COMPANIES ACT FOR VIOLATION OF ARTICLE 8, PARAGRAPH (2) OF THE FINANCIAL HOLDINGS COMPANIES ACT. THIS PROVISION REQUIRES DISCLOSURE WITHIN FIVE DAYS TO THE "FSC" IF AN INVESTOR'S HOLDINGS IN A BANK HOLDING COMPANY EXCEED 4% OR MORE OF THE VOTING SHARES ISSUED AND OUTSTANDING OR CHANGES BY MORE THAN 1% THEREAFTER.

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an OINITIAL OR OAMENDED 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(4)} 11.D(2) □ _{11.D(5)} □ 11.D(1) □ 11.D(3) □ 11.E(3) □ 11.E(2) □ 11.E(4) □ 11.E(1) □ 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 to each action on a separate DRP.

IAPD - View All Page 472 of 48

3. Date Initiated (MM/DD/YYYY):

PAR	T 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 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. C Yes C No						
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.						
PAR	T II						
1.							
	SEC Other Federal State SRO Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) WEST VIRGINIA SECURITIES COMMISSION.						
2.	Principal Sanction:						
	Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:						

IAPD - View All Page 473 of 48 08/30/2005 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: Mutual Fund(s) Other Product Types: 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): ON AUGUST 30, 2005, THE DEPUTY COMMISSIONER OF SECURITIES OF THE WEST VIRGINIA SECURITIES COMMISSION SIGNED A "SUMMARY ORDER TO CEASE AND DESIST, AND NOTICE OF RIGHT TO HEARING" ADDRESSED TO ALLIANCE CAPITAL MANAGEMENT L.P. AND ALLIANCE CAPITAL MANAGEMENT HOLDING L.P. THE SUMMARY ORDER CLAIMED THAT THE FIRMS VIOLATED THE WEST VIRGINIA UNIFORM SECURITIES ACT, AND MADE FACTUAL ALLEGATIONS GENERALLY CONCERNING MARKET TIMING IN SPONSORED MUTUAL FUNDS. ON JANUARY 25, 2006, ALLIANCEBERNSTEIN AND OTHER UNAFFILIATED FIRMS FILED A PETITION FOR WRIT OF PROHIBITION AND ORDER SUSPENDING PROCEEDINGS IN WEST VIRGINIA STATE COURT, SEEKING TO VACATE THE SUMMARY ORDER AND FOR OTHER RELIEF. THE COURT DENIED THE WRIT AND IN SEPTEMBER 2006 THE SUPREME COURT OF APPEALS DECLINED OUR PETITION FOR APPEAL. ON SEPTEMBER 22, 2006, ALLIANCEBERNSTEIN FILED AN ANSWER AND MOTION TO DISMISS THE SUMMARY ORDER WITH THE SECURITIES COMMISSIONER. THE SUMMARY ORDER WAS VACATED WITH PREJUDICE IN NOVEMBER 2007. On Appeal Pending 8. Current Status? 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): 11/02/2007 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: \$ 566,670.00 Revocation/Expulsion/Denial Disgorgement/Restitution □ Censure Cease and Desist/Injunction

APD - V	PD - View All Page 474 of 48							
	□ _{Bar}			Suspension				
B.	Other Sanction	s 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: CONSIDERATION FOR THE SETTLEMENT INCLUDED AN ASSESSMENT (\$556,670); FEES AND COSTS (\$383,330); AND INVESTOR PRODUCTION TRUST CONTRIBUTION (\$200,000).							
				tatus and (or) disposition	on and include relevant			
ON A SEC RIGI MAN VIRO MAR OTH PRO FOR APPI FILE	terms, conditions and dates (your response must fit within the space provided). ON AUGUST 30, 2005, THE DEPUTY COMMISSIONER OF SECURITIES OF THE WEST VIRGINIA SECURITIES COMMISSION SIGNED A "SUMMARY ORDER TO CEASE AND DESIST, AND NOTICE OF RIGHT TO HEARING" ADDRESSED TO ALLIANCE CAPITAL MANAGEMENT L.P. AND ALLIANCE CAPITAL MANAGEMENT HOLDING L.P. THE SUMMARY ORDER CLAIMED THAT THE FIRMS VIOLATED THE WEST VIRGINIA UNIFORM SECURITIES ACT, AND MADE FACTUAL ALLEGATIONS GENERALLY CONCERNING MARKET TIMING IN SPONSORED MUTUAL FUNDS. ON JANUARY 25, 2006, ALLIANCEBERNSTEIN AND OTHER UNAFFILIATED FIRMS FILED A PETITION FOR WRIT OF PROHIBITION AND ORDER SUSPENDING PROCEEDINGS IN WEST VIRGINIA STATE COURT, SEEKING TO VACATE THE SUMMARY ORDER AND FOR OTHER RELIEF. THE COURT DENIED THE WRIT AND IN SEPTEMBER 2006 THE SUPREME COURT OF APPEALS DECLINED OUR PETITION FOR APPEAL. ON SEPTEMBER 22, 2006, ALLIANCEBERNSTEIN FILED AN ANSWER AND MOTION TO DISMISS THE SUMMARY ORDER WITH THE SECURITIES COMMISSIONER. THE SUMMARY ORDER WAS VACATED WITH PREJUDICE IN NOVEMBER 2007.							
		g Page (DRP ADV)	is an C INITIAL C	AMENDED respor 11.F. or 11.G. of Form				
			Regulatory Acti	on				
	em(s) being res				Г			
☐ 11.C	_	11.C(2)	□ 11.C(3)	□ 11.C(4)				
	_	11.D(2)	□ 11.D(3)		□ 11.D(5)			
□ 11.E	_	11.E(2)	□ _{11.E(3)}	□ 11.E(4)				
□ 11.F		11.G.						
		each event or proce y using one DRP. F		event or proceeding ma ed Execution Page.	ay be reported for more			

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 to each action on a separate DRP.

PART I

A. The person(s) or entity(ies) for whom this DRP is being filed is (are):

IAPD - View All Page 475 of 48 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 104845 This advisory affiliate is a Firm an Individual Number: 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 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 O 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: OSEC Oother Federal OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction:

IAPD - View All Page 476 of 48

	Oth	er Sanctions:						
3.	O	e Initiated (MM/DD/YYYY): Exact C Explanation ot exact, provide explanation:						
4.	Doc	ket/Case Number:						
5.		risory Affiliate Employing Firm when activity occurr licable):	ed w	hich led to the regulatory action (if				
6.	Principal Product Type:							
	Oth	er Product Types:						
7.		escribe the allegations related to this regulatory action (your response must fit within the space rovided):						
8.	Cur	urrent Status? C Pending C On Appeal C Final						
9.	If o	f on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:						
If F	inal	or On Appeal, complete all items below. For Pendi	ng A	ctions, complete Item 13 only.				
10.	Hov	v was matter resolved:						
11.	Res	olution Date (MM/DD/YYYY):						
	0	Exact C Explanation						
		ot exact, provide explanation:						
12.	Res	olution Detail:						
	Α.	A. Were any of the following Sanctions Ordered (check all appropriate items)?						
		☐ Monetary/Fine Amount: \$						
		☐ Revocation/Expulsion/Denial		Disgorgement/Restitution				
		□ Censure		Cease and Desist/Injunction				
		□ Bar		Suspension				
	B.	Other Sanctions Ordered:						
Sanction detail: if suspended, enjoined or barred, provide duration including start date capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of tir requalify/retrain, type of exam required and whether condition has been satisfied. If di resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide amount, portion levied against you or an advisory affiliate date paid and if any portion								

IAPD - View All Page 477 of 48

was waived:

13.	Provide a brief summary of	details related to the	action status and (or)	disposition and include relevant
	terms, conditions and date	s (your response must	fit within the space p	rovided).

This Disclosure Reporting Page (DRP ADV) is an OINITIAL OR OAMENDED 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 Act	ion	
Check item(s) be	eing 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(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 to 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

Middle)

CRD Number:	10	This advisory affiliate is 🗖 a Firm	C an Individua
Registered:	Yes O No		
Name:	ADVEST, INC. (For individuals, Last, First.		

IAPD - View All Page 478 of 48 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 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 O 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 Ostate OsRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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): Pending
On Appeal C Final 8. Current Status?

IAPD - View All Page 479 of 48 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): C Exact C 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 ☐ Disgorgement/Restitution ☐ Cease and Desist/Injunction □ Censure □ Bar ☐ 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 CINITIAL 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 Act	ion	
Check item(s) be	eing responded to:	o o		
□ _{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.E.}	□ _{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.

IAPD - View All Page 480 of 48

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 to each action on a separate DRP.

'

, , , ,	T	()						
Α.	The person((s) or entity(les) fo	r whom this DRP is being filed is (are):					
	C You (the	advisory firm)						
	C You and	C You and one or more of your advisory affiliates						
	One or r	more of your advise	ory affiliates					
	individuals, If the advis	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 AFFILIA	ATE					
	CRD Number:	104474	This advisory affiliate is o a Firm o an Individual					
	Registerea	: o Yes O No						
	Name:	SANFORD C. BERNSTEIN & CO., LLC (For individuals, Last, First, Middle)						
	☐ This DR	P should be remov	ed from the ADV record because the advisory affiliate(s) is no longer					
	This DR more th	ian ten years ago d	er. ed from the ADV record because: (1) the event or proceeding occurred or (2) the adviser is registered or applying for registration with the SEC d in the adviser's or advisory affiliate's favor.					
	event you re years ago. I	eported only in res If you are registere	ering with a state securities authority, you may remove a DRP for an ponse to Item 11.D(4), and only if that event occurred more than tened or registering with the SEC, you may remove a DRP for any event listed than ten years ago.					
			ed from the ADV record because it was filed in error, such as due to a ake. Explain the circumstances:					
B.	submitted a	DRP (with Form A	stered through the IARD system or CRD system, has the advisory affiliate DV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," RP must be provided.					
	• Yes	□ No						
	NOTE: The	completion of this	form does not relieve the advisory affiliate of its obligation to update its					

PART II

IARD or CRD records.

Page 481 of 48 IAPD - View All

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): C Exact C 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? C Pending C On Appeal C Final						
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:						
lf F	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):						
	C Exact C 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 Disgorgement/Restitution						
	☐ Censure ☐ Cease and Desist/Injunction						
	☐ Bar ☐ Suspension						
	B. Other Sanctions Ordered:						

IAPD - View All Page 482 of 48

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 INST	RUCTION	S			
		Reporting Page native response							ort
				Regulatory	Action				
		eing responded —		_					
	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	4)		
	11.F.	□ _{11.G}							
Use	a separate l	DRP for each ev	vent or proc	eeding . The s	ame ever	nt or proce	eeding may	/ be reported	for more
		or entity using						·	
only	y one DRP to	result in more t report details r de details to ead	related to th	ne same event	. If an eve				
PAF	RT I								
Α.		(s) or entity(ies	s) for whom	this DRP is be	ing filed i	s (are):			
	C You (the	advisory firm)							
	You and one or more of your advisory affiliates								
	One or	more of your ac	dvisory affili	iates					
	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 AFF	ILIATE						
	CRD Number: Registered	14549		is advisory affi	liate is 🤦	a Firm	C an Indi	ividual	

IAPD - View All Page 483 of 48

ALLIANCEBERNSTEIN

Name:

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 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 O 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 OState OSRO OForeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) 2. Principal Sanction: Other Sanctions: 3. Date Initiated (MM/DD/YYYY): C Exact C 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

IAPD - View All Page 484 of 48 provided): Pending 8. Current Status? On Appeal C 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): C Exact C 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 Censure Cease and Desist/Injunction 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). Form ADV, Signature Section 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.

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

Appointment of Agent for Service of Process

IAPD - View All Page 485 of 48

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

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.

Date: MM/DD/YYYY Signature:

MARK R. ANDERSON 03/30/2012

Printed Name: Title:

MARK R. ANDERSON SVP, COUNSEL & DEPUTY CCO

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 officer, of 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 any state in which you are submitting a notice filing.

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

IAPD - View All Page 486 of 48

power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

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