# **FORM ADV**

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

Prir	mary Business Name: CURI CAPITAL,	LLC		CRD Number: 134249
Oth	ner-Than-Annual Amendment - All Sect	tions		Rev. 10/2021
7/1	1/2025 4:35:05 PM			
W	·		omissions may result in denial of you ling periodic amendments. See Form	r application, revocation of your registration, or criminal ADV General Instruction 4.
Ite	m 1 Identifying Information			
				you. If you are filing an <i>umbrella registration</i> , the ormation to assist you with filing an <i>umbrella registration</i> .
Α.	Your full legal name (if you are a sole CURI RMB CAPITAL, LLC	proprietor, your last, f	irst, and middle names):	
B.	(1) Name under which you primarily co	onduct your advisory b	ousiness, if different from Item 1.A.	
	List on Section 1.B. of Schedule D any a	additional names under	which you conduct your advisory bus	iness.
	(2) If you are using this Form ADV to	register more than one	e investment adviser under an <i>umbr</i>	ella registration, check this box $\square$
	If you check this box, complete a Scheo	lule R for each relying a	dviser.	
C.	If this filing is reporting a change in you name change is of  ✓ your legal name or ✓ your primary CURI CAPITAL, LLC		.A.) or primary business name (Item	1.B.(1)), enter the new name and specify whether the
D.	<ul><li>(1) If you are registered with the SEC</li><li>(2) If you report to the SEC as an exe</li><li>(3) If you have one or more Central In</li></ul>	empt reporting adviser, y	your SEC file number:	
E.	(1) If you have a number ("CRD Numb		, and a	ystem, your <i>CRD</i> number: <b>134249</b> e of your officers, employees, or affiliates.
	II your IIIII does not have a CRD humb	er, skip triis iterii 1.E. L	ou not provide the CRD hamber of one	e or your officers, employees, or affiliates.
	(2) If you have additional <i>CRD</i> Numbe	rs, your additional <i>CRL</i>		
			No Information Filed	
F.	Principal Office and Place of Business			
	(1) Address (do not use a P.O. Box):  Number and Street 1:  ONE NORTH WACKER DRIVE		Number and Street 2: SUITE 3500	
	City: CHICAGO	State: Illinois	Country: United States	ZIP+4/Postal Code: 60606
	If this address is a private resider	nce, check this box:		
	you are applying for registration, o which you are applying for registra	or are registered, with o tion or with whom you a an exempt reporting adv	ne or more state securities authorities are registered. If you are applying for	ss, at which you conduct investment advisory business. If s, you must list all of your offices in the state or states to SEC registration, if you are registered only with the SEC, or es in terms of numbers of employees as of the end of your
	(2) Days of week that you normally one of the control of the contr	onduct business at yo	ur principal office and place of busines	rs:
	Normal business hours at this loc 8:00 A.M. TO 5:00 P.M	ation:		

(5) What is the total number of offices, other than your principal office and place of business, at which you conduct investment advisory business as of

(3) Telephone number at this location:

(4) Facsimile number at this location, if any:

312-993-5800

	the end of your most	recently completed fiscal year?				
	,					
G.	Mailing address, if differen	nt from your <i>principal office and place</i>	of business address:			
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	If this address is a private	e residence, check this box:				
Н.	If you are a sole proprieto	or, state your full residence address,	if different from your principa	office and place of business address in Item 1.F.:		
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
1.	•	websites or accounts on publicly ava	nilable social media platforms	(including, but not limited to, Twitter, Facebook and	Yes N	
	LinkedIn)?					
	If a website address serves addresses for all of the other available social media platfo	s as a portal through which to access o er information. You may need to list n	other information you have pu nore than one portal address. I ntent. Do not provide the indivi	cly available social media platforms on Section 1.1. of S blished on the web, you may list the portal without list Do not provide the addresses of websites or accounts of idual electronic mail (e-mail) addresses of employees o	ting on publicl	
J.	Chief Compliance Officer					
	(1) Provide the name and	contact information of your Chief Co Compliance Officer, if you have one.		n <i>exempt reporting adviser</i> , you must provide the corem 1.K. below.	ıtact	
	Name:		Other titles, if any:			
	Telephone number:		Facsimile number, if any:			
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	Flectronic mail (e-mail) a	ddress, if Chief Compliance Officer ha	as one.			
		npany Act of 1940 that you advise founder (if any):		you, a <i>related person</i> or an investment company regions officer services to you, provide the <i>person's</i> name ar		
K.			the Chief Compliance Officer	is authorized to receive information and respond to	questior	าร
		may provide that information here.	·	·	•	
	Name:		Titles:			
	Telephone number:		Facsimile number, if any:			
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	Electronic mail (e-mail) a	ddress, if contact person has one:				
L.	•	all of the books and records you are our principal office and place of busines	· ·	ion 204 of the Advisers Act, or similar state law,	Yes N	
	If "yes," complete Section	1.L. of Schedule D.			Yes N	do
M.	Are you registered with a	foreign financial regulatory authority?				<b>©</b>
	•	registered with a foreign financial reg s," complete Section 1.M. of Schedule		nave an affiliate that is registered with a foreign financi	al	
					Yes N	Ю
N.	Are you a public reporting	company under Sections 12 or 15(d	) of the Securities Exchange A	Act of 1934?	0 (	•
					Yes N	10
Ο.	•	more in assets on the last day of yo imate amount of your assets:  a \$10 billion	ur most recent fiscal year?		0 (	⊙

510 billion to less than \$50 billion

C \$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your *Legal Entity Identifier* if you have one: 549300U4MQ042DBRJW21

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

#### **SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: CURI CAPITAL WEALTH BUILDER

<b>▼</b> AL	<b>☑</b> IL	<b>☑</b> NE	<b>☑</b> SC	
<b>▽</b> AK	<b>☑</b> IN	<b>☑</b> NV	<b>☑</b> SD	
<b>Z</b> AZ	<b>☑</b> IA	<b>☑</b> NH	<b>☑</b> TN	
<b>▼</b> AR	<b>☑</b> KS	<b>☑</b> NJ	<b>☑</b> TX	
<b>▽</b> CA	<b>☑</b> KY	<b>☑</b> NM	<b>⊡</b> UT	
<b>Z</b> co	<b>☑</b> LA	<b>☑</b> NY	<b>☑</b> VT	
Z CT	<b>☑</b> ME	<b>☑</b> NC	<b>☑</b> ∨ı	
<b>☑</b> DE	<b>☑</b> MD	<b>☑</b> ND	<b>☑</b> VA	
<b>Z</b> DC	<b>☑</b> MA	<b>☑</b> OH	<b>☑</b> WA	
<b>7</b> FL	<b>☑</b> MI	<b>☑</b> OK	<b>☑</b> w∨	
<b>⊽</b> GA	<b>☑</b> MN	<b>☑</b> OR	<b>☑</b> WI	
GU	<b>☑</b> MS	<b>☑</b> PA	<b>☑</b> WY	
<b>⊽</b> ні	<b>☑</b> MO	<b>☑</b> PR	□ Other:	
<b>⊽</b> ID	<b>I</b> ✓ MT	<b>☑</b> RI		

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: CURI CAPITAL RETIREMENT PLAN SOLUTIONS

# Jurisdictions

<b>☑</b> IL	<b>☑</b> NE	<b>☑</b> SC
<b>☑</b> IN	<b>☑</b> NV	<b>☑</b> SD
<b>☑</b> IA	<b>☑</b> NH	<b>☑</b> TN
<b>☑</b> KS	<b>☑</b> NJ	<b>☑</b> TX
<b>☑</b> KY	<b>☑</b> NM	<b>☑</b> UT
<b>☑</b> LA	<b>☑</b> NY	<b>☑</b> VT
<b>☑</b> ME	<b>☑</b> NC	□VI
<b>☑</b> MD	<b>☑</b> ND	<b>☑</b> VA
<b>☑</b> MA	<b>☑</b> он	<b>☑</b> WA
<b>☑</b> MI	<b>☑</b> ок	<b>☑</b> w∨
<b>☑</b> MN	<b>☑</b> OR	<b>☑</b> WI
<b>☑</b> MS	<b>☑</b> PA	<b>☑</b> WY
<b>☑</b> MO	□ PR	☐ Other:
<b>☑</b> MT	<b>☑</b> RI	
	IN I	IN IN   IA INH   IN INH   IN IN   IN

,	on 1.F. for each loca	ition. If you are applying for SE	ness, at which you conduct investment advisory business. EC registration, if you are registered only with the SEC, or of employees).
Number and Street 1: 250 FILLMORE STREET		Number and Street 2: SUITE 600	
City: DENVER	State: Colorado	Country: United States	ZIP+4/Postal Code: 80206
If this address is a private residence, check this	box:		
Telephone Number: 303-801-3600	Facsimile Number 303-801-3599	r, if any:	
If this office location is also required to be regist adviser on the Uniform Branch Office Registratio			a branch office location for a broker-dealer or investment Number here:
How many <i>employees</i> perform investment advisors 10	ory functions from th	nis office location?	
Are other business activities conducted at this of (1) Broker-dealer (registered or unregistered) (2) Bank (including a separately identifiable of (3) Insurance broker or agent (4) Commodity pool operator or commodity to (5) Registered municipal advisor (6) Accountant or accounting firm (7) Lawyer or law firm	) lepartment or divisio	on of a bank)	registration)
Describe any other investment-related business	activities conducted	from this office location:	
	on 1.F. for each loca	ition. If you are applying for SE	ness, at which you conduct investment advisory business. EC registration, if you are registered only with the SEC, or of employees).
Number and Street 1: 500 MOMANY DRIVE		Number and Street 2: SUITE 200	
City: ST. JOSEPH	State: Michigan	Country: United States	ZIP+4/Postal Code: 49085
If this address is a private residence, check this	box:		
Telephone Number: 800-601-5228	Facsimile Numbe	r, if any:	
If this office location is also required to be regist adviser on the Uniform Branch Office Registration			a branch office location for a broker-dealer or investment Number here:
How many <i>employees</i> perform investment advisor 3	ory functions from th	nis office location?	
Are other business activities conducted at this of (1) Broker-dealer (registered or unregistered) (2) Bank (including a separately identifiable of (3) Insurance broker or agent (4) Commodity pool operator or commodity to (5) Registered municipal advisor (6) Accountant or accounting firm (7) Lawyer or law firm	) lepartment or divisio	on of a bank)	ı registration)
Describe any other <i>investment-related</i> business	activities conducted	from this office location:	

,	1.F. for each location	. If you are applying fo	business, at which you conduct investment advisory business. It SEC registration, if you are registered only with the SEC, or opers of employees).
Number and Street 1: 3485 NORTH PINES WAY		Number and Street SUITE 102	2:
City:	State:	Country:	ZIP+4/Postal Code:
_	Wyoming	United States	83014
	,g		
If this address is a private residence, check this bo	x: 🗖		
Telephone Number:	Facsimile Number, if a	anv:	
307-734-1661	307-734-1921		
If this office location is also required to be registered adviser on the Uniform Branch Office Registration F		-	as a branch office location for a broker-dealer or investment nch Number here:
How many <i>employees</i> perform investment advisory	functions from this of	ffice location?	
Are other business activities conducted at this offic  (1) Broker-dealer (registered or unregistered)	e location? (check all	that apply)	
(1) Broker-dealer (registered of diffregistered)  (2) Bank (including a separately identifiable deport	artment or division of	a hank)	
(2) Bank (including a separately identifiable deposit	artificiti of division of	a balik)	
(4) Commodity pool operator or commodity trad	ling advisor (whother	registered or exempt f	rom registration)
(4) Commounty poor operator or commounty trad	ing advisor (whether	registered or exempt in	rom registration)
(6) Accountant or accounting firm			
☐ (7) Lawyer or law firm			
Describe any other <i>investment-related</i> business act	civities conducted fron	n this office location:	
,	1.F. for each location	. If you are applying fo	business, at which you conduct investment advisory business. It SEC registration, if you are registered only with the SEC, or overs of employees).
Number and Street 1: 272 MARKET SQUARE		Jumber and Street 2: SUITE 205	
City:	State: C	Country:	ZIP+4/Postal Code:
LAKE FOREST	Illinois U	Inited States	60045
If this address is a private residence, check this bo	их: 🗖		
	N		
Telephone Number: 847-295-9222	Facsimile Number, i 847-295-0400	if any:	
		ate securities authority	as a branch office location for a broker-dealer or investment
adviser on the Uniform Branch Office Registration F	Form (Form BR), pleas	se provide the <i>CRD</i> Brar	nch Number here:
How many <i>employees</i> perform investment advisory 2	functions from this of	ffice location?	
Are other business activities conducted at this office (1) Broker-dealer (registered or unregistered)	e location? (check all	that apply)	
(1) Broker-dealer (registered of diffregistered)  (2) Bank (including a separately identifiable deport	artment or division of	a bank)	
(2) Bank (including a separately identifiable depo	artificiti of division of	a parik)	
_	ling advisor (whathar	registered or everyth	rom registration)
<ul><li>☐ (4) Commodity pool operator or commodity trad</li><li>☐ (5) Registered municipal advisor</li></ul>	iiig auvisui (whether	registered of exempt fi	rom registration <i>)</i>
(6) Accountant or accounting firm			
(8) Accountant of accounting firm			
· / ==J · · · · · · · · · · · · · · ·			

Describe any other investment-related to	ousiness activities conduct	ed from this office location:	
, ,	e D Section 1.F. for each lo	ocation. If you are applying for S	siness, at which you conduct investment advisory business. SEC registration, if you are registered only with the SEC, or rs of employees).
Number and Street 1: 10361 W. INNOVATION DRIVE		Number and Street 2 SUITE 350	:
City:	State:	Country:	ZIP+4/Postal Code:
MILWAUKEE	Wisconsin	United States	53226
If this address is a private residence, ch	neck this box:		
Telephone Number: 414-203-8040	Facsimile Numb 262-439-2101	er, if any:	
414-203-8040	202-439-2101		
If this office location is also required to adviser on the Uniform Branch Office Re	•		s a branch office location for a broker-dealer or investment n Number here:
How many <i>employees</i> perform investme 7	ent advisory functions from	this office location?	
Are other business activities conducted  (1) Broker-dealer (registered or unre (2) Bank (including a separately iden	egistered)	., .	
<ul> <li>□ (3) Insurance broker or agent</li> <li>□ (4) Commodity pool operator or com</li> <li>□ (5) Registered municipal advisor</li> <li>□ (6) Accountant or accounting firm</li> </ul>	modity trading advisor (wl	nether registered or exempt from	m registration)
(7) Lawyer or law firm			
Describe any other investment-related by	ousiness activities conduct	ed from this office location:	
,	e D Section 1.F. for each lo	ocation. If you are applying for S	siness, at which you conduct investment advisory business. SEC registration, if you are registered only with the SEC, or of employees).
Number and Street 1: 17W110 22ND STREET		Number and Street 2: SUITE 700	
City: OAKBROOK TERRACE	State: Illinois	Country: United States	ZIP+4/Postal Code: 60181
If this address is a private residence, ch	neck this box:		
Telephone Number: 630-684-8300	Facsimile Nu	mber, if any:	
If this office location is also required to adviser on the Uniform Branch Office Re	g .	•	s a branch office location for a broker-dealer or investment n Number here:
How many <i>employees</i> perform investment	ent advisory functions from	this office location?	
Are other business activities conducted	·	eck all that apply)	
(1) Broker-dealer (registered or unre			
<ul><li>(2) Bank (including a separately iden</li><li>(3) Insurance broker or agent</li></ul>	ıtırıabıe department or divi	sion of a bank)	
(4) Commodity pool operator or com	modity trading advisor (wl	nether registered or exempt fro	m registration)
(5) Registered municipal advisor			
(6) Accountant or accounting firm			

(7) Lawyer or law firm							
Describe any other <i>investment-related</i> business activities conducted from this office location:							
	Section 1.F. for each location. If you	are applying for SEC registra	nich you conduct investment advisory business. tion, if you are registered only with the SEC, or ees).				
Number and Street 1: 700 SPRING FOREST ROAD		Number and Street 2: SUITE 235					
City: RALEIGH	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27609				
If this address is a private residence, check	this box: $\square$						
Telephone Number: 984-202-2800	Facsimile Number, if any:						
If this office location is also required to be radviser on the Uniform Branch Office Regist	_	-	ffice location for a broker-dealer or investment ere:				
How many <i>employees</i> perform investment a 10	dvisory functions from this office loca	ation?					
Are other business activities conducted at the □ (1) Broker-dealer (registered or unregiste □ (2) Bank (including a separately identified □ (3) Insurance broker or agent □ (4) Commodity pool operator or commod □ (5) Registered municipal advisor □ (6) Accountant or accounting firm □ (7) Lawyer or law firm	ered) ble department or division of a bank	ed or exempt from registration	on)				
Describe any other <i>investment-related</i> busin	less activities conducted from this or	nce location:					
	Section 1.F. for each location. If you	are applying for SEC registra	tion, if you are registered only with the SEC, or ees).				
Number and Street 1: 799 9TH STREET, NW		Number and Street 2: SUITE 325					
City: WASHINGTON	State: District of Columbia	Country: United States	ZIP+4/Postal Code: 20001				
If this address is a private residence, check	this box:						
Telephone Number: Facsimile Number, if any: 202-822-1223 202-822-1211							
If this office location is also required to be registered with FINRA or a <i>state securities authority</i> as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the <i>CRD</i> Branch Number here:							
How many <i>employees</i> perform investment advisory functions from this office location?							
Are other business activities conducted at this office location? (check all that apply)  (1) Broker-dealer (registered or unregistered)  (2) Bank (including a separately identifiable department or division of a bank)  (3) Insurance broker or agent  (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)							

(6) Accountant or accounting firm  (7) Lawyer or law firm								
Describe any other investment-related business activities conducted from this office location:								
	Section 1.F. for each location.	If you are applying for SE	ess, at which you conduct investment advisory business. C registration, if you are registered only with the SEC, or of employees).					
Number and Street 1: 7650 EDINBOROUGH WAY		Number and Street 2: SUITE 250						
City: EDINA	State: Minnesota	Country: United States	ZIP+4/Postal Code: 55435					
If this address is a private residence, chec	ck this box:							
Telephone Number: 651-900-6951	Facsimile Number, if ar 651-900-6949	ny:						
If this office location is also required to be adviser on the Uniform Branch Office Regi	•	•	branch office location for a broker-dealer or investment lumber here:					
How many <i>employees</i> perform investment 3	advisory functions from this of	fice location?						
Are other business activities conducted at (1) Broker-dealer (registered or unregion (2) Bank (including a separately identifor (3) Insurance broker or agent (4) Commodity pool operator or commod (5) Registered municipal advisor (6) Accountant or accounting firm (7) Lawyer or law firm	stered) iable department or division of odity trading advisor (whether	a bank) registered or exempt from	registration)					
SECTION 1.I. Website Addresses								
List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.1. for each website or account on a publicly available social media platform.								
Address of Website/Account on Publicly Av	vailable Social Media Platform:	https://www.facebook.co	m/RMB-Capital					
Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.RMBFUNDS.COM								
Address of Website/Account on Publicly Av	vailable Social Media Platform:	https://www.linkedin.com	n/company/rmbcapital/					
Address of Website/Account on Publicly Av	vailable Social Media Platform:	HTTP://WWW.RMBCAPITA	AL.COM					
Address of Website/Account on Publicly Av	ailable Social Media Platform:	https://www.youtube.com	m/channel/UCLAT9g7H2QFivUP7LedjZog?app=desktop					

Address of Website/Account on Publicly Available Social Media Platform: https://www.linkedin.com/company/jacobus-wealth-management/

Address of Website/Account on Publicly Available So	ocial Media Platform:	https://www.linkedin.com/compa	any/curi-capital/		
Address of Website/Account on Publicly Available Social Media Platform: https://curicapital.com/					
Address of Website/Account on Publicly Available Social Media Platform: https://twitter.com/CuriCapital					
Address of Website/Account on Publicly Available So	ocial Media Platform:	https://www.facebook.com/curio	capital1		
Address of Website/Account on Publicly Available So	ocial Media Platform:	https://www.instagram.com/curi	_rmb_capital/		
Address of Website/Account on Publicly Available So	ocial Media Platform:	https://www.instagram.com/curi	capital/		
Address of Website/Account on Publicly Available So	ocial Media Platform:	https://twitter.com/rmbcap			
SECTION 1.L. Location of Books and Records					
Complete the following information for each locatio must complete a separate Schedule D, Section 1.L.	-	your books and records, other tha	n your <i>principal office and place of business</i> . You		
Name of entity where books and records are kept: CURI CAPITAL, LLC					
Number and Street 1:		Number and Street 2:			
250 FILLMORE STREET		SUITE 600			
City:	State:	Country:	ZIP+4/Postal Code:		
DENVER	Colorado	United States	80206		
If this address is a private residence, check this box	x: □				
Telephone Number: (303) 801-3600	Facsimile number, if (303) 801-3599	any:			
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 CLIENT AGREEMENTS, ANCILLARY AGREEMENTS TO		AND VENDOR AGREEMENTS.			
Name of entity where books and records are kept: SMARSH, INC.					
Number and Street 1: 921 SW WASHINGTON STREET		Number and Street 2:			
City:	State:	Country:	ZIP+4/Postal Code:		
PORTLAND	Oregon	United States	97205		
If this address is a private residence, check this box	x: □				

Telephone Number: 866-7627741	Facsimile nur	mber, if any:		
This is (check one):				
one of your branch offices or affiliates  a third-party unaffiliated recordkeepe				
o other.				
Briefly describe the books and records keeps to the EMAIL RECORD RETENTION	ept at this location.			
Name of entity where books and records PARAGON DATA LABS	s are kept:			
Number and Street 1: 232 SILVER SPRINGS ROAD		Number and Street	2:	
City: WILTON	State: Connecticut	Country: United States	ZIP+4/Postal Code: 06897	
If this address is a private residence, che	eck this box:			
Telephone Number: 646-580-8126	Facsimile numbe	er, if any:		
This is (check one):  one of your branch offices or affiliates	5.			
a third-party unaffiliated recordkeepe	er.			
other.				
Briefly describe the books and records kee COMPLIANCE RECORD RETENTION  Name of entity where books and records				
THE FILE CENTER				
Number and Street 1: 9303 GULFSTREAM ROAD		Number and Street 2:		
City: FRANKFORT	State: Illinois	Country: United States	ZIP+4/Postal Code: 60423	
If this address is a private residence, che	eck this box:			
Telephone Number: 8776542174	Facsimile nui 8154640006	_		
This is (check one):  one of your branch offices or affiliates	5.			
o a third-party unaffiliated recordkeepe	er.			
C other.				
Briefly describe the books and records k BOOKS AND RECORDS MAINTAINED PURS		RECORD-KEEPING POLICY.		
Name of entity where books and records CURI CAPITAL LLC	s are kept:			
Number and Street 1:		Number and Street 2:		

10361 W. INNOVATION DRIVE City:

SUITE 350

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: $\ \square$							
Telephone Number: 414-475-6565	Facsimile number, if an 262-439-2101	y:					
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 BOOKS AND RECORDS MAINTAINED PURSUANT TO		D-KEEPING POLICY.					
Name of entity where books and records are kept THETA LAKE	:						
Number and Street 1: 1221 CHAPALA ST.		Number and Street 2:					
City: SANTA BARBARA	State: California	Country: United States	ZIP+4/Postal Code: 93101				
If this address is a private residence, check this be	ox: 🗖						
Telephone Number: 650-242-3900	Facsimile number, if an	ny:					
This is (check one):  o one of your branch offices or affiliates.							
<ul><li>a third-party unaffiliated recordkeeper.</li><li>other.</li></ul>							
Briefly describe the books and records kept at this ELECTRONIC COMMUNICATION RECORDS	s location.						
Name of entity where books and records are kept CURI CAPITAL LLC	::						
Number and Street 1: 3485 NORTH PINES WAY		Number and Street 2: SUITE 102					
City: WILSON	State: Wyoming	Country: United States	ZIP+4/Postal Code: 83014				
If this address is a private residence, check this be	ox: 🗖						
Telephone Number: 307-734-1661	Facsimile number, if an 307-734-1921	ny:					
This is (check one):  one of your branch offices or affiliates.							
$_{\hbox{\scriptsize C}}$ a third-party unaffiliated recordkeeper.							
O other.							
Briefly describe the books and records kept at this CLIENT AGREEMENTS.	s location.						
Name of entity where books and records are kept	::						

**United States** 

53226

Wisconsin

MILWAUKEE

BTIG, LLC

Number and Street 1: 350 BUSH STREET		Number and Street 2: 9TH FLOOR	
City: SAN FRANCISCO	State: California	Country: United States	ZIP+4/Postal Code: 94104
SAN FRANCISCO	California	United States	94104
If this address is a private residence, check t	his box:		
Telephone Number: 415-248-2200	Facsimile number,	, if any:	
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept a BROKERAGE AND TRADING RECORDS FOR CE			
Name of entity where books and records are CURI CAPITAL LLC	kept:		
Number and Street 1: 799 9TH STREET, NW		Number and Str SUITE 325	reet 2:
	State: District of Columbia	Country: United States	ZIP+4/Postal Code:
WASHINGTON	District of Columbia	United States	20001
If this address is a private residence, check t	his box:		
	Facsimile number, if any: 202-822-1211	:	
This is (check one):  one of your branch offices or affiliates.			
O a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept a BOOKS AND RECORDS MAINTAINED PURSUAN		CORD-KEEPING POLICY.	
Name of entity where books and records are CURI CAPITAL LLC	kept:		
Number and Street 1: 17W110 22ND STREET		Number and Street 2: SUITE 700	
City: OAKBROOK TERRACE	State: Illinois	Country: United States	ZIP+4/Postal Code: 60181
If this address is a private residence, check t	his box:		
Telephone Number: 630-684-8300	Facsimile numbe	er, if any:	
This is (check one):  one of your branch offices or affiliates.			
O a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept a	at this location.		

INVESTMENT ADVISORY RELATED BOOKS AND RECORDS.

Name of entity where books and records are ker FAIRVIEW INVESTMENT ADMINISTRATION	ept:		
Number and Street 1: 1330 ST. MARY'S STREET		Number and Street 2: SUITE 400	
City: RALEIGH	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27605
If this address is a private residence, check this	s box:		
Telephone Number: 919-706-4100	Facsimile number, if any:		
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at t PRIVATE FUND RECORDS	this location.		
Name of entity where books and records are kelling in MOUNTAIN	ept:		
Number and Street 1: 826 CHURCH STREET		Number and Street 2:	
City: MORRISVILLE	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27560
If this address is a private residence, check this	s box:		
Telephone Number: 919-833-0218	Facsimile number, if any:		
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 t RECORD RETENTION FOR ARCHIVED RECORDS	this location.		
Name of entity where books and records are ke MEDICAL MUTUAL INSURANCE COMPANY OF NO			
Number and Street 1: 700 SPRING FOREST ROAD		Number and Street 2: SUITE 400	
City:	State:	Country:	ZIP+4/Postal Code:
RALEIGH	North Carolina	United States	27609-9124
If this address is a private residence, check this	s box:		
Telephone Number: 800-662-7917	Facsimile number, if any:		
This is (check one):  one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			

O other.			
Briefly describe the books and records kept at ACCOUNTING RECORDS AND CHECKBOOKS.	this location.		
Name of entity where books and records are k	kept:		
Number and Street 1: 1 FINSBURY AVENUE		Number and Street 2:	
City: LONDON	State:	Country: United Kingdom	ZIP+4/Postal Code: EC2M 2PF
If this address is a private residence, check th	is box:		
Telephone Number: 617-393-7000	Facsimile numb	er, if any:	
This is (check one):  O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at EMAIL RECORD RETENTION.	this location.		
Name of entity where books and records are k	kept:		
Number and Street 1: 220 CAMBIE STREET		Number and Street 2: 2ND FLOOR	
City: VANCOUVER	State:	Country: Canada	ZIP+4/Postal Code: V6B 2M9
If this address is a private residence, check th	is box:		
Telephone Number: 866-484-6630	Facsimile r	number, if any:	
This is (check one):  one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at EMAIL RECORD RETENTION	this location.		
Name of entity where books and records are k	kept:		
Number and Street 1: 700 SPRING FOREST ROAD		Number and Stree SUITE 235	et 2:
City: RALEIGH	State: North Carolina	Country: United States	ZIP+4/Postal Code: 27609-9124
If this address is a private residence, check th	is box:		
Telephone Number: 984-202-2800	Facsimile number, if	f any:	

This is (check one):				
one of your branch offices or affiliates.				
O a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at th ADVISORY BOOKS AND RECORDS.	is location.			
Name of entity where books and records are kep IRON MOUNTAIN	rt:			
Number and Street 1: 5170 SOUTH 6TH STREET		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
MILWAUKEE	Wisconsin	United States	53221	
If this address is a private residence, check this b	oox:			
Telephone Number: 8008994766	Facsimile number	, if any:		
This is (check one):  O one of your branch offices or affiliates.				
o a third-party unaffiliated recordkeeper.				
other.				
Briefly describe the books and records kept at th ADVISORY AGREEMENTS AND OTHER ANCILLARY A				
Name of entity where books and records are kep CURI CAPITAL LLC	rt:			
Number and Street 1: 7650 EDINBOROUGH WAY		Number and Street 2: SUITE 250		
City:	State:	Country:	ZIP+4/Postal Code:	
EDINA	Minnesota	United States	55435	
If this address is a private residence, check this b	oox:			
Telephone Number: 651-900-6951	Facsimile number, 651-900-6949	if any:		
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 th CLIENT AGREEMENTS, ANCILLARY AGREEMENTS A		MENTS.		
Name of entity where books and records are kep CURI CAPITAL LLC	rt:			
Number and Street 1: 500 MOMANY DRIVE		Number and Street 2: SUITE 200		
City:	State:	Country:	ZIP+4/Postal Code:	
ST. JOSEPH	Michigan	United States	49085	

If this address is a private residence, check this box			
Telephone Number: 800-601-5228	Facsimile number,	if any:	
This is (check one):  one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this lo BOOKS AND RECORDS MAINTAINED PURSUANT TO TH		ORD-KEEPING POLICY.	
Name of entity where books and records are kept: CURI CAPITAL LLC			
Number and Street 1: 272 MARKET SQUARE		Number and Street 2: SUITE 205	
City:	State:	Country:	ZIP+4/Postal Code:
LAKE FOREST	Illinois	United States	60045
If this address is a private residence, check this box			
Telephone Number: 847-295-9222	Facsimile number 847-295-0400	, if any:	
This is (check one):  one of your branch offices or affiliates.			
o a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this load ADVISORY AGREEMENTS AND OTHER ANCILLARY AGR			
SECTION 1.M. Registration with Foreign Financial F	Regulatory Author	ities	
	No	Information Filed	
Item 2 SEC Registration/Reporting			
Responses to this Item help us (and you) determine SEC registration or submitting an <i>annual updating am</i> should be provided for the <i>filing adviser</i> only.	-		

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

  You (the adviser):
  - (1) are a large advisory firm that either:
    - (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or
    - (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent *annual updating* amendment and is registered with the SEC;
  - (2) are a **mid-sized advisory firm** that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:
    - (a) not required to be registered as an adviser with the *state securities authority* of the state where you maintain your *principal office and place of business*; or
    - (b) not subject to examination by the *state securities authority* of the state where you maintain your *principal office and place of business*;
      - Click HERE for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.

				nited States		
	(4)	have your principal office and principal	lace of business <mark>outside the</mark> U	inted States,		
7	(5)	are an investment adviser (or	subadviser) to an investme	ent company registered under	the Investment Company Act of 1940;	
	(6)			-	ent company pursuant to section 54 of the ast \$25 million of regulatory assets unde	
	(7)	are a <b>pension consultant</b> with in rule 203A-2(a);	respect to assets of plans ha	aving an aggregate value of at	least \$200,000,000 that qualifies for the	e exemptic
	(8)	are a <b>related adviser</b> under ruregistered with the SEC, and y		-	non <i>control</i> with, an investment adviser the egistered adviser;	hat is
		If you check this box, complete	Section 2.A.(8) of Schedule D.			
	(9)	are an <b>adviser</b> relying on rule	203A-2(c) because you <b>expe</b>	ct to be eligible for SEC regis	tration within 120 days;	
		If you check this box, complete	Section 2.A.(9) of Schedule D.			
	(10)	are a <b>multi-state adviser</b> that	is required to register in 15	or more states and is relying o	n rule 203A-2(d);	
		If you check this box, complete	Section 2.A.(10) of Schedule D	),		
	(11)	are an Internet adviser relying				
	( )	If you check this box, complete				
1	(12)	have received an SEC order e			the SEC:	
	(12)		. 33		the SEC,	
		If you check this box, complete	Section 2.A.(12) of Schedule L	<i>.</i> .		
1	(4.0)					
Second of the se	curit er sta with a eporta	the SEC. These are called <i>notice</i> s and any amendments they file ceive notice of this and all subs	nd State Reporting by Exements may be required to provide filings. In addition, exempt rewrith the SEC. If this is an inequent filings or reports you	le to state securities authorities eporting advisers may be requir itial application or report, checubility to the SEC. If this is an	e a copy of the Form ADV and any amending at a copy of the Form ADV and any amending at the state of the stat	with a cop ou would or reports
Second Index	curiter standard with the ports to retional time series.	ties Authority Notice Filings are laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsal state(s), check the box(es) needs	nd State Reporting by Exemers may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you we	le to state securities authorities eporting advisers may be requiruitial application or report, checusulation to the SEC. If this is an equil like to receive notice of the	ed to provide state securities authorities which the box(es) next to the state(s) that you amendment to direct your notice filings of	with a copout ou would or reports you submit
Second of the se	curiter standard stan	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsel state(s), check the box(es) necessory in the second part of the state state state (s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your	le to state securities authorities eporting advisers may be requiruitial application or report, checusulation to the SEC. If this is an equil like to receive notice of the	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on all subsequent filings or reports you	with a cop ou would or reports you submit
Second e with record to the control of the control	er sta with a eportational tional ne SE boox(e	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsultate(s), check the box(es) need. If this is an amendment to yes) next to those state(s).	rs may be required to provide filings. In addition, exempt rewith the SEC. If this is an intequent filings or reports you ext to the state(s) that you wour registration to stop your	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from going to the NE	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the	with a cop ou would or reports you submi
Second e variable de la variable de	er sta with a eports to re tiona ne SE box(e sdict AL AK	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsult state(s), check the box(es) need. If this is an amendment to yes) next to those state(s).	rs may be required to provide filings. In addition, exempt rewith the SEC. If this is an inequent filings or reports you ext to the state(s) that you wour registration to stop your	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an equil like to receive notice of the notice fillings or reports from go NE	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on the state(s) and all subsequent filings or reports young to state(s) that currently receive the	with a copout ou would or reports you submi
Second e with restriction of the second of t	er stavith seports to retional selections (example) and the selections (ex	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsel state(s), check the box(es) need. If this is an amendment to yes) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an inequent fillings or reports you ext to the state(s) that you wour registration to stop your	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from going to the NE NV NH	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on the state(s) and all subsequent filings or reports young to state(s) that currently receive the SC SD SD	with a cop ou would or reports you submi
Second e was read to the uris	er stavith apports to retional selections (e	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsult state(s), check the box(es) need. If this is an amendment to yeas) next to those state(s).	rs may be required to provide filings. In addition, exempt rewith the SEC. If this is an intequent filings or reports you ext to the state(s) that you wour registration to stop your	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NE NV NH NH	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on the state(s) and all subsequent filings or reports young to state(s) that currently receive the SC SD TN	with a copout ou would or reports you submi
Second se	er stavith seports to restionance SE coox(e)  sdict  AL  AK  AZ  AR  CA	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsul state(s), check the box(es) needs. If this is an amendment to yes) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an equilibrium of the securities of the submit to the security notice of the notice fillings or reports from go notice fillings.  NE  NV  NH  NJ  NM	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the SD SD TN TX TX	with a copout ou would or reports you submi
Second e voice	curitier stavith a portation and select sele	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsultate(s), check the box(es) needs. If this is an amendment to yes) next to those state(s).	rs may be required to provide filings. In addition, exempt rewith the SEC. If this is an intequent filings or reports you ext to the state(s) that you wour registration to stop your.  IL IN IN KS KY LA	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH  NH NN NN NM NN NM	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the SC SD TN TX TX  TY UT  VT	with a copout ou would or reports you submi
Second e was a record of the base of the b	curit er sta with re ports to re tiona ne SE boox(e)  sdict  AL AK AZ AR CA CO CT	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsel state(s), check the box(es) neces) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an inequent fillings or reports you ext to the state(s) that you wour registration to stop your.  IL IN IN KS KY LA ME	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH  NH NN NN NN NY NC	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on the state(s) and all subsequent filings or reports young to state(s) that currently receive the SD SD TN TX TX TY UT TO TY	with a copout ou would or reports you submi
Second e voice to the condition of the c	er stavith seports to restionance SE coox (e) and a	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsultate(s), check the box(es) needs. If this is an amendment to yes) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your.  IL IN	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NN NY NY NC ND	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the SC SD TN TX TX UT  VI VI VI	with a copou would or reports
Second e vice to the condition of the co	curitier stavith apports to restionate SE coox (c) sdict AL AK AZ AR CA CO CT DE DC	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsultate(s), check the box(es) need. If this is an amendment to yes) next to those state(s).	rs may be required to provide filings. In addition, exempt rewith the SEC. If this is an intequent filings or reports you ext to the state(s) that you wour registration to stop your.  IL IN IN IA KS KY LA ME MD MA	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NN NY NC NC ND OH	ed to provide state securities authorities of the box(es) next to the state(s) that you amendment to direct your notice filings on the state(s) and all subsequent filings or reports young to state(s) that currently receive the state(s) that curre	with a copou would or reports
Second of the se	er stavith a portage to restaurate to restau	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsubsubsubsubsubsubsubsubsubsubsubsubs	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your IL  IL  IN  IN  KS  KY  LA  ME  MD  MA  MI	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NJ NY NY NC ND ND OH OK	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the SD SD TN TX TX TX TY UT TY VI TY VI TY VA TY WA TY WA	with a copout ou would or reports vou submi
Second of the se	er stavith a portage sold to restrict to r	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsultate(s), check the box(es) needs. If this is an amendment to yes) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your.  IL IN IN IA KS KY LA ME MD MA MI MN	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NJ NN NY NC ND NC ND OH OK OR	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the state(s) that currently receive the TX  SC  TX  TX  TX  VI  VI  VA  WA  WA  WA  WY  WI	with a co ou would or reports you subm
Second of the se	er stavith seports to restook (some selection and selectio	ties Authority Notice Filings are ate laws, SEC-registered advise the SEC. These are called notices and any amendments they file ceive notice of this and all subsel state(s), check the box(es) neces) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an inequent fillings or reports you ext to the state(s) that you wour registration to stop your IL  IN  IN  KS  KY  LA  ME  MD  MA  MI  MN  MN  MS	e to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NN NY NY NC ND NC ND OK OR OR PA	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the SD SD TN TX TX TX TY UT TY VI TY VI TY VA TY WA TY WA	with a copou would or reports
See nde le v fre ke t ddit o the burist V V V V V V V V V V V V V V V V V V V	er stavith a portage sold to restrict to r	ties Authority Notice Filings are ate laws, SEC-registered advises the SEC. These are called notices and any amendments they file ceive notice of this and all subsul state(s), check the box(es) needs. If this is an amendment to yes) next to those state(s).	rs may be required to provide fillings. In addition, exempt rewith the SEC. If this is an intequent fillings or reports you ext to the state(s) that you wour registration to stop your.  IL IN IN IA KS KY LA ME MD MA MI MN	le to state securities authorities eporting advisers may be requiritial application or report, check submit to the SEC. If this is an rould like to receive notice of the notice fillings or reports from go NH NH NJ NN NY NC ND NC ND OH OK OR	ed to provide state securities authorities with the box(es) next to the state(s) that you amendment to direct your notice filings on his and all subsequent filings or reports young to state(s) that currently receive the state(s) that currently receive the TX  SC  TX  TX  TX  VI  VI  VA  WA  WA  WA  WY  WI	with a copout ou would or reports you submi

# SECTION 2.A.(8) Related Adviser

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

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser
SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days
If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:
I am not registered or required to be registered with the SEC or a <i>state securities authority</i> and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
SECTION 2.A.(10) Multi-State Adviser
If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.
If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:
I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the <i>state securities authorities</i> in those states.
I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> of those states.
If you are submitting your annual updating amendment, you must make this representation:
□ Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required
by the laws of at least 15 states to register as an investment adviser with the state securities authorities in those states.
SECTION 2.A.(11) Internet Adviser
If you are relying on rule 203A-2(e), the Internet adviser exemption from the prohibition on registration, you are required to make a representation about
your eligibility for SEC registration. By checking the appropriate box, you will be deemed to have made the required representation.
If you are applying for registration as an investment adviser with the SEC or changing your existing Item 2 response regarding your eligibility for SEC registration, you must make this representation:
☐ I will provide investment advice on an ongoing basis to more than one client exclusively through an <i>operational interactive website</i> .
If you are filing an annual updating amendment to your existing registration and are continuing to rely on the Internet adviser exemption for SEC registration, you must make this representation:
I have provided and will continue to provide investment advice on an ongoing basis to more than one client exclusively through an <i>operational interactive</i>
website.
SECTION 2.A.(12) SEC Exemptive Order
If you are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
Application Number:
803-
Date of order:
Item 3 Form of Organization
If you are filing an <i>umbrella registration</i> , the information in Item 3 should be provided for the <i>filing adviser</i> only.
A. How are you organized?  Corporation
Partnership  — Limited Liability Company (LLC)
Char (charify):
Other (specify):

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

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

  DECEMBER
- C. Under the laws of what state or country are you organized?

State Country

Delaware United States

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

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

#### Item 4 Successions

Yes No

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

0 0

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.

#### **SECTION 4 Successions**

No Information Filed

#### Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

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

#### **Employees**

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

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

168

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

91

(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*?

97

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

1

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

with those investors. C. (1) To approximately how many clients for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year? (2) Approximately what percentage of your clients are non-United States persons? 0% D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships. The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (1)(d) or (3)(d) below. Indicate the approximate number of your clients and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of client. If you have fewer than 5 clients in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1). The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below. If a client fits into more than one category, select one category that most accurately represents the client to avoid double counting clients and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable. (2) Fewer than (1) Number of (3) Amount of Regulatory Assets Type of Client Client(s) 5 Clients under Management \$ 576,833,955 (a) Individuals (other than high net worth individuals) 1279 (b) High net worth individuals 1415 \$ 6,327,238,727 (c) Banking or thrift institutions (d) Investment companies 7 \$ 760,081,800 (e) Business development companies \$ (f) Pooled investment vehicles (other than investment companies and 17 \$ 512,007,022 business development companies) \$ 54,246,815 (g) Pension and profit sharing plans (but not the plan participants or 5 government pension plans) (h) Charitable organizations 37 \$ 260,587,831 (i) State or municipal government entities (including government pension \$ plans) (j) Other investment advisers \$ (k) Insurance companies \$ 1,039,765,373 7 (I) Sovereign wealth funds and foreign official institutions \$ (m) Corporations or other businesses not listed above 19 \$ 299,919,392 (n) Other: \$ **Compensation Arrangements** E. You are compensated for your investment advisory services by (check all that apply): (1) A percentage of assets under your management (2) Hourly charges (3) Subscription fees (for a newsletter or periodical) V (4) Fixed fees (other than subscription fees) (5) Commissions V (6) Performance-based fees Other (specify): (7) Item 5 Information About Your Advisory Business - Regulatory Assets Under Management **Regulatory Assets Under Management** Yes No F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios?  $\odot$ 0 (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) \$8,888,287,794 (d) 11,735 Discretionary:

(b) \$ 942,393,121

Non-Discretionary:

(e) 1,474

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

		Total:	(c) \$ 9,830,680,915	(f) 13,209	
		Part 1A Instruction 5.b. explains how to a completing this Item.	calculate your regulatory assets under manag	gement. You must follow these instructions carefully whe	n
	ä	What is the approximate amount of your are non- <i>United States persons</i> ?	total regulatory assets under managemen	t (reported in Item 5.F.(2)(c) above) attributable to <i>cli</i>	<i>ents</i> who
to <b>n</b>	a E In	nformation About Your Advisory Busine	oss Advisory Activities		
		/ Activities	255 - Advisory Activities		
G.	_	at type(s) of advisory services do you pro	ovide? Check all that apply.		
	াব বব	section 54 of the Investment Com (4) Portfolio management for pooled in	nent companies (as well as "business devel pany Act of 1940) investment vehicles (other than investment	opment companies" that have made an election pursua companies) utional <i>clients</i> (other than registered investment compa	
		other pooled investment vehicles)		·	
	マ	<ul><li>(6) Pension consulting services</li><li>(7) Selection of other advisers (includ</li></ul>	ling private fund managers)		
		(8) Publication of periodicals or news			
		(9) Security ratings or pricing services	5		
		<ul><li>(10) Market timing services</li><li>(11) Educational seminars/workshops</li></ul>			
		•	AL PARTNER, MANAGING MEMBER (OR EQUI'	VALENT) OF POOLED INVESTMENT VEHICLES	
	Inve		s a subadviser. If you check Item 5.G.(3), re	advisory contract to an investment company registered port the 811 or 814 number of the investment company	
Н.	If vo	ou provide financial planning services, to	how many <i>clients</i> did you provide these se	cvices during your last fiscal year?	
		0	many anama ara you promas anses co	The second secon	
	0	1 - 10			
	0	11 - 25			
	Ö	26 - 50			
	0	51 - 100			
	0	101 - 250			
	0	251 - 500			
	⊙	More than 500			
		If more than 500, how many? 3,000 (round to the nearest 500)			
	_	our responses to this Item 5.H., do not ind those investors.	clude as "clients" the investors in a private fo	und you advise, unless you have a separate advisory rela	tionship
					Yes No
١.	(1) [	Do you participate in a wrap fee program?	,		0 0
		If you participate in a <i>wrap fee program, \</i> a) <i>sponsor</i> to a <i>wrap fee program</i> \$	what is the amount of your regulatory asse	ts under management attributable to acting as:	
	(1	b) portfolio manager for a <i>wrap fee progr</i> \$	am?		
	(0	c) <i>sponsor</i> to and portfolio manager for t \$	he same wrap fee program?		
	If yo	ou report an amount in Item 5.I.(2)(c), do	not report that amount in Item 5.1.(2)(a) or	Item 5.1.(2)(b).	
	If yo	ou are a portfolio manager for a wrap fee p	rogram, list the names of the programs, their	sponsors and related information in Section 5.1.(2) of Sc	:hedule D.
	_	, , ,	imited to recommending wrap fee programs to or enter any amounts in response to Item 5.1.	o your clients, or you advise a mutual fund that is offered (2).	l through a
					Yes No
J.		In response to Item 4.B. of Part 2A of Foestments?	rm ADV, do you indicate that you provide in	evestment advice only with respect to limited types of	0 0
	(2) [	Do you report <i>client</i> assets in Item 4.E. o	of Part 2A that are computed using a differe	ent method than the method used to compute your	0 0

	regulatory assets under management?		
k	Separately Managed Account <i>Clients</i>	Yes	No
	(1) Do you have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately managed account <i>clients</i> )?	0	0
	If yes, complete Section 5.K.(1) of Schedule D.		
	(2) Do you engage in borrowing transactions on behalf of any of the separately managed account clients that you advise?	0	•
	If yes, complete Section 5.K.(2) of Schedule D.		
	(3) Do you engage in derivative transactions on behalf of any of the separately managed account clients that you advise?	0	•
	If yes, complete Section 5.K.(2) of Schedule D.		
	(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?	•	0
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.		
L	. Marketing Activities		
	(1) Do any of your <i>advertisements</i> include:	Yes	No
	(a) Performance results?	•	0
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	•	0
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	•	0
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	•	0
	(e) Third-party ratings?	•	0
	(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of testimonials, endorsements, or third-party ratings?	•	0
	(3) Do any of your advertisements include hypothetical performance?	•	0
	(4) Do any of your advertisements include predecessor performance?	0	0
SI	ECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies		
	If you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business develop	ment	
	companies to which you act as an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each re Investment company and business development company to which you act as an adviser.	gistere	∍d
	SEC File Number 811 - 00994		
	Provide the regulatory assets under management of all <i>parallel managed accounts</i> related to a registered investment company (or series thereof) cousiness development company that you advise.	or	
	No Information Filed		

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

No Information Filed

#### SECTION 5.1.(2) Wrap Fee Programs

#### No Information Filed

# SECTION 5.K.(1) Separately Managed Accounts

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

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

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

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

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

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

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

Generally describe any assets included in "Other"

Asse	et Type	End of year
(i)	Exchange-Traded Equity Securities	38 %
(ii)	Non Exchange-Traded Equity Securities	0 %
(iii)	U.S. Government/Agency Bonds	9 %
(iv)	U.S. State and Local Bonds	10 %
(v)	Sovereign Bonds	0 %
(vi)	Investment Grade Corporate Bonds	3 %
(vii)	Non-Investment Grade Corporate Bonds	0 %
(viii)	Derivatives	0 %
(ix)	Securities Issued by Registered Investment Companies or Business Development Companies	29 %
(x)	Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	8 %

(xi)	Cash and Cash Equivalents	3 %
(xii)	Other	0 %

Generally describe any assets included in "Other"

#### SECTION 5.K.(2) Separately Managed Accounts - Use of Borrowingsand Derivatives

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

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

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

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

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

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

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

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

#### (i) Mid-Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings		(3)	Derivative E	Exposures		
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative		(f) Other Derivative
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

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

# (ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings		(3)	Derivative E	Exposures		
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

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

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

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross

notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

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

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

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

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

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10%	\$	\$
10-149%	\$	\$
150% or more	\$	\$

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

•	ete a separate Schedule D Section 5.K.(3) for eactory assets under management.	ch custodian that holds ten percent or	r more of your aggregate separately mana	aged account
(a)	Legal name of custodian:			
	CHARLES SCHWAB & CO., INC.			
(b)	Primary business name of custodian:			
	CHARLES SCHWAB & CO., INC.			
(c)	The location(s) of the custodian's office(s) res	sponsible for <i>custody</i> of the assets :		
	City:	State:	Country:	
	SAN FRANCISCO	California	United States	
				Yes No
(d)	Is the custodian a related person of your firm?	,		0.0

8 - 16514

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

(g) What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?

\$ 1,616,622,956

(a)	Legal name of custodian:			
	FIDELITY BROKERAGE SERVICE	CES LLC		
(b)	Primary business name of cu	stodian:		
	FIDELITY BROKERAGE SERVICE	CES LLC		
(c)	The location(s) of the custodi	an's office(s) responsible for custody of the asse	ets:	
	City:	State:	Country:	
	SMITHFIELD	Rhode Island	United States	
				Yes No

0 0

- (d) Is the custodian a related person of your firm?
  - (e) If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 23292

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

- (f) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)
- (g) What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian? \$5,730,335,701

(e)

In I	inis it	em, we request information about your firm's other business activities.	
A.	You	are actively engaged in business as a (check all that apply):  (1) broker-dealer (registered or unregistered) (2) registered representative of a broker-dealer (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (4) futures commission merchant (5) real estate broker, dealer, or agent (6) insurance broker or agent (7) bank (including a separately identifiable department or division of a bank) (8) trust company (9) registered municipal advisor (10) registered security-based swap dealer (11) major security-based swap participant (12) accountant or accounting firm (13) lawyer or law firm (14) other financial product salesperson (specify):	
	If yo	ou engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.	Yes No
B.	(1)	Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?	0 0
	(2)	If yes, is this other business your primary business?	0 0
		If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that no	
			Yes No
	(3)	Do you sell products or provide services other than investment advice to your advisory clients?	⊙ ○
		If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that no	ame.
SEC	TION	I 6.A. Names of Your Other Businesses	
		No Information Filed	
SEC	TION	I 6.B.(2) Description of Primary Business	
		your primary business (not your investment advisory business):	
lf y	ou er	ngage in that business under a different name, provide that name:	
SEC	TION	I 6.B.(3) Description of Other Products and Services	
		e other products or services you sell to your <i>client</i> . You may omit products and services that you listed in Section 6.B.(2) above.  MITED NUMBER OF CLIENTS WE PROVIDE FINANCIAL MANAGEMENT SERVICES INCLUDING, BUT NOT LIMITED TO, BUSINESS AND CASH MANAC	SEMENT.
lf y	ou er	ngage in that business under a different name, provide that name:	
Iter	n 7 Fi	inancial Industry Affiliations	
In t	his It	tem, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest tween you and your <i>clients</i> .	est may
Α.	advi	spart of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all isory affiliates and any person that is under common control with you.  have a related person that is a (check all that apply):  (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)  (2) other investment adviser (including financial planners)  (3) registered municipal advisor  (4) registered security-based swap dealer  (5) major security-based swap participant  (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  (7) futures commission merchant  (8) banking or thrift institution  (9) trust company  (10) accountant or accounting firm	l of your
		<ul><li>(11) lawyer or law firm</li><li>(12) insurance company or agency</li></ul>	

	(14) real estate broker or dealer		
	<ul> <li>(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>(16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>		
	Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered represent broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of the firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).		
	Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.	complete	ò
	For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7. Schedule D.	A. of	
	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 contadvisory 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 you; (4) you do not share supervised persons or premises 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 provided to you have no reason to be a conflict of interest with your relationship with the related person of the conflict of interest with your provided to you have no reason to be a conflict of interest with your relationship with the related person of the conflict of interest with your provided to your clients; (2) you do not share supervised person to be a conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict of interest with your relationship with the related person of the conflict o	iness to t with the	the
	You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related perso operationally independent under rule 206(4)-2 of the Advisers Act.	-	
SEC	CTION 7.A. Financial Industry Affiliations		
Со	mplete a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.		
1.	Legal Name of <i>Related Person</i> : MEDICAL MUTUAL OF NC		
2.	Primary Business Name of <i>Related Person</i> : MEDICAL MUTUAL OF NC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's  (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
	Related Person is: (check all that apply)		
5.	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer		
	<ul><li>(b) □ other investment adviser (including financial planners)</li><li>(c) □ registered municipal advisor</li></ul>		
	(d) registered security-based swap dealer		
	<ul><li>(e) □ major security-based swap participant</li><li>(f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li></ul>		
	(g)  futures commission merchant		
	<ul><li>(h) □ banking or thrift institution</li><li>(i) □ trust company</li></ul>		
	(j) accountant or accounting firm		
	(k) □ lawyer or law firm  (l) ☑ insurance company or agency		
	(m) pension consultant		
	<ul> <li>(n) □ real estate broker or dealer</li> <li>(o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>		
	(p) $\square$ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes	No ©
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0

		required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i>	asse	∍ts:
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Voo	Na
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	<b>⊙</b>
	(b)	If the answer is yes, under what exemption?		
10.	(2)	Is the related person registered with a foreign financial regulatory authority?	_	_
10.	` ,	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register		⊙
		No Information Filed		
11.	Do y	you and the related person share any supervised persons?	0	⊙
12.	Do y	you and the related person share the same physical location?	0	•
1.	Lega	al Name of <i>Related Person</i> :		
•	_	I CAPITAL INSURANCE SOLUTIONS, LLC		
2.	Prim	nary Business Name of <i>Related Person</i> :		
		I CAPITAL INSURANCE SOLUTIONS, LLC		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe			
	5.			
4.	Relation (a)	ted Person's  CRD Number (if any):		
	(1.)			
	(b)	CIK Number(s) (if any):  No Information Filed		
5.	Rela	ted Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` '	other investment adviser (including financial planners)  registered municipal advisor		
	` ,	registered security-based swap dealer		
	(e)	major security-based swap participant		
	( )	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)  futures commission merchant		
	(3)	banking or thrift institution		
		□ trust company		
	0,	accountant or accounting firm		
	` '	<ul><li>□ lawyer or law firm</li><li>☑ insurance company or agency</li></ul>		
		pension consultant		
	(n)	real estate broker or dealer		
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do y	you control or are you controlled by the related person?	_	0
7	Are v	you and the <i>related person</i> under common <i>control</i> ?	_	_
	, , , ,	, sa and the related person and a comment control.	⊙	0
8.		Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients'	asse	ets:
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		

9. (	(a) If the related person is an investment adviser, is it exempt from registration?	$\circ$	-0
(	(b) If the answer is yes, under what exemption?		
10 (	(a) Is the related person registered with a foreign financial regulatory authority?	_	,
	(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register  No Information Filed	c ed.	•
11. [	Do you and the related person share any supervised persons?	•	C
12. [	Do you and the <i>related person</i> share the same physical location?	•	_
tem	7 Private Fund Reporting		
		Yes	N
B. Ar	re you an adviser to any <i>private fund</i> ?	•	C
se re <sub>l</sub> 7.	"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 rentence and in Instruction 6 of the Instructions to Part 1A. If you are registered or applying for registration with the SEC or reporting as an SEC exempt eporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such private fund in Section 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 restead, complete Section 7.B.(2) of Schedule D.	ectio	n
СО	n 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 alphabet.  ode, 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 of the fund's name.		
SECT	TION 7.B.(1) <i>Private Fund</i> Reporting		
	Funds per Page: 15 Total Funds: 13		
A. F	PRIVATE FUND		
Info	formation About the <i>Private Fund</i>		
1.	(a) Name of the <i>private fund</i> :		
	CURI CAPITAL REAL ESTATE INCOME AND GROWTH FUND I, LP		
	(b) Private fund identification number:		
	(include the "805-" prefix also) 805-2485637518		
2.	Under the laws of what state or country is the <i>private fund</i> organized:		
۷.	State: Country:		
	Delaware United States		
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	CURI CAPITAL LLC  CURI CAPITAL REAL ESTATE INCOME & GROWTH I GP, LLC		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
	No Information Filed		
4.	The private fund (check all that apply; you must check at least one):		
	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940		
	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940		
5.	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.		
	No Information Filed		

Yes No

Yes No

6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(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	•
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?	~	~
	Name of private fund:		
	Private fund identification number: (include the "805-" prefix also)		
	(morado uno dee prenix dise)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	7.B.(	(1)
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 the feeder funds answer the following questions:	or eac	h of
	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 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 multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issue	ed
0	(a) In this projects 6 and a 116 and a 116 and a 110	Yes	No
8.	(a) Is this <i>private fund</i> a "fund of funds"?	. ⊙	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, regardless of whether they are also <i>private funds</i> or registered investment companies.	IT	
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	•
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> 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 <i>private fund</i> ?		
	O hedge fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private	ate fur	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11	Current gross asset value of the <i>private fund</i> :		
11.	\$ 25,318,978		
<u>Ow</u>	<u>nership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :		
	\$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	е	
13.	Approximate number of the <i>private fund's</i> beneficial owners:		
	68		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
	33%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	0%		
		Yes	
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	⊙	0

16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ır Ad	lvisory Services		
17	(a)	Are you a subadviser to this <i>private fund</i> ?		s No
17.		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answ question 17.(a) is "no," leave this question blank.	er to	•
		No Information Filed		
			Ye	s No
18.		Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund?</i> If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the question 18.(a) is "no," leave this question blank.	ne ans	_
		No Information Filed		
			Ye	s No
19.		your clients solicited to invest in the private fund?	⊙	0
	NO7	E: For purposes of this question, do not consider feeder funds of the private fund.		
20.	App 1%	roximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Priv	/ate	Offering		
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Ye:	s No
22.	If y	es, provide the <i>private fund's</i> Form D file number (if any):		
	For	m D file number		
	021	1-360048		
	litors		Ye	s No
23.	(a)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?	•	0
		(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?  If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audit you must complete questions (b) through (f) separately for each auditing firm.	ing fir	
		Additional Auditor Information : 1 Record(s) Filed.		
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
		(b) Name of the auditing firm: BDO USA, LLP		
		(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
		City: State: Country: CHICAGO Illinois United States		
		CHICAGO Illinois United States	Yes	No
		(d) Is the auditing firm an independent public accountant?	•	0
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
		If yes, Public Company Accounting Oversight Board-Assigned Number: 243		
		(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

in			
	Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>priva</i> nvestors?	ate fund's	• o
(h) D	Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> con	ntain unqualified opir	ions?
•	⊙ Yes O No O Report Not Yet Received		
If	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 av	⁄ailable.
Prime Bro	<u>roker</u>		
24 (a) D	Does the <i>private fund</i> use one or more prime brokers?	`	res No
lf	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>priva</i> fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broke	·	<b>C ⊙</b> orivate
	No Information Filed		
Custodian			
<u>Custodian</u>	<u>n</u>	,	es No
25. (a) D	Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?		⊙ ⊙
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the private and uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	fund uses. If the priv	ate
IL			
A	Additional Custodian Information: 1 Record(s) Filed.  If the answer to question 25.(a) is "yes," respond to questions (b) through q) below for each custodian the private	e fund uses. If the pro	vate
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:  CHARLES SCHWAB & CO., INC.	e fund uses. If the pri	vate
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:	e fund uses. If the pri	vate
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:  CHARLES SCHWAB & CO., INC.		vate
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:     CHARLES SCHWAB & CO., INC.  (c) Primary business name of custodian:     CHARLES SCHWAB & CO., INC.  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country City:  State:  Country:		vate
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:     CHARLES SCHWAB & CO., INC.  (c) Primary business name of custodian:     CHARLES SCHWAB & CO., INC.  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country)	y):	s No
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:     CHARLES SCHWAB & CO., INC.  (c) Primary business name of custodian:     CHARLES SCHWAB & CO., INC.  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country City:  State:  Country:	y):	
A	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:     CHARLES SCHWAB & CO., INC.  (c) Primary business name of custodian:     CHARLES SCHWAB & CO., INC.  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country City:     State:     Country:     SAN FRANCISCO     California     United States	y): Ye	s No

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administrator, you

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

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

Additional Administrator Information: 1 Record(s) Filed.

must complete questions (b) through (f) separately for each administrator.

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

		(b)	Name of administrator:						
			APEX FUND SERVICES (CHARLOTTE)	LLC					
		(0)	Leasting of administrator (situates	a and country)					
		(C)	Location of administrator (city, state	3.					
			City: CHARLOTTE	State: North Carolina		ountry: nited States			
			OTHER TE	Worth Garonna	0	inted States	Yes	No	
		(d)	Is the administrator a related person	n of your firm?			0	•	
				-			~	~	
		(e)	Does the administrator prepare and	d send investor account s	statements to the <i>private</i>	e fund's investors?			
			• Yes (provided to all investors)	Some (provided to some	e but not all investors)	No (provided to no invest	cors)		
		(f)	If the answer to question 26.(e) is investors? If investor account state				• •		
27.		relati	ur last fiscal year, what percentage ed person?	of the <i>private fund's</i> asse	ts (by value) was valued	I by a <i>person</i> , such as an a	administrator, that is	s not	
	relev	ant c	nly those assets where (i) such <i>pers</i> quotes, and (ii) the valuation used for s) was the valuation determined by	or purposes of investor su	·	•		•	
Ma	rketer	<u>s</u>							
							,	Yes	No
28.			the <i>private fund</i> use the services of	•	, ,				•
	S	simila	nust answer "yes" whether the <i>pers</i> r <i>person</i> . If the answer to question 2 If the <i>private fund</i> uses more than o	28.(a) is "yes," respond to	o questions (b) through	(g) below for each such m	arketer the <i>private f</i>		
				No I	nformation Filed				
				140 1					
A. Pl	RIVATI	F FUN	JD						
7 (									
Info	rmati	on Al	bout the <i>Private Fund</i>						
1.	(a) N	Name	of the <i>private fund</i> :						
	(	DUTS	TANDING BUSINESSES LIMITED PART	TNERSHIP					
	(b) <i>H</i>	Privat	e fund identification number:						
			de the "805-" prefix also)						
	3	305-7	7532365606						
2	Unde	r the	e laws of what state or country is the	e <i>private fund</i> organized:					
∠.		State	•	e private rund organized.	Country:				
			Carolina		United States				
3.	(a) N	Name	(s) of General Partner, Manager, Tru	ustee, or Directors (or <i>pei</i>	rsons serving in a similar	capacity):			
			General Partner, Manager, Trustee	e, or Director					
	CUR	I CAF	PITAL, LLC						
	(b) I	f filin	g an <i>umbrella registration</i> , identify th	e filing adviser and/or rely	ying adviser(s) that spons	sor(s) or manage(s) this p	rivate fund.		
				No Info	ormation Filed				
4.	The $\mu$	orivat	te fund (check all that apply; you mu	st check at least one):					
		(1) qu	ualifies for the exclusion from the def	inition of investment com	pany under section 3(c)	(1) of the Investment Com	pany Act of 1940		
		(2) qu	ualifies for the exclusion from the def	inition of investment com	pany under section 3(c)	(7) of the Investment Com	pany 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
Ó.	(a) Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?		
	No Information Filed		
		Yes	No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	•
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :		
	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 for the master-feeder arrangement or reporting on the funds separately.	⊦ 7.B.(	1)
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 the feeder funds answer the following questions:	or eac	n of
	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 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 multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issue Yes	ed <b>No</b>
3.	(a) Is this <i>private fund</i> a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment		•
	vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	, <b>L</b>	
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	0
9.	During your last fiscal year, did the <i>private fund</i> 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 O
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private	ate fur	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 107,441,652		
<u>Ow</u>	vnership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in th organizational documents of the fund).	е	
13.	Approximate number of the <i>private fund's</i> beneficial owners:  39		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 7%		
15	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		

0%

		Yes	SINO
(	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
our	Advisory Services		
		Yes	s No
	(a) Are you a subadviser to this <i>private fund</i> ?	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 <i>private fund</i> . If the answ question 17.(a) is "no," leave this question blank.	er to	
	No Information Filed		
		Yes	s No
8. (	<ul><li>(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?</li><li>(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 to question 18.(a) is "no," leave this question blank.</li></ul>	ne ansv	<b>⊙</b> wer
	No Information Filed		
		Yes	s No
9. <i>F</i>	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	•
I	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
1. H	Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?  If yes, provide the <i>private fund's</i> Form D file number (if any):	Yes ©	S No
	Form D file number 021-67171		
<u>udi1</u>	tors  (a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Ye: <b>⊙</b>	s No
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audit you must complete questions (b) through (f) separately for each auditing firm.	ing firr	n,
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm: FORVIS MAZARS, LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country:		
	GREENVILLE North Carolina United States	Yes	No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number:		
	686		

	ne <i>private fund's</i> audited financial sta tors?	tements for the most recently co	empleted fiscal year distributed to the private fund's	
o all	I of the reports prepared by the audi	ting firm for the <i>private fund</i> sinc	e your last <i>annual updating amendment</i> contain unqu	alified opi
⊙ Y∈	es <sup>©</sup> No <sup>©</sup> Report Not Yet Received			
f you	ı check "Report Not Yet Received," you	ı must promptly file an amendmer	nt to your Form ADV to update your response when the	report is a
oker				
oes	the <i>private fund</i> use one or more pri	me brokers?		
	•		h (e) below for each prime broker the <i>private fund</i> us hrough (e) separately for each prime broker.	ses. If the
Addi	tional Prime Broker Information :	1 Record(s) Filed.		
	•	•	ugh (e) below for each prime broker the <i>private fund</i> ions (b) through (e) separately for each prime broke	
(b)	Name of the prime broker: BTIG, LLC			
(c)	If the prime broker is registered wit	h the SEC, its registration number	er:	
	8 - 65473			
	CRD Number (if any): 122225			
(d)	Location of prime broker's office use	ed principally by the <i>private fund</i>	(city, state and country):	
(-)	City	Ctoto	Country	
(-)	City: SAN FRANCISCO	State: California	Country: United States	
	SAN FRANCISCO	California	United States	Υ
	3	California	United States	Ye
	SAN FRANCISCO	California	United States	
(e)	SAN FRANCISCO	California	United States	<u>e</u>
(e)	SAN FRANCISCO  Does this prime broker act as custo	California dian for some or all of the <i>privat</i> e	United States	
(e)	SAN FRANCISCO  Does this prime broker act as custo  the <i>private fund</i> use any custodians answer to question 25.(a) is "yes,"	California  dian for some or all of the <i>private</i> (including the prime brokers lister respond to questions (b) throug	United States e fund's assets?	•
(e) Does f the	SAN FRANCISCO  Does this prime broker act as custo  the <i>private fund</i> use any custodians answer to question 25.(a) is "yes,"	California  dian for some or all of the private  (including the prime brokers lister respond to questions (b) throughout complete questions (b) throughout the complete questions (c) th	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.	•
(e) Does f the fund to Addi	Does this prime broker act as custo  the <i>private fund</i> use any custodians answer to question 25.(a) is "yes," uses more than one custodian, you relitional Custodian Information: 1 Relitional Custodian Information 25.(a) is "yes	California  dian for some or all of the private  (including the prime brokers listerespond to questions (b) throughout complete questions (b) throughout complete questions (b) throughout properties (b) throughout properties (considered).	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.	If the private of the
(e) Does f the fund to	Does this prime broker act as custo  the <i>private fund</i> use any custodians answer to question 25.(a) is "yes," uses more than one custodian, you relitional Custodian Information: 1 Relitional Custodian Information 25.(a) is "yes	California  dian for some or all of the private  (including the prime brokers listerespond to questions (b) throughout complete questions (b) throughout complete questions (b) throughout properties (b) throughout properties (considered).	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.  bugh (g) separately for each custodian.	If the private of the
(e) Does If the fund (b)	Does this prime broker act as custo  the <i>private fund</i> use any custodians answer to question 25.(a) is "yes," uses more than one custodian, you relational Custodian Information: 1 Relational Custodian Information answer to question 25.(a) is "yes," the answer to question 25.(a) is "yes," and uses more than one custodian, you Legal name of custodian:	California  dian for some or all of the private  (including the prime brokers liste respond to questions (b) throug nust complete questions (b) throug ecord(s) Filed.  ," respond to questions (b) throug u must complete questions (b) throug	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.  bugh (g) separately for each custodian.	If the private of the
(e) Does f the fund (b) (c)	Does this prime broker act as custo  the private fund use any custodians answer to question 25.(a) is "yes," uses more than one custodian, you re  itional Custodian Information: 1 Re  the answer to question 25.(a) is "yes ad uses more than one custodian, you  Legal name of custodian: GOLDMAN SACHS & CO. LLC  Primary business name of custodian GOLDMAN SACHS & CO. LLC	California  dian for some or all of the private  (including the prime brokers liste respond to questions (b) throug nust complete questions (b) throug ecord(s) Filed.  ," respond to questions (b) throug nust complete questions (b) throug nust complete questions (b) throug	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.  bugh (g) separately for each custodian.	If the private of the
(e) Does f the fund ( f th fund (b)	the <i>private fund</i> use any custodians answer to question 25.(a) is "yes," uses more than one custodian, you relitional Custodian Information: 1 Reliable answer to question 25.(a) is "yes d uses more than one custodian, you be answer to question 25.(a) is "yes d uses more than one custodian, you be a custodian of custodian:  GOLDMAN SACHS & CO. LLC  Primary business name of custodian GOLDMAN SACHS & CO. LLC  The location of the custodian's officic City:	California  dian for some or all of the private (including the prime brokers listed respond to questions (b) throughout complete questions (b) throughout respond to questions (b) throughout respond to questions (b) throughout must complete questions (b) the private of the private responsible for custody of the private responsible responsible for custody of the privat	United States  e fund's assets?  ed above) to hold some or all of its assets?  h (g) below for each custodian the private fund uses.  bugh (g) separately for each custodian.  ugh g) below for each custodian the private fund uses.  burough (g) separately for each custodian.	If the private of the
(e) Does f the fund ( f th fund (b)	the <i>private fund</i> use any custodians answer to question 25. (a) is "yes," uses more than one custodian, you relational Custodian Information: 1 Relational Custodian: 3 Custodian: 3 Custodian: 4 Custodian: 4 Custodian: 4 Custodian: 5 Custodian: 5 Custodian: 6	California  dian for some or all of the private  (including the prime brokers liste respond to questions (b) throug nust complete questions (b) throug ecord(s) Filed.  ," respond to questions (b) throug nust complete questions (b) through (b) t	United States  e fund's assets?  ed above) to hold some or all of its assets?  th (g) below for each custodian the private fund uses.  bugh (g) separately for each custodian.  ugh g) below for each custodian the private fund uses.  burnough (g) separately for each custodian.	If the private of the

	(g) If the custodian is not a broker-dealer, or is a broker-deale identifier (if any)	er but does not have an SEC registration number, provide its <i>legal</i>	l entity
Adminis	trator		
			Yes No
26. (a)	Does the <i>private fund</i> use an administrator other than your firm?		⊙ ○
	If the answer to question 26.(a) is "yes," respond to questions (b) must complete questions (b) through (f) separately for each adm	<ul><li>b) through (f) below. If the private fund uses more than one admir ninistrator.</li></ul>	nistrator, you
	Additional Administrator Information : 1 Record(s) Filed.		
	If the answer to question 26.(a) is "yes," respond to questions administrator, you must complete questions (b) through (f) see	•	
	(b) Name of administrator:		
	FAIRVIEW INVESTMENT SERVICES		
	(c) Location of administrator (city, state and country):  City: State:	Country:	
	RALEIGH North Carolina	United States	
			Yes No
	(d) Is the administrator a <i>related person</i> of your firm?		0 0
	· · · · · · · · · · · · · · · · · · ·	·	
you 100 Incl rele	related person? % ude only those assets where (i) such <i>person</i> carried out the valua	sets (by value) was valued by a <i>person</i> , such as an administrator, ation procedure established for that asset, if any, including obtaini subscriptions, redemptions or distributions, and fee calculations (i	ning any
Markete	<u>ers</u>		Voc No
28. (a)	Does the <i>private fund</i> use the services of someone other than yo	ou or your <i>employees</i> for marketing purposes?	Yes No ○ ⊙
	similar person. If the answer to question 28.(a) is "yes," respond	agent, consultant, finder, introducer, municipal advisor or other so to questions (b) through (g) below for each such marketer the <i>pr</i> complete questions (b) through (g) separately for each marketer.	olicitor, or private fund
	No	o Information Filed	
V DD1774.	TE ELIND		
A. PRIVA	E FUIND		
Informat	ion About the <i>Private Fund</i>		

8 - 129

1. (a) Name of the private fund:

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

RMB FIXED INCOME OPPORTUNITIES QP LLC-SERIES 1

CRD Number (if any):

• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private fund:

	021-183714  ERVICE PROVIDERS				
22.	021-183/14				
22.	204 400744				
$\gamma \gamma$	If yes, provide the <i>private fund's</i> Form D file number (if any):  Form D file number				
	Has the <i>private fund</i> ever relied on an exemption from registration of its s	securities under Regulation D of the Sec	curities Act of 1933?	•	0
Priv	vate Offering			Yes	No
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private</i> 9%	te fund?			
	NOTE: For purposes of this question, do not consider feeder funds of the pri	ivate fund.		_	
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?			Yes •	No
	GOSHEN ROCK CAPITAL, LLC	801-120776	313546		
	to question 18.(a) is "no," leave this question blank.  Name of Other Adviser to private fund	SEC file number	CRD number		
18.	(b) If the answer to question 18.(a) is "yes," provide the name and SEC				0
	No Info	ormation Filed			
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC question 17.(a) is "no," leave this question blank.	file number, if any, of the adviser of the	e <i>private fund</i> . If the ans	wer to	
17.	(a) Are you a subadviser to this <i>private fund</i> ?			Yes	No ⊙
Υοι	ur Advisory Services				
16.	What is the approximate percentage of the <i>private fund</i> beneficially owner owner.	ed by non- <i>United States persons</i> :			
	(b) If the private fund qualifies for the exclusion from the definition of inv Company Act of 1940, are sales of the fund limited to <i>qualified clients</i>		) of the Investment	Yes	No O
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially 0%	owned (in the aggregate) by funds of fu	ınds:		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owners.	ed by you and your related persons:			
13.	Approximate number of the <i>private fund's</i> beneficial owners: 251				
	\$ 250,000  NOTE: Report the amount routinely required of investors who are not you organizational documents of the fund).	our <i>related persons</i> (even if different fron	n the amount set forth in	the	
12.	Minimum investment commitment required of an investor in the private fu	und:			
<u>Ow</u>	<u>vnership</u>				
11.	Current gross asset value of the <i>private fund</i> : \$ 133,167,427				

(2) If the answer to guestion 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

	dditional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm:		
	DELOITTE & TOUCHE LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country: CHICAGO Illinois United States		
	CHICAGO TIIIIOIS OTHER States	Yes	N
	(d) Is the auditing firm an independent public accountant?	•	C
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	(
	If yes, Public Company Accounting Oversight Board-Assigned Number:		
	34		
	(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?	•	(
		V	es
Ar	e the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's		
			0
Do	vestors?  all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualifie  Yes O No O Report Not Yet Received	d opini	ons
Do	all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualifie	d opini	ons
Do <b>⊙</b> If	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualifie Yes O No O Report Not Yet Received  you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	d opinio	ons aila
Do If	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualifie Yes O No O Report Not Yet Received  you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	d opinion	ons nila
Do  If  Brol	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified. Yes No Report Not Yet Received.  Yes No Report Not Yet Received.  Yes No Report Not Yet Received, " you must promptly file an amendment to your Form ADV to update your response when the report Not Yet Received."	d opinion	ons aila es
Do If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified. Yes O No O Report Not Yet Received.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received.  Yes Wou check "Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.  Yes O No O Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reported.	d opinion	ons aila
If Do	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported was the <i>private fund</i> use one or more prime brokers? The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Indicate the answer to an approximation of the complete questions (b) through (e) separately for each prime broker.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses.	d opinion	ons nila
Do If full	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported in the private fund use one or more prime brokers? The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Indicate that one prime broker, you must complete questions (b) through (e) separately for each prime broker.  Indicate the private fund is "yes," respond to questions (b) through (e) separately for each prime broker.	d opinion	ons aila
Dc If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported was the <i>private fund</i> use one or more prime brokers? The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Indicate the answer to an approximation of the complete questions (b) through (e) separately for each prime broker.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses.	d opinion	ons nila
Do If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received  you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report  tees the <i>private fund</i> use one or more prime brokers?  the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. In additional Prime Broker Information: 1 Record(s) Filed.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	d opinion	on aila
Do If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported when the private fund use one or more prime brokers? The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. I additional Prime Broker Information: 1 Record(s) Filed.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses 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:  DEUTSCHE BANK TRUST COMPANY AMERICAS	d opinion	on: nila
Doc If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes O No O Report Not Yet Received You check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported to the private fund use one or more prime brokers?  The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. In the uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses 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:  DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) If the prime broker is registered with the SEC, its registration number:	d opinion	ons nila
Doc If fun	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualifie Yes C No C Report Not Yet Received  you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report  set the <i>private fund</i> use one or more prime brokers?  the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Indivises more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  dditional Prime Broker Information: 1 Record(s) Filed.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses 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:  DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) If the prime broker is registered with the SEC, its registration number:  - CRD Number (if any):  (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):  City: State: Country:	d opinion	ons aila es
Doc If full	all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified Yes © No © Report Not Yet Received you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the reported in the private fund use one or more prime brokers? The answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. In additional Prime Broker Information: 1 Record(s) Filed.  If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses 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:  DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) If the prime broker is registered with the SEC, its registration number:  - CRD Number (if any):	d opinion	es iva

25. (a) Does the *private fund* use any custodians (including the prime brokers listed above) to hold some or all of its assets?

Yes No

Custodian

	on : 1 Record(s) Filed.		
•		through g) below for each custodian the <i>priv</i> (b) through (g) separately for each custodian	
(b) Legal name of custodian: DEUTSCHE BANK TRUST CC	MPANY AMERICAS		
(c) Primary business name of ODEUTSCHE BANK TRUST CO			
(d) The location of the custodia	an's office responsible for <i>custody</i> of	the private fund's assets (city, state and cour	ntry):
City:	State:	Country:	
NEW YORK	New York	United States	
(e) Is the custodian a related p	person of your firm?		
(f) If the custodian is a broker	-dealer, provide its SEC registration	number (if any):	
- CRD Number (if any):			
identifier (if any)			
rator Does the <i>private fund</i> use an adm	•	arough (f) below. If the <i>private fund</i> uses more	e than one administr
rator  Does the <i>private fund</i> use an adm  If the answer to question 26.(a)	is "yes," respond to questions (b) though (f) separately for each administ	•	e than one administr
rator  Does the <i>private fund</i> use an adm  If the answer to question 26.(a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26.(a)	is "yes," respond to questions (b) though (f) separately for each administed mation: 1 Record(s) Filed.	through (f) below. If the <i>private fund</i> uses me	
Poes the private fund use an adm If the answer to question 26.(a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26.(a administrator, you must complete administrator; you must complete to provide the complete to the complete	is "yes," respond to questions (b) though (f) separately for each administ mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) ete questions (b) through (f) separate	through (f) below. If the <i>private fund</i> uses me	
Does the private fund use an adm If the answer to question 26. (a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26. (a administrator, you must complete administrator; you must complete to provide the complete to the comple	is "yes," respond to questions (b) though (f) separately for each administ mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) ete questions (b) through (f) separate	through (f) below. If the <i>private fund</i> uses me	
Poes the private fund use an adm If the answer to question 26.(a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26.(a administrator, you must complete (b) Name of administrator: NAV CONSULTING INC.  (c) Location of administrator (a)	is "yes," respond to questions (b) though (f) separately for each administ mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) ete questions (b) through (f) separately for each administration in the content of the con	through (f) below. If the <i>private fund</i> uses metely for each administrator.	
Poes the private fund use an adm If the answer to question 26. (a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26. (a administrator, you must complete administrator; you must complete administrator.  NAV CONSULTING INC.  (c) Location of administrator (a City:	is "yes," respond to questions (b) though (f) separately for each administ mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) ete questions (b) through (f) separately for each administration in the context of the con	through (f) below. If the <i>private fund</i> uses metely for each administrator.  Country:	
Poes the private fund use an adm If the answer to question 26.(a) must complete questions (b) thro  Additional Administrator Inform  If the answer to question 26.(a administrator, you must complete (b) Name of administrator: NAV CONSULTING INC.  (c) Location of administrator (a City: OAK BROOK  (d) Is the administrator a relate (e) Does the administrator pre-	is "yes," respond to questions (b) though (f) separately for each administ mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) ete questions (b) through (f) separately for each administration in the context of the con	through (f) below. If the <i>private fund</i> uses metely for each administrator.  Country:	ore than one

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

Ma	rkete		Yes	No
28.	(a)	Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?	0	·
		You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private f</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.	or	
		No Information Filed		
Λ D	DI\/A	TE FUND		
<u>Info</u>	ormat	cion About the <i>Private Fund</i>		
1.	(a)	Name of the <i>private fund</i> :		
		RMB JAPAN OPPORTUNITIES FUND L.P.		
	(b)	Private fund identification number:  (include the "POE" profix also)		
		(include the "805-" prefix also) 805-2353743015		
2.	Und	er the laws of what state or country is the <i>private fund</i> organized:		
		State: Country:		
		Delaware United States		
3.	(a)	Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Na	me of General Partner, Manager, Trustee, or Director		
	CU	RI CAPITAL LLC		
	(b)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
		No Information Filed		
4.	Tho	private fund (check all that apply; you must check at least one):		
4.		(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	No
6.	(a)	Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(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	No
	(c)	Is this a "feeder fund" in a master-feeder arrangement?	0	•
	(d)	If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> :		
		Private fund identification number: (include the "805-" prefix also)		
		E: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7 the master-feeder arrangement or reporting on the funds separately.	.B.(ʻ	1)

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

allocations) was the valuation determined by such *person*.

the feeder funds answer the following questions:

	ass	TE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all ets 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 is little 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 <i>private fund</i> a "fund of funds"?	$\circ$	$\odot$
		TE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment nicles, regardless of whether they are also <i>private funds</i> or registered investment companies.		
	(b)	If yes, does the private fund invest in funds managed by you or by a related person?	0	0
			Yes	No
9.		ring your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment mpany Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	Wha	at type of fund is the <i>private fund</i> ?		
	⊙	hedge fund $^{f O}$ liquidity fund $^{f O}$ private equity fund $^{f O}$ real estate fund $^{f O}$ securitized asset fund $^{f O}$ venture capital fund $^{f O}$ Other <i>privat</i>	e fur	าd:
	NO	TE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.		rent gross asset value of the <i>private fund</i> : ,253,738		
<u>Ow</u>	ners	<u>ship</u>		
12.		imum investment commitment required of an investor in the <i>private fund</i> : 50,000		
	NO	TE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the anizational documents of the fund).		
13.	<b>А</b> рр	proximate number of the <i>private fund's</i> beneficial owners:		
14.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	(a) 0%	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	(b)	If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes O	No O
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
<u>You</u>	ır Ac	dvisory Services		
17	(a)	Are you a subadviser to this <i>private fund</i> ?	Yes	
17.		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	C to	•
		No Information Filed		
			Yes	No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	•
		If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the atto 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?	•	0

	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?  0%		
<u>Priv</u>	vate Offering		
21.	Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?		es No
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number		
	021-140342		
B. S	ERVICE PROVIDERS		
Aud	<u>ditors</u>	V	
23.	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Y	es No
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	·	90
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one aud you must complete questions (b) through (f) separately for each auditing firm.		
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm:  DELOITTE & TOUCHE		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country:		
	CHICAGO IIlinois United States	Vos	s No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number:  34		
	(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
		Y	es No
	(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	(	• c
	(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified	l opinic	ons?
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repor	t is ava	ailable
<u>Prii</u>	me Broker		
0.4			es No
24.	(a) Does the <i>private fund</i> use one or more prime brokers?  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If		⊙ C
	fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	trie pr	ivate
	Additional Prime Broker Information : 1 Record(s) Filed.		
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses.	If the	
	It the answer to question 24.(a) is yes, respond to questions (b) through (e) below for each prime broker the private fund uses.		

MORGAN STANLEY & CO. LLC			
(c) If the prime broker is registe 8 - 15869	ered with the SEC, its registration n	umber:	
CRD Number (if any): 8209			
(d) Location of prime broker's of	fice used principally by the <i>private i</i>	fund (city, state and country):	
City: BALTIMORE	State: Maryland	Country: United States	
BALTIMORE	maryiana	ormou otatos	Ye
(e) Does this prime broker act a	s custodian for some or all of the p	rivate fund's assets?	•
ian_			
		- !!-t	•
·		s listed above) to hold some or all of its assets rough (g) below for each custodian the <i>private</i>	
•		through (g) separately for each custodian.	e runu uses. It the priv
Additional Custodian Information	n : 1 Record(s) Filed.		
	. ,		
		through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian.	<i>te fund</i> uses. If the <i>pri</i>
(b) Legal name of custodian:  MORGAN STANLEY & CO. LLC			
(c) Primary business name of cu MORGAN STANLEY & CO. LLC			
(d) The location of the custodiar	n's office responsible for <i>custody</i> of	the private fund's assets (city, state and count	ry):
City: BALTIMORE	State: Maryland	Country: United States	
BALTIMORE	war yrana	Officed States	Ye
(e) Is the custodian a related pe	rson of your firm?		0
(f) If the custodian is a broker-of 8 - 15869	dealer, provide its SEC registration	number (if any):	
CRD Number (if any): 8209			
(g) If the custodian is not a brok identifier (if any)	ker-dealer, or is a broker-dealer bu	t does not have an SEC registration number, p	provide its <i>legal entity</i>
strator			
2 S 2 S 2 S 2 S 2 S 2 S 2 S 2 S 2 S 2 S			,
	nistrator other than your firm?		
	·		
Does the <i>private fund</i> use an admir	"yes," respond to questions (b) the gh (f) separately for each administration	rough (f) below. If the <i>private fund</i> uses more rator.	than one administrato
Does the <i>private fund</i> use an admir If the answer to question 26.(a) is	gh (f) separately for each administr		than one administrato

private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of administrator:

		(c) Location of administrator	(city, state and country):		
		City: OAK BROOK	State: Illinois	Country: United States	
		OAK BROOK	minois	Officed States	Yes No
		(d) Is the administrator a re	lated person of your firm?		0 0
		, ,	•	tatements to the <i>private fund's</i> investors? but not all investors) ONO (provided to no in	vestors)
		•		Is the investor account statements to the (res (rest of the) <i>private fund's</i> investors, respond	
	your 1009	related person?		s (by value) was valued by a <i>person</i> , such as	
	relev		tion used for purposes of investor su	on procedure established for that asset, if any bscriptions, redemptions or distributions, and	
Vlar	keter	<u></u>			
28	(a) [	Ones the <i>private fund</i> use the	services of someone other than you o	or your <i>employees</i> for marketing purposes?	Yes No
20.	Y	ou must answer "yes" wheth similar <i>person</i> . If the answer to	er the <i>person</i> acts as a placement ag question 28.(a) is "yes," respond to	ent, consultant, finder, introducer, municipal questions (b) through (g) below for each sumplete questions (b) through (g) separately for	ch marketer the <i>private fund</i>
			No Ir	formation Filed	
. PR	RIVATE	E FUND			
nfor	matic	on About the <i>Private Fund</i>			
1.	(a) N	Name of the <i>private fund</i> :			
	F	RMB PRIVATE EQUITY OPPORTI	JNITIES QP LLC-SERIES 1		
		Private fund identification numb (include the "805-" prefix also)			
	8	805-1731295514			
2.	Unde	er the laws of what state or co	ountry is the <i>private fund</i> organized:		
	S	State:	Country:		
		Delaware	United Sta	ates	
3.	(a) N	Name(s) of General Partner, M	anager, Trustee, or Directors (or <i>per</i> s	sons serving in a similar capacity):	
		ne of General Partner, Manag		3 1 3/	
	CUR	I CAPITAL LLC			
	(b) I	f filing an <i>umbrella registration</i>		ing adviser(s) that sponsor(s) or manage(s) the rmation Filed	nis <i>private fund.</i>
			NO TITIO	imation rileu	
4.	The <i>t</i>	private fund (check all that app	oly; you must check at least one):		
			,	pany under section 3(c)(1) of the Investment	Company Act of 1940
	<b>(</b>	2) qualifies for the exclusion f	om the definition of investment comp	pany under section 3(c)(7) of the Investment	Company Act of 1940
_	1:-+ '	the name and according to 5	oh of oogh foreign fire-re-!	y authority with which the private fund is regist	tarad

No Information Filed

NAV CONSULTING INC.

		Yes	No
6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(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		
		V	NI-
	(c) Is this a "feeder fund" in a master-feeder arrangement?	Yes	INO
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?	О	٠
	Name of private fund:		
	Private fund identification number: (include the "805-" prefix also)		
	(include the bob- prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	7.B.(	(1)
	Tor the master-reeder arrangement or reporting on the runds separatery.		
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 the feeder funds answer the following questions:	r eac	h of
	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 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 multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		
	multiple classes (or series) or shares or interests, and each class (or series) invests substantially all or its assets in a single master rand.	Yes	No
8.	(a) Is this private fund a "fund of funds"?	•	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, regardless of whether they are also <i>private funds</i> or registered investment companies.		
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	•
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> 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 <i>private fund</i> ?		
	O hedge fund O liquidity fund oprivate equity fund oprivate equity fund oprivate state fund oprivate securitized asset fund oprivate securitization asset fund oprivate securitization asset fund oprivate securitized asset f	te fui	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 5,588,312		
Ow	<u>rnership</u>		
12.	Minimum investment commitment required of an investor in the private fund:		
	\$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).	·	
13.	Approximate number of the <i>private fund's</i> beneficial owners:		
	58		
14.	What is the approximate percentage of the private fund beneficially owned by you and your related persons:		
	2%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	0%		

	(b)	If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ır Ac	dvisory Services		
17	(0)	Are you a subadviser to this <i>private fund</i> ?		s No
17.		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	r to	•
		No Information Filed		
			Yes	s No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	$\odot$
	(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 <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	ansv	ver
		No Information Filed		
			Yes	s No
19.		your <i>clients</i> solicited to invest in the <i>private fund</i> ?	⊙	0
	NO	TE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Арр 2%	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
	If y	the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? es, provide the <i>private fund's</i> Form D file number (if any):	• Yes	s No
		rm D file number 1-205173		
Auc	ditor	CE PROVIDERS  S  (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Ye:	s No
		(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	_
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.		
		Additional Auditor Information : 1 Record(s) Filed.		
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
		(b) Name of the auditing firm:  DELOITTE & TOUCHE LLP		
		(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
		City: State: Country:		
		CHICAGO Illinois United States	.,	
			Yes ©	O
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
		If yes, Public Company Accounting Oversight Board-Assigned Number:		

Are the <i>private fund</i> 's audited financial statements for the most recently completed fiscal year distributed to the <i>private fund</i> 's investors?  Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified  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	·
investors?  Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified  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	opinions?
• Yes • No • Report Not Yet Received  If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	·
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	
<u>Broker</u>	is availabl
	Yes N
a) Does the <i>private fund</i> use one or more prime brokers?	• • • • • • • • • • • • • • • • • • •
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	
Additional Prime Broker Information : 1 Record(s) Filed.	
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  (b) Name of the prime broker:	If the
DEUTSCHE BANK TRUST COMPANY AMERICAS	
(c) If the prime broker is registered with the SEC, its registration number:	
CRD Number (if any):	
(d) Location of prime broker's office used principally by the <i>private fund</i> (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 0
Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?  If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  Additional Custodian Information: 1 Record(s) Filed.	Yes N ⊙ (e. private
If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	ne <i>private</i>
(b) Legal name of custodian:  DEUTSCHE BANK TRUST COMPANY AMERICAS	
DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) Primary business name of custodian:	
DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country): City: State: Country:	
DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	Yes No
DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS  (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country): City: State: Country:	Yes No ○ •

	(g) If the custodian is not a broker-dealer, or is a bridentifier (if any)	roker-dealer but does no	t have an SEC registration number, provide its <i>legal en</i>	rtity
Adminis	<u>strator</u>			
	Does the <i>private fund</i> use an administrator other than y  If the answer to question 26.(a) is "yes," respond to question 26.	uestions (b) through (f)	below. If the <i>private fund</i> uses more than one administ	Yes No  o rator, you
	must complete questions (b) through (f) separately for  Additional Administrator Information: 1 Record(s)			
	If the answer to question 26.(a) is "yes," respond to administrator, you must complete questions (b) through		•	
	(b) Name of administrator:  NAV CONSULTING INC.			
			Country: United States	
	(d) Is the administrator a <i>related person</i> of your firm?	?		Yes No
	· · · · · · · · · · · · · · · · · · ·	ded to some but not all i	·	l's
youi 100 Incl rele	ring your last fiscal year, what percentage of the <i>private</i> or <i>related person</i> ?  Solution with the valuation used for purposes of cations) was the valuation determined by such <i>person</i> .	at the valuation procedur of investor subscriptions,	e established for that asset, if any, including obtaining	any
Markete	<u>ers</u>			
28. (a)	Does the <i>private fund</i> use the services of someone other	er than you or your <i>emp</i>	loyees for marketing purposes?	Yes No
	You must answer "yes" whether the <i>person</i> acts as a p similar <i>person</i> . If the answer to question 28.(a) is "yes, uses. If the <i>private fund</i> uses more than one marketer years.	," respond to questions (	(b) through (g) below for each such marketer the <i>priva</i>	
		No Information F	iled	
A. PRIVAT	TE FUND			
	Name of the <i>private fund</i> :			

CRD Number (if any):

RMB PRIVATE EQUITY OPPORTUNITIES QP LLC-SERIES 2

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

805-8770690963

2.	Under the laws of what state or country is the <i>private fund</i> organized:		
	State: Country:		
	Delaware United States		
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	CURI CAPITAL LLC		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
	No Information Filed		
	No Illioimation Filed		
4.	The private fund (check all that apply; you must check at least one):		
••	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940		
	<ul> <li>✓ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940</li> </ul>		
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?	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?	$\circ$	$\odot$
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?		
	Name of private fund:		
	Private fund identification number:  (include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	7.B.(	(1)
	for the master-reeder arrangement or reporting on the runus separatery.		
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	r eacl	h 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 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		
	multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	13340	.u
		Yes	No
8.	(a) Is this private fund a "fund of funds"?	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, regardless of whether they are also <i>private funds</i> or registered investment companies.		
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	0
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> 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	•
	company factor 1740 (other than money market failus, to the extent provided in histraction o.e.)?		
10.	. What type of fund is the <i>private fund</i> ?		
	O hedge fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private	te fur	nd·
		.o rui	, G.

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

	\$ 9,106,362		
<u>Ow</u>	<u>vnership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 250,000  NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in	the	
	organizational documents of the fund).		
13.	Approximate number of the <i>private fund's</i> beneficial owners: 43		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 0%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
		Yes	No
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
Voi	ur Advisory Services		
100	ar Advisory Services	Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?	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 <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	ver to	
	No Information Filed		
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund</i> ?	Yes	
10.	<ul><li>(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 <i>private fund</i>. If t to question 18.(a) is "no," leave this question blank.</li></ul>	C he answ	<b>⊙</b> ⁄er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	•	$\circ$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?  2%		
Priv	vate Offering		
		Yes	No
21.	Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	•	0
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number 021-241889		
B. SI	ERVICE PROVIDERS		
Aud	<u>ditors</u>		
22	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?		No
۷.	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audi	<b>⊙</b> tina firm	0
	vol. must complete questions (b) through (f) separately for each auditing firm	ıy IIIII	''

11. Current gross asset value of the *private fund*:

	ete questions (b) through (f) separat	ely for each auditing firm.		
(b) Name of the auditing firm: DELOITTE & TOUCHE LLP				
() 7				
(c) The location of the auditing	g firm's office responsible for the <i>pri</i> tion of the prition of th	vate fund's audit (city, state and country):  Country:		
CHICAGO	Illinois	United States		
(d) Is the auditing firm an inde	ependent public accountant?		Ye <b>⊙</b>	
(e) Is the auditing firm registe	ered with the Public Company Accour	nting Oversight Board?	•	
If yes, Public Company Acc	counting Oversight Board-Assigned N	umber:		
(f) If "yes" to (e) above, is th accordance with its rules?	•	pection by the Public Company Accounting Oversight Board	in <u>o</u>	
			Y	
•	ancial statements for the most recer	tly completed fiscal year distributed to the private fund's		
investors?				
Do all of the reports prepared by	the auditing firm for the private fund	d since your last <i>annual updating amendment</i> contain unqua	lified opin	
		d since your last <i>annual updating amendment</i> contain unqua	lified opin	
	Received	d since your last <i>annual updating amendment</i> contain unqua	·	
• Yes • No • Report Not Yet  If you check "Report Not Yet Rece	Received		eport is av	
• Yes • No • Report Not Yet  If you check "Report Not Yet Rece  roker	Received ived," you must promptly file an amer		eport is av	
• Yes • No • Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a)	Received  ived," you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the		eport is av Y	
• Yes • No • Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a)	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions	ndment to your Form ADV to update your response when the r	eport is av Y	
Yes No Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a)  fund uses more than one prime to  Additional Prime Broker Inform  If the answer to question 24.(	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b)	ndment to your Form ADV to update your response when the r	eport is av	
Yes No Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a)  fund uses more than one prime to  Additional Prime Broker Inform  If the answer to question 24.(	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) the prime broker, you must complete	nrough (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.	eport is av	
Yes No Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a) fund uses more than one prime to  Additional Prime Broker Inform  If the answer to question 24.( private fund uses more than or  (b) Name of the prime broker:  DEUTSCHE BANK TRUST CO	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) the prime broker, you must complete	arough (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.  through (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.	eport is av	
Yes No Report Not Yet  If you check "Report Not Yet Rece  roker  Does the private fund use one or  If the answer to question 24.(a)  fund uses more than one prime to  Additional Prime Broker Inform  If the answer to question 24.(  private fund uses more than or  (b) Name of the prime broker:  DEUTSCHE BANK TRUST CO	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the  proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b)  the prime broker, you must complete  DMPANY AMERICAS	arough (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.  through (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.	eport is av	
Yes No Report Not Yet Received Proker  Does the private fund use one or If the answer to question 24. (a) fund uses more than one prime Beautional Prime Broker Information If the answer to question 24. (a) fund uses more than one prime Broker Information If the answer to question 24. (b) Name of the prime broker:  DEUTSCHE BANK TRUST CO. (c) If the prime broker is registable.  CRD Number (if any):	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the  proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b)  the prime broker, you must complete  DMPANY AMERICAS	arrough (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.  through (e) below for each prime broker the private fund use (b) through (e) separately for each prime broker.	eport is av	
Yes No Report Not Yet Recent If you check "Report Not Yet Recent Proker  Does the private fund use one or If the answer to question 24. (a) fund uses more than one prime to the Additional Prime Broker Inform  If the answer to question 24. (private fund uses more than or DEUTSCHE BANK TRUST CO.  (c) If the prime broker is registable. CRD Number (if any):  (d) Location of prime broker's City:	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) the prime broker, you must complete  DMPANY AMERICAS  stered with the SEC, its registration is state:	arrough (e) below for each prime broker the private fund uses (b) through (e) separately for each prime broker.  through (e) below for each prime broker the private fund used (b) through (e) separately for each prime broker the private fund used (c) through (e) separately for each prime broker the private fund used (c) through (e) separately for each prime broker (e) separately for each prime broker (f) through (e) through (e) separately for each prime broker (f) through (f) throug	eport is av	
Yes No Report Not Yet Received Proker  Does the private fund use one or If the answer to question 24. (a) fund uses more than one prime to Additional Prime Broker Inform  If the answer to question 24. (a) fund uses more than one prime to private fund uses more than or (b) Name of the prime broker:  DEUTSCHE BANK TRUST CO  (c) If the prime broker is registable.  CRD Number (if any):	Received  ived, " you must promptly file an amer  more prime brokers?  is "yes," respond to questions (b) the proker, you must complete questions  mation: 1 Record(s) Filed.  a) is "yes," respond to questions (b) the prime broker, you must complete  DMPANY AMERICAS  stered with the SEC, its registration is stered with the SEC, its registration is stered.	arrough (e) below for each prime broker the private fund uses (b) through (e) separately for each prime broker.  through (e) below for each prime broker the private fund use through (e) below for each prime broker the private fund use through (b) through (e) separately for each prime broker through through (e) separately for each prime broker through through (e) separately for each prime broker through	eport is av	

## 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?

 $\odot$   $\circ$ 

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

fund	•		b) through g) below for each custodian the $p$ s (b) through (g) separately for each custodian	
(b)	Legal name of custodian: DEUTSCHE BANK TRUST COM	PANY AMERICAS		
(c)	Primary business name of cur DEUTSCHE BANK TRUST COM			
(d)	The location of the custodian	's office responsible for <i>custody</i>	of the <i>private fund's</i> assets (city, state and co	untry):
	City: NEW YORK	State: New York	Country: United States	
			5,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,
(e)	Is the custodian a related per	rson of your firm?		
(f)	If the custodian is a broker-d	ealer, provide its SEC registratio	n number (if any):	
	- CRD Number (if any):			
(g)	If the custodian is not a brok identifier (if any)	er-dealer, or is a broker-dealer	but does not have an SEC registration numbe	er, provide its <i>legal enti</i>
trator				
		istrator other than your firm?		
Does If the	the <i>private fund</i> use an admin answer to question 26.(a) is	"yes," respond to questions (b)	through (f) below. If the <i>private fund</i> uses mo	ore than one administra
Does If the must	the <i>private fund</i> use an admin answer to question 26.(a) is	"yes," respond to questions (b) gh (f) separately for each admini		ore than one administra
Does If the must	the <i>private fund</i> use an admin answer to question 26.(a) is complete questions (b) throug	"yes," respond to questions (b) gh (f) separately for each admini		ore than one administra
Does If the must  Addit	the <i>private fund</i> use an adminance answer to question 26.(a) is complete questions (b) throughtional Administrator Informational Administrator Information answer to question 26.(a)	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.	b) through (f) below. If the <i>private fund</i> uses	
Does If the must  Addit  If the adm	the <i>private fund</i> use an adminance answer to question 26.(a) is complete questions (b) throughtional Administrator Informational Administrator Information answer to question 26.(a)	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (b)	b) through (f) below. If the <i>private fund</i> uses	
Does If the must  Addit  If the adm	the <i>private fund</i> use an adminance answer to question 26.(a) is complete questions (b) through tional Administrator Information answer to question 26.(a) in inistrator, you must complete	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (b)	b) through (f) below. If the <i>private fund</i> uses	
Does If the must  Addit  If the adm  (b)	the <i>private fund</i> use an admin answer to question 26.(a) is complete questions (b) throughtional Administrator Informational Administrator Information answer to question 26.(a) in the initial function of administrator:	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately for each adminination: 1 Record(s) Filed.	b) through (f) below. If the <i>private fund</i> uses	
Does If the must  Addit  If the adm  (b)	the private fund use an admin answer to question 26. (a) is complete questions (b) throughtional Administrator Informational Administrator Information answer to question 26. (a) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (c) in the answer to question 26. (d) in the answer to question 26. (d	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately, state and country):  State:	o) through (f) below. If the <i>private fund</i> uses rately for each administrator.  Country:	
Does If the must  Addit  If the adm  (b)	the <i>private fund</i> use an adminance answer to question 26. (a) is complete questions (b) through tional Administrator Informational Administrator Information answer to question 26. (a) in inistrator, you must complete Name of administrator:  NAV CONSULTING INC.	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately, state and country):	b) through (f) below. If the <i>private fund</i> uses rately for each administrator.	more than one
Does If the must  Addit  If the adm  (b)	the private fund use an admin answer to question 26. (a) is complete questions (b) throughtional Administrator Informational Administrator Information answer to question 26. (a) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (a) in the answer to question 26. (b) in the answer to question 26. (c) in the answer to question 26. (d) in the answer to question 26. (d	"yes," respond to questions (b) gh (f) separately for each adminination: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately, state and country):  State: Illinois	o) through (f) below. If the <i>private fund</i> uses rately for each administrator.  Country:	more than one
Does If the must  Addit  If th adm  (b)  (c)	the private fund use an adminance answer to question 26. (a) is complete questions (b) through tional Administrator Informational Administrator Informational Administrator Information answer to question 26. (a) in initiative for the administrator:  Name of administrator:  NAV CONSULTING INC.  Location of administrator (city City:  OAK BROOK  Is the administrator a related	"yes," respond to questions (b) gh (f) separately for each adminimation: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately, state and country):  State:  Illinois	o) through (f) below. If the <i>private fund</i> uses rately for each administrator.  Country:	more than one
Does If the must  Addit  If th adm  (b)  (c)	the private fund use an adminance answer to question 26. (a) is complete questions (b) through tional Administrator Informational Administrator Informational Administrator Information answer to question 26. (a) in inistrator, you must complete Name of administrator:  NAV CONSULTING INC.  Location of administrator (city: City: OAK BROOK  Is the administrator a related Does the administrator preparation.	"yes," respond to questions (b) gh (f) separately for each administration: 1 Record(s) Filed.  is "yes," respond to questions (be questions (b) through (f) separately state:  Illinois  It person of your firm?	country: United States	more than one

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.

		Yes	No
28.	(a) Does the private fund use the services of someone other than you or your employees for marketing purposes?	0	$\odot$
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicito similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.		
	No Information Filed		
. PF	RIVATE FUND		
nfo	rmation About the <i>Private Fund</i>		
١.	(a) Name of the <i>private fund</i> :		
	RMB PRIVATE EQUITY OPPORTUNITIES QP LLC-SERIES 3		
	(b) Private fund identification number: (include the "805-" prefix also) 805-3564055309		
2.	Under the laws of what state or country is the <i>private fund</i> organized:		
	State: Country: Delaware United States		
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Name of General Partner, Manager, Trustee, or Director		
	CURI CAPITAL LLC		
	No Information Filed		
1.	The <i>private fund</i> (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		
).	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
).	(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		
	(c) Is this a "fooder fund" in a master fooder arrangement?	Yes	_
	<ul><li>(c) Is this a "feeder fund" in a master-feeder arrangement?</li><li>(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?</li></ul>	0	•
	Name of <i>private fund</i> :		
	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 for the master-feeder arrangement or reporting on the funds separately.	7.B.(	1)
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 the feeder funds answer the following questions:	eacl	n of
	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 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 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 <i>private fund</i> a "fund of funds"?	$\odot$	$\circ$
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	t	
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	$\odot$
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> 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?		
	O hedge fund O liquidity fund o private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private	ite fui	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 30,245,521		
<u>Ow</u>	nership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :		
	\$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	9	
13.	Approximate number of the <i>private fund's</i> beneficial owners:		
	64		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 3%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
		Yes	No
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :  0%		
Vai	ur Advisomy Comisso		
<u> </u>	ur Advisory Services	Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?	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 <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	to	
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund?</i> (b) If the angular to guardian 10 (c) is "used" provide the page and SEC file number, if any of the other advisers to the private fund. If the	0	•
	(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 <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	/er
	No Information Filed		
4.0	And your eligible distributed in the professor form.	_	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?  NOTE: For purposes of this question, do not consider feeder funds of the private fund.	⊙	0
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		

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

Private Offering  21. Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the S  22. If yes, provide the <i>private fund's</i> Form D file number (if any):	ecurities Act of 1933?	Yes •	No
22. If yes, provide the <i>private fund's</i> Form D file number (if any):	ecurities Act of 1933?		
Form D file number			
021-364449			
3. SERVICE PROVIDERS			
<u>Auditors</u>			
22 (a) (1) Are the private fund's financial statements subject to an annual audit?		_	No
23. (a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	ILC CAADO	•	0
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with		⊙	0
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fur</i> you must complete questions (b) through (f) separately for each auditing firm.	nd uses more than one auditing	g firm	1,
Additional Auditor Information : 1 Record(s) Filed.			
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private t</i> auditing firm, you must complete questions (b) through (f) separately for each auditing firm.  (b) Name of the auditing firm:	<i>fund</i> uses more than one		
DELOITTE & TOUCHE LLP			
(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and count	ry):		
City: State: Country:			
CHICAGO Illinois United States			
		'es I	10
(d) Is the auditing firm an independent public accountant?	(	•	0
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?		•	0
If yes, Public Company Accounting Oversight Board-Assigned Number: 34			
(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accou	nting Oversight Board in	•	0
		Yes	. No
(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed investors?	to the <i>private fund's</i>	•	0
(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating ame	ndment contain unqualified op	inion	s?
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update yo	ur response when the report is a	availa	able.

## Prime Broker

Yes No

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

O

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

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

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

'	- CRD Number (if any):			
	one ivanisci (ii ariy).			
(d) I	Location of prime broker's	s office used principally by the <i>priva</i>	ate fund (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW YORK	New York	United States	Yes
(e) [	Does this prime broker ac	ct as custodian for some or all of the	e private fund's assets?	•
<u>dian</u>				Ye
a) Does t	the <i>private fund</i> use any c	ustodians (including the prime brok	kers listed above) to hold some or all of its assets?	•
	•		through (g) below for each custodian the <i>private full</i> (b) through (g) separately for each custodian.	nd uses. If the <i>private</i>
Additi	ional Custodian Informa	ition : 1 Record(s) Filed.		
	·		(b) through g) below for each custodian the <i>private f</i> or some some some some some some some some	<i>fund</i> uses. If the <i>priva</i>
	Legal name of custodian: DEUTSCHE BANK TRUST C			
11 ' '	Primary business name of DEUTSCHE BANK TRUST C			
		•	of the private fund's assets (city, state and country)	:
	City: NEW YORK	State: New York	Country: United States	
				Yes
(e) I	Is the custodian a related	<i>I person</i> of your firm?		0
(f) I	If the custodian is a broke	er-dealer, provide its SEC registration	on number (if any):	
	- CRD Number (if any):			
		oroker-dealer, or is a broker-dealer	but does not have an SEC registration number, prov	vide its <i>legal entit</i> y
	If the custodian is not a bidentifier (if any)			
nistrator	identifier (if any)			Ye
nistrator a) Does t	identifier (if any) the private fund use an ad	Iministrator other than your firm?		•
nistrator a) Does t	identifier (if any) the private fund use an ad answer to question 26.(a)	· ·	through (f) below. If the <i>private fund</i> uses more tha nistrator.	•
nistrator  a) Does t  If the a  must c	the <i>private fund</i> use an ad answer to question 26.(a) complete questions (b) th	) is "yes," respond to questions (b)	,	•
nistrator  a) Does t  If the a  must c  Additi	the private fund use an adanswer to question 26. (a) complete questions (b) the ional Administrator Informer answer to question 26.	) is "yes," respond to questions (b) rough (f) separately for each admin ormation: 1 Record(s) Filed.	(b) through (f) below. If the <i>private fund</i> uses more the	n one administrator,
nistrator  a) Does t  If the a  must c  Additi  If the admi	the private fund use an adanswer to question 26. (a) complete questions (b) the ional Administrator Informer answer to question 26.	) is "yes," respond to questions (b) irough (f) separately for each admin ormation: 1 Record(s) Filed.  (a) is "yes," respond to questions (left)	(b) through (f) below. If the <i>private fund</i> uses more the	n one administrator,
nistrator  a) Does t  If the a  must c  Additi  If the admit admit (b) I	the private fund use an ad answer to question 26. (a) complete questions (b) the ional Administrator Information answer to question 26. Ininistrator, you must complete identification.	) is "yes," respond to questions (b) irough (f) separately for each admin ormation: 1 Record(s) Filed.  (a) is "yes," respond to questions (left)	(b) through (f) below. If the <i>private fund</i> uses more the	

DEUTSCHE BANK TRUST COMPANY AMERICAS

	City:	State:	Country:			
	OAK BROOK	Illinois	United States	Vaa	NI.	
	(d) Is the administrator a <i>related</i>	person of your firm?		Yes O	<b>⊙</b>	
	(e) Does the administrator prepa	re and send investor account sta	tements to the <i>private fund's</i> investors?			
	Yes (provided to all investors)	rs) OSome (provided to some b	ut not all investors) $m{ ilde{C}}$ No (provided to no investors	s)		
			the investor account statements to the (rest of th rest of the) private fund's investors, respond "not a	•		
27.	your related person?	ntage of the <i>private fund's</i> assets	(by value) was valued by a <i>person</i> , such as an adn	ninistrator, that is	not	
	3	used for purposes of investor sub	procedure established for that asset, if any, includes scriptions, redemptions or distributions, and fee cal	0 0 3		
Ma	<u>arketers</u>					
20			2	`	Yes	
∠8.	similar person. If the answer to ques	e <i>person</i> acts as a placement age stion 28.(a) is "yes," respond to	nt, consultant, finder, introducer, municipal advisor questions (b) through (g) below for each such mark plete questions (b) through (g) separately for each	keter the <i>private fu</i>	or	•
		No Inf	ormation Filed			
	PRIVATE FUND					
nfc	ormation About the Private Fund					
1.	(a) Name of the <i>private fund:</i> RMB PRIVATE EQUITY OPPORTUNITI	FS OP LLC-SERIES 4				
	(b) <i>Private fund</i> identification number:	13 QI LLO SLIVLS I				
	(include the "805-" prefix also) 805-2053773319					
2.	Under the laws of what state or country State:	r is the <i>private fund</i> organized:  Country:				
	Delaware	United Stat	es			
3.	(a) Name(s) of General Partner, Manage	· •	ns serving in a similar capacity):			
	Name of General Partner, Manager, T CURI CAPITAL LLC	rustee, or Director				
	CONT CANTIAL LEC					
	(b) If filing an umbrella registration, iden		g adviser(s) that sponsor(s) or manage(s) this prive	ate fund.		
4.	The private fund (check all that apply; yo					
		•	ny under section 3(c)(1) of the Investment Compa ny under section 3(c)(7) of the Investment Compa			
5.	List the name and country, in English, o	f each <i>foreign financial regulatory</i>	authority with which the private fund is registered.			
			nation Filed			
				Υ	es/	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?	163	_
	<ul><li>(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?</li><li>Name of private fund:</li></ul>		•
	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 for the master-feeder arrangement or reporting on the funds separately.	7.B.(	1)
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 the feeder funds answer the following questions:	r each	ı of
	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 al 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 multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issue	d
8.	(a) Is this <i>private fund</i> a "fund of funds"?	Yes •	
O.	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investmen vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	_	0
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	•
9.	During your last fiscal year, did the <i>private fund</i> 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 <i>private fund</i> ?		
	O hedge fund O liquidity fund o private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private	te fun	ıd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 9,364,375		
<u>Ow</u>	nership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	ì	
13.	Approximate number of the <i>private fund's</i> beneficial owners:  81		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 3%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to qualified clients?	Yes	No O

0%			
our A	dvisory Services		
		Yes	No
	Are you a subadviser to this <i>private fund?</i> If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	er to	•
	No Information Filed		
		Yes	No
	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund?</i> If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the guestion 18.(a) is "no." leaves this guestion blank.	ne answ	<b>⊙</b> ver
	to question 18.(a) is "no," leave this question blank.  No Information Filed		
		Yes	No
Are	e your clients solicited to invest in the private fund?	•	0
NO	TE: For purposes of this question, do not consider feeder funds of the private fund.		
Ap <sub> </sub>	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
vate	• Offering	Yes	No
Has	s the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	· · · · · · · · · · · · · · · · · · ·	0
	ves, provide the <i>private fund's</i> Form D file number (if any):		
	rm D file number 1-477878		
uditor		_	s No
. (a)	<ul><li>(1) Are the private fund's financial statements subject to an annual audit?</li><li>(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?</li></ul>	• •	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audit		
	you must complete questions (b) through (f) separately for each auditing firm.		',
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm:  DELOITTE & TOUCHE LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country: CHICAGO Illinois United States		
	CHICAGO IIIIIIOIS OTITICA States	Yes I	No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number: 34		
	(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

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

•	the auditing firm for the <i>private fur</i>	nd since your last <i>annual updating amendment</i> contain unqualified opini	
	,		ons?
	Received		
If you check "Report Not Yet Rece	ived," you must promptly file an ame	endment to your Form ADV to update your response when the report is ava	ailable
Broker			
		Y	es N
) Does the <i>private fund</i> use one or	·		⊙ (
•		through (e) below for each prime broker the <i>private fund</i> uses. If the <i>pr</i> is (b) through (e) separately for each prime broker.	rivate
Additional Prime Broker Inform	nation : 1 Record(s) Filed.		
· ·		b) through (e) below for each prime broker the <i>private fund</i> uses. If the e questions (b) through (e) separately for each prime broker.	
(b) Name of the prime broker:  DEUTSCHE BANK TRUST CO	OMPANY AMERICAS		
(c) If the prime broker is regis	stered with the SEC, its registration	number:	
- CRD Number (if any):			
(d) Location of prime broker's	office used principally by the private	e fund (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
(a) Doos this prime broker act	as custodian for some or all of the		S No
<u>dian</u>			
			es N
) Does the private fundues any au	stodians (including the prime broke		⊙ (
, Does the private fully use ally cu			
If the answer to question 25.(a)		through (g) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> b) through (g) separately for each custodian.	ite
If the answer to question 25.(a)	an, you must complete questions (	, , ,	nte 
If the answer to question 25.(a) fund uses more than one custodi  Additional Custodian Informat  If the answer to question 25.(a)	an, you must complete questions (line)  ion: 1 Record(s) Filed.  a) is "yes," respond to questions (b	, , ,	
If the answer to question 25.(a) fund uses more than one custodi  Additional Custodian Informat  If the answer to question 25.(a)	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i>	
If the answer to question 25.(a) fund uses more than one custodi  Additional Custodian Informat  If the answer to question 25.(a fund uses more than one custodian) (b) Legal name of custodian:	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  OMPANY AMERICAS  custodian:	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i>	
If the answer to question 25. (a) fund uses more than one custodian Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  OMPANY AMERICAS  custodian:  OMPANY AMERICAS	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i>	
If the answer to question 25. (a) fund uses more than one custodian Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian City:	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  OMPANY AMERICAS  custodian:  OMPANY AMERICAS  an's office responsible for custody of State:	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private</i> (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country:	
If the answer to question 25. (a) fund uses more than one custodian  Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  DMPANY AMERICAS  custodian: DMPANY AMERICAS  an's office responsible for custody of	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> is (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country: United States	vate
If the answer to question 25. (a) fund uses more than one custodian Informat  Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian City:  NEW YORK	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  DMPANY AMERICAS  custodian: DMPANY AMERICAS  an's office responsible for custody of State:  New York	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> is (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country: United States	vate
If the answer to question 25. (a) fund uses more than one custodian Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian City:	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  DMPANY AMERICAS  custodian: DMPANY AMERICAS  an's office responsible for custody of State:  New York	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> is (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country: United States	vate
If the answer to question 25. (a) fund uses more than one custodian Informat  Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian City:  NEW YORK  (e) Is the custodian a related part of the custodian and the custodian	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  DMPANY AMERICAS  custodian: DMPANY AMERICAS  an's office responsible for custody of State:  New York	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> is (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country: United States  Yes	vate
If the answer to question 25. (a) fund uses more than one custodian Informat  Additional Custodian Informat  If the answer to question 25. (a) fund uses more than one custodian:  (b) Legal name of custodian:  DEUTSCHE BANK TRUST CO  (c) Primary business name of DEUTSCHE BANK TRUST CO  (d) The location of the custodian City:  NEW YORK  (e) Is the custodian a related part of the custodian and the custodian	an, you must complete questions (lion: 1 Record(s) Filed.  a) is "yes," respond to questions (bodian, you must complete questions  DMPANY AMERICAS  custodian: DMPANY AMERICAS  an's office responsible for custody of State: New York  person of your firm?	b) through (g) separately for each custodian.  b) through g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> is (b) through (g) separately for each custodian.  of the <i>private fund's</i> assets (city, state and country):  Country: United States  Yes	vate

(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's

Yes No

 $\odot$   $\circ$ 

	identifier (if any)			
dmini	strator			
armin	<u>strator</u>			Yes No
6. (a)	Does the private fund use an adminis	strator other than your firm?		⊙ ○
	If the answer to question 26.(a) is " must complete questions (b) through		nrough (f) below. If the <i>private fund</i> use trator.	s more than one administrator, you
	Additional Administrator Informat	ion : 1 Record(s) Filed.		
	If the answer to question 26.(a) is administrator, you must complete		through (f) below. If the <i>private fund</i> untely for each administrator.	ses more than one
	(b) Name of administrator:			
	NAV CONSULTING INC.			
	(c) Location of administrator (city	state and country):		
	City:	State:	Country:	
	OAK BROOK	Illinois	United States	
				Yes No
	(d) Is the administrator a related	person of your firm?		○ ●
			atements to the <i>private fund's</i> investors out not all investors) on (provided to	
	11		s the investor account statements to the (rest of the) private fund's investors, res	
yo 10 Ind rel	ur related person?  0%  Clude only those assets where (i) such evant quotes, and (ii) the valuation uncations) was the valuation determine	person carried out the valuation sed for purposes of investor sub	(by value) was valued by a <i>person</i> , such procedure established for that asset, is scriptions, redemptions or distributions,	f any, including obtaining any
3. (a)	Does the <i>private fund</i> use the service	es of someone other than you or	your <i>employees</i> for marketing purpose	
	similar person. If the answer to ques	tion 28.(a) is "yes," respond to	ent, consultant, finder, introducer, munic questions (b) through (g) below for eac aplete questions (b) through (g) separat	cipal advisor or other solicitor, or the such marketer the private fund
		No Inf	ormation Filed	
PRIVA	ATE FUND			
forma	ation About the <i>Private Fund</i>			
(a)	Name of the <i>private fund</i> :			
	RMB PRIVATE INVESTMENT OPPORTU	NITIES LLC SERIES 1		
(b)	Private fund identification number: (include the "805-" prefix also)			

805-5215489422

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

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

Name of General Partner, Manager, Trustee, or Director		
CURI CAPITAL LLC		
(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
No Information Filed		
The <i>private fund</i> (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		
List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.		
No Information Filed		
	Yes	Nc
(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		
	V	N
(c) Is this a "feeder fund" in a master-feeder arrangement?	Yes	(O
(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?	0	٠
Name of <i>private fund</i> :		
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	7.B.(	1)
for the master-feeder arrangement or reporting on the funds separately.		
If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions:	eacl	n of
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 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 is 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
(a) Is this <i>private fund</i> a "fund of funds"?	$\circ$	•
NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.		
(b) If yes, does the private fund invest in funds managed by you or by a related person?	0	O
	Yes	No
During your last fiscal year, did the <i>private fund</i> 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	•
What type of fund is the <i>private fund</i> ?		
C hedge fund C liquidity fund $oldsymbol{\circ}$ private equity fund $oldsymbol{\circ}$ real estate fund $oldsymbol{\circ}$ securitized asset fund $oldsymbol{\circ}$ venture capital fund $oldsymbol{\circ}$ Other <i>private</i>	e fur	ıd:
NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		

Country: United States

State:

\$ 5,421,316

Delaware

<u>Own</u>	<u>ership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :		
	\$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).		
13. /	Approximate number of the <i>private fund's</i> beneficial owners:		
:	37		
14. '	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
	13%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
(		Yes	Nc
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment	0	
	Company Act of 1940, are sales of the fund limited to qualified clients?	~	
16. '	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
(	0%		
Your	Advisory Services		
17		Yes	
	(a) Are you a subadviser to this <i>private fund?</i> (b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer	_	•
	question 17.(a) is "no," leave this question blank.		
	No Information Filed		
4.0		Yes	No
	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund?</i> (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 <i>private fund</i> . If the a	_	Or
	to question 18.(a) is "no," leave this question blank.	alisw	ei 
	No Information Filed		
10		Yes	No
	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	⊙	0
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
	1%		
Priva	ate Offering		
		Yes	No
21.	Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	⊙	0
	If yes, provide the <i>private fund's</i> Form D file number (if any):		
- 1	Form D file number		
Ĺ	021-452541		
R SFI	RVICE PROVIDERS		
D. 3E	KVIOLI KOVIBERO		
Audi			
23	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Yes	_
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	⊙ ⊙	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing	_	
	you must complete questions (b) through (f) separately for each auditing firm.		
	Additional Auditor Information : 1 Record(s) Filed.		

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one

	auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm:		
	DELOITTE & TOUCHE LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country:		
	CHICAGO IIlinois United States		
			No
	(d) Is the auditing firm an independent public accountant?	⊙	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number:  34		
	(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
		Y	es No
(g	) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	(	• o
(h	) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualifie	d opini	ons?
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	rt is ava	ailable.
Prime	<u>Broker</u>	Υ	es No
24. (a	) Does the <i>private fund</i> use one or more prime brokers?		0 0
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. I	f the <i>pi</i>	rivate
	fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	No Information Filed		
Custod	<u>dian</u>	v	es No
25. (a	) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?		0 0
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.		
	No Information Filed		
Admin	<u>istrator</u>		
24 /-	). Does the private fundues an administrator other than your firm?		es No
26. (a	) Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one admin must complete questions (b) through (f) separately for each administrator.		<b>⊙</b> C r, you
	Additional Administrator Information : 1 Record(s) Filed.		
	If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.		
			11
	(b) Name of administrator:  NAV CONSULTING INC.		

City: State: Country: OAK BROOK 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  (f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rinvestors? If investor account statements are not sent to the (rest of the) private fund's investors, respondingly your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such a your related person?  100% Include only those assets where (i) such person carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, an allocations) was the valuation determined by such person.	rest of the) <i>private fund's</i> and "not applicable."
<ul> <li>(d) Is the administrator a <i>related person</i> of your firm?</li> <li>(e) Does the administrator prepare and send investor account statements to the <i>private fund's</i> investors? Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no </li> <li>(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (r investors? If investor account statements are not sent to the (rest of the) <i>private fund's</i> investors, response 27. During your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i>, such a your <i>related person</i>? 100% Include only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, ar </li> </ul>	investors)  rest of the) private fund's and "not applicable."
<ul> <li>(e) Does the administrator prepare and send investor account statements to the <i>private fund's</i> investors? Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no </li> <li>(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rinvestors? If investor account statements are not sent to the (rest of the) <i>private fund's</i> investors, response to the private fund's assets (by value) was valued by a <i>person</i>, such a your related person? 100% Include only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and </li> </ul>	investors)  rest of the) private fund's and "not applicable."
(f) If the answer to question 26. (e) is "no" or "some," who sends the investor account statements to the (rinvestors? If investor account statements are not sent to the (rest of the) private fund's investors, responsible.  27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such a your related person?  100%  Include only those assets where (i) such person carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and	rest of the) <i>private fund's</i> and "not applicable."
(f) If the answer to question 26. (e) is "no" or "some," who sends the investor account statements to the (rinvestors? If investor account statements are not sent to the (rest of the) private fund's investors, responsible.  27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such a your related person?  100%  Include only those assets where (i) such person carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and	rest of the) <i>private fund's</i> and "not applicable."
investors? If investor account statements are not sent to the (rest of the) private fund's investors, responsible.  27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such a your related person?  100%  Include only those assets where (i) such person carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and	and "not applicable."
investors? If investor account statements are not sent to the (rest of the) private fund's investors, responsible.  27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such a your related person?  100%  Include only those assets where (i) such person carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and	and "not applicable."
your <i>related person</i> ?  100%  Include only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if an relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and	es an administrator, that is not
allocations) was the valuation determined by such person.	
	•
Marketers	
	Yes No
28. (a) Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?	0 0
You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each suses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately	such marketer the private fund
No Information Filed	
No micrimation rived	
A. PRIVATE FUND	
Information About the <i>Private Fund</i>	
1. (a) Name of the <i>private fund</i> :	
RMB PRIVATE INVESTMENT OPPORTUNITIES LLC SERIES 2	
(b) <i>Private fund</i> identification number:  (include the "805-" prefix also)	
805-1278261768	
2. Under the laws of what state or country is the <i>private fund</i> organized:	
State: Country: Delaware United States	
3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):	
Name of General Partner, Manager, Trustee, or Director  CURI CAPITAL LLC	
CONT CALLTAGE LEG	
(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s)	this <i>private fund</i> .
No Information Filed	, p
4. The <i>private fund</i> (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 Investmen	it Company Act of 1940
	it Company Act of 1940
(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investmen	. 🧳
<ul> <li>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment 5.</li> <li>List the name and country, in English, of each foreign financial regulatory authority with which the private fund is regulatory authority with which the private fund is regulatory.</li> </ul>	

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

	No Information Filed		
		Yes I	1c
	(c) Is this a "feeder fund" in a master-feeder arrangement?	0	•
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :		
	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 for the master-feeder arrangement or reporting on the funds separately.	7.B.(1	)
	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 the feeder funds answer the following questions:	r each	of
	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 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 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 I	lo
	(a) Is this <i>private fund</i> a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.		•
	vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.  (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	_	_
	(b) If yes, does the private rand invest in rands managed by you or by a related person:	0	
		Yes I	١c
	During your last fiscal year, did the <i>private fund</i> 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	⊙
).	What type of fund is the <i>private fund</i> ?		
	C hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private	te fund	:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
	Current gross asset value of the <i>private fund</i> : \$ 1,141,953		
ΝI	nership		
<u>.</u>	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the organizational documents of the fund).	9	
	Approximate number of the <i>private fund's</i> beneficial owners:  54		
	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 2%		
	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%	V	J
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes I	O No

16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
<u>You</u>	ır Ac	dvisory Services		
			Yes	s No
17.		Are you a subadviser to this <i>private fund</i> ?	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 <i>private fund</i> . If the answ question 17.(a) is "no," leave this question blank.	er to	
		No Information Filed		
			Yes	s No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund</i> ?	0	_
	(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 <i>private fund</i> . If the question 18.(a) is "no," leave this question blank.	~	
		No Information Filed		
			Yes	s No
19.	Are	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	•	0
	NOT	TE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	App	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Priv	<u>/ate</u>	<u>Offering</u>	Voi	s No
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	• • • • • • • • • • • • • • • • • • •	
22.	If y	es, provide the <i>private fund's</i> Form D file number (if any):		
	For	m D file number		
	02	1-522532		
	ERVI	CE PROVIDERS		
			Ye	s No
23.	(a)	(1) Are the private fund's financial statements subject to an annual audit?	•	0
		(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	0
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audition you must complete questions (b) through (f) separately for each auditing firm.	ng firr	n,
		Additional Auditor Information : 1 Record(s) Filed.		
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
		(b) Name of the auditing firm:		
		DELOITTE & TOUCHE LLP		
		(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
		City: State: Country:		
		CHICAGO IIlinois United States		
			Yes	No
		(d) Is the auditing firm an independent public accountant?	⊙	0
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
		If yes, Public Company Accounting Oversight Board-Assigned Number:  34		
		(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

	investors?		С
	Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified	pinions	?
	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 availa	ble
Bı	<u>roker</u>		
	Does the <i>private fund</i> use one or more prime brokers?	Yes	
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	No Information Filed		
ia	an en	Yes	No
	Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?	_	•
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	private	
	No Information Filed		
si	trator_		
	<u>trator</u>	Yes	
		•	C
	trator  Does the private fund use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one administ	•	С
	trator  Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.	•	С
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.	•	С
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one	•	C
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:	•	С
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:  NAV CONSULTING INC.  (c) Location of administrator (city, state and country):  City: State: Country:	•	C
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:  NAV CONSULTING INC.  (c) Location of administrator (city, state and country):  City:  State:  Country:  OAK BROOK  Illinois  United States	rator, y	С
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:  NAV CONSULTING INC.  (c) Location of administrator (city, state and country):  City:  OAK BROOK  Illinois  United States	•	C
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:  NAV CONSULTING INC.  (c) Location of administrator (city, state and country):  City:  OAK BROOK  Illinois  United States  (d) Is the administrator a <i>related person</i> of your firm?	rator, y	С
	Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administ must complete questions (b) through (f) separately for each administrator.  Additional Administrator Information: 1 Record(s) Filed.  If the answer to question 26. (a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.  (b) Name of administrator:  NAV CONSULTING INC.  (c) Location of administrator (city, state and country):  City:  OAK BROOK  Illinois  United States	rator, y	С

Yes No

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*.

your related person?

100%

Ma	rkete	e <u>rs</u>		
20	(-)		Yes	No
28.		Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?	0	⊙
		You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicito similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.		
		No Information Filed		
A. Pl	RIVAT	TE FUND		
Infc	rmat	ion About the <i>Private Fund</i>		
1.		Name of the private fund:		
		RMB REAL ESTATE OPPORTUNITIES QP LLC - SERIES 1		
	` ,	Private fund identification number: (include the "805-" prefix also)		
		805-4663864351		
		003 4000004331		
2.	Und	er the laws of what state or country is the <i>private fund</i> organized:		
		State: Country:		
		Delaware United States		
3.	(a)	Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Nar	me of General Partner, Manager, Trustee, or Director		
	CUF	RI CAPITAL LLC		
	(b)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
		No Information Filed		
4.	The	private fund (check all that apply; you must check at least one):		
		(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940		
	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.		
0.	List	No Information Filed		
			Yes	No
6.	(a)	Is this a "master fund" in a master-feeder arrangement?	0	<b>⊙</b>
		If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?		
		No Information Filed		
			Yes	No
	(c)	Is this a "feeder fund" in a master-feeder arrangement?	0	$\odot$
		If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :		
		Private fund identification number: (include the "805-" prefix also)		
		E: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section the master-feeder arrangement or reporting on the funds separately.	7.B.(	1)
7.	If vo	ou 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), fo	each	ı of

No Information Filed

the feeder funds answer the following questions:

	ass	IE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all ets 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 i litiple 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.		Is this <i>private fund</i> a "fund of funds"?	•	0
		TE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment icles, regardless of whether they are also private funds or registered investment companies.		
		If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	•
			Yes	No
9.		ring your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment mpany Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	Wha	at type of fund is the <i>private fund</i> ?		
	0	hedge fund $^{f O}$ liquidity fund $^{f O}$ private equity fund $^{f O}$ real estate fund $^{f O}$ securitized asset fund $^{f O}$ venture capital fund $^{f O}$ Other <i>privat</i>	e fun	d:
	NO	TE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.		rent gross asset value of the <i>private fund</i> : ,895,363		
<u>Ow</u>	ners	<u>ship</u>		
12.		imum investment commitment required of an investor in the <i>private fund</i> : 50,000		
	NO	TE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the anizational documents of the fund).		
13.	App 62	proximate number of the <i>private fund's</i> beneficial owners:		
14.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	(a) 0%	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
			Yes	No
	(b)	If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ır Ac	dvisory Services		
17.	(a)	Are you a subadviser to this <i>private fund</i> ?	res O	INO
		If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.		
		No Information Filed		
			Yes	No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	$\odot$
	(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 <i>private fund</i> . If the atto question 18.(a) is "no," leave this question blank.	nsw	er
		No Information Filed		
10	Λ		Yes -	
۱۶.	AI 6	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	⊙	0

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

Priv	vate Offering	Ye	s No
21.	Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	•	
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number 021-205120		
	021-203120		
B. SE	ERVICE PROVIDERS		
Aud	<u>litors</u>		
23.	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Ye:	s No
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audyou must complete questions (b) through (f) separately for each auditing firm.	liting firr	m,
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm: DELOITTE & TOUCHE LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country:		
	CHICAGO Illinois United States	Yes	No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number:  34		
	(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
		Ye	s No
	(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	•	0
	(h) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualifie	d opinio	ns?
	⊙ Yes O No O Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	rt is avai.	lable.
<u>Prir</u>	me Broker		
24.	(a) Does the <i>private fund</i> use one or more prime brokers?	Ye •	s No
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	Additional Prime Broker Information : 1 Record(s) Filed.		
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	16	

private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

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

(c) If the prime broker is regis	stered with the SEC, its registration	n number:	
-	tered with the 323, its registration	Thamber.	
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>privat</i>	te fund (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
		Sinton States	Ye
(e) Does this prime broker act	as custodian for some or all of the	e private fund's assets?	•
an			
<u>u.                                    </u>			•
,		ers listed above) to hold some or all of its assets	
•		through (g) below for each custodian the <i>private</i> (b) through (g) separately for each custodian.	e fund uses. If the <i>priv</i>
Additional Custodian Informati	on : 1 Record(s) Filed.		
		b) through g) below for each custodian the <i>priva</i> is (b) through (g) separately for each custodian.	•
(b) Legal name of custodian:  DEUTSCHE BANK TRUST CC	OMPANY AMERICAS		
(c) Primary business name of one DEUTSCHE BANK TRUST CC			
	an's office responsible for <i>custody</i>	of the private fund's assets (city, state and count	try):
City: NEW YORK	State: New York	Country: United States	
			Ye
(e) Is the custodian a related p	person of your firm?		0
(f) If the custodian is a broker	-dealer, provide its SEC registratio	on number (if any):	
CRD Number (if any):			
(g) If the custodian is not a br identifier (if any)	oker-dealer, or is a broker-dealer	but does not have an SEC registration number, μ	provide its <i>legal entity</i>
			,
<u>strator</u>			
Does the <i>private fund</i> use an adm	ninistrator other than your firm?		
Does the <i>private fund</i> use an adm  If the answer to question 26.(a)	·	through (f) below. If the <i>private fund</i> uses more istrator.	than one administrate

(b) Name of administrator: NAV CONSULTING INC.

	(c) Locat	ion of administrator (city, st	ate and country):		
	City:		State:	Country:	
	OAK E	BROOK	Illinois	United States	
	(d) Is the	e administrator a <i>related per</i> s	son of your firm?		Yes No
				tements to the <i>private fund's</i> investors?	
	<b>⊙</b> Yes	s (provided to all investors)	Some (provided to some b	ut not all investors) ONo (provided to no investors)	
		·		the investor account statements to the (rest of the) private fund's investors, respond "not appli	
27.	your related personal 100% Include only the relevant quotes	son? ose assets where (i) such <i>pe</i>	erson carried out the valuation I for purposes of investor sub	(by value) was valued by a <i>person</i> , such as an adminis a procedure established for that asset, if any, including scriptions, redemptions or distributions, and fee calcula	obtaining any
	allocations) was	tile valuation determined b	y such <i>person</i> .		
Ma	<u>rketers</u>				Yes No
28.	(a) Does the pr	rivate fund use the services o	of someone other than you or	your <i>employees</i> for marketing purposes?	0 0
	•		•	nt, consultant, finder, introducer, municipal advisor or c	
	similar perso	on. If the answer to question	n 28.(a) is "yes," respond to	questions (b) through (g) below for each such marketer plete questions (b) through (g) separately for each mai	the <i>private fund</i>
			, and the second		
			No Inf	ormation Filed	
<b>4</b> . Р	RIVATE FUND				
ı £		as Duivesta Franci			
Into	ormation About th	ne <i>Private Fund</i>			
1	(a) Name of the	a privata fundi			
1.	•	•	IC CEDIEC 3		
		STATE OPPORTUNITIES QP L	LC - SERIES 2		
	` ,	identification number: = "805-" prefix also)			
	805-984964				
2.		of what state or country is	,		
	State: Delaware		Country: United Stat	es	
3.				ens serving in a similar capacity):	
		ral Partner, Manager, Trust	tee, or Director		
	CURI CAPITAL I	LLC			
	(b) If filing an u	umbrolla rogistration identify	the filing advisor and/or relvir	g adviser(s) that sponsor(s) or manage(s) this private for	und
	(b) If filling arr u	innorena registration, identity		<u> </u>	ind.
			NO INTORI	mation Filed	
4.	The <i>private fund</i>	(check all that apply; you n	nust check at least one):		
•••				ny under section 3(c)(1) of the Investment Company A	ct of 1940
			·	ny under section 3(c)(7) of the Investment Company A	
5.	List the name ar	nd country, in English, of ea	ch foreign financial regulatory	authority with which the private fund is registered.	
			No Infor	nation Filed	
					Yes No

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

	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 <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?  Name of <i>private fund</i> :	
	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 for the master-feeder arrangement or reporting on the funds separately.	7.B.(1)
	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 the feeder funds answer the following questions:	r each o
	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 al 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 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
	(a) Is this <i>private fund</i> a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	⊙ C
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0 0
	(a) in feet and the production with an activating and all feet and a relation person.	0 6
		Yes No
	During your last fiscal year, did the <i>private fund</i> 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 @
).	What type of fund is the <i>private fund</i> ?	
	O hedge fund O liquidity fund O private equity fund or real estate fund O securitized asset fund O venture capital fund O Other private	nte fund:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	
	Current gross asset value of the <i>private fund</i> : \$ 10,974,282	
N	nership	
<u>)</u> .	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 250,000	
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	Э
	Approximate number of the <i>private fund's</i> beneficial owners: 40	
	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 0%	
	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%	V
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes No

16.	What 0%	is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
<u>You</u>	ır Adv	risory Services		
			Yes	s No
17.	(b) I	are you a subadviser to this <i>private fund?</i> f the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answe puestion 17.(a) is "no," leave this question blank.	er to	•
	ч Г	No Information Filed		
				s No
18.	(a) D	Oo any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	• NO
		f the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the oquestion 18.(a) is "no," leave this question blank.		
		No Information Filed		
			Yes	s No
19.	Are y	our clients solicited to invest in the private fund?	⊙	0
	NOTE	E: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Appro	oximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Priv	vate O	offering Control of the Control of t		
21.	Has t	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Yes ©	s No
22.	If yes	s, provide the <i>private fund's</i> Form D file number (if any):		
	Form	n D file number		
	021-	255960		
	ERVICE	E PROVIDERS	V	- N-
23	(a) (	1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Ye	s No
25.		2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	0
	I	f the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditivou must complete questions (b) through (f) separately for each auditing firm.	<b>⊙</b> ng firr	
	,	Additional Auditor Information : 1 Record(s) Filed.		
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
		(b) Name of the auditing firm:		
		DELOITTE & TOUCHE LLP		
		(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):  City: Country:		
		CHICAGO Illinois United States		
			Yes	No
		(d) Is the auditing firm an independent public accountant?	•	0
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
		If yes, Public Company Accounting Oversight Board-Assigned Number: 34		
		(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

		Yes
(g)	Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	•
(h)	Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified	opinions
	⊙ Yes O No O Report Not Yet Received	
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	t is availab
rime E	<u>Broker</u>	
4 (a)	Does the <i>private fund</i> use one or more prime brokers?	Yes
4. (a)	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	<b>⊙</b> the <i>privat</i>
	Additional Prime Broker Information : 1 Record(s) Filed.	
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  (b) Name of the prime broker:  DEUTSCHE BANK TRUST COMPANY AMERICAS  (c) If the prime broker is registered with the SEC, its registration number:  -  CRD Number (if any):  (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):  City:  State:  Country:	If the
	NEW YORK New York United States	\/ NI
	(e) Does this prime broker act as custodian for some or all of the private fund's assets?	Yes No
ustodi 5. (a)	Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?  If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  Additional Custodian Information: 1 Record(s) Filed.	Yes <b>⊙</b> e private
	Additional Custodian Information: T Record(s) Filed.	
	If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If the fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.  (b) Legal name of custodian:  DEUTSCHE BANK TRUST COMPANY AMERICAS	ne <i>private</i>
	(c) Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS	
	(d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):  City:  NEW YORK  New York  United States	Yes No
	(e) Is the custodian a <i>related person</i> of your firm?	0 0
	(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):	
	CRD Number (if any):	

<u>Adr</u>	<u>ninis</u>	trator			
26.	(a)	Does the <i>private fund</i> use an administ	rator other than your firm?		Yes No
		•	es," respond to questions (b) th	arough (f) below. If the <i>private fund</i> uses more than or trator.	
		Additional Administrator Information	on : 1 Record(s) Filed.		
		If the answer to question 26.(a) is administrator, you must complete q		through (f) below. If the <i>private fund</i> uses more than tely for each administrator.	one
		(b) Name of administrator:  NAV CONSULTING INC.			
		(c) Location of administrator (city,	state and country):		
		City:	State:	Country:	
		OAK BROOK	Illinois	United States	V N-
		(d) Is the administrator a related pe	erson of your firm?		Yes No
				tements to the <i>private fund's</i> investors?  ut not all investors) ONO (provided to no investors)	
				the investor account statements to the (rest of the) prest of the private fund's investors, respond "not app	
27.		related person?	age of the <i>private fund's</i> assets (	(by value) was valued by a <i>person</i> , such as an admini	strator, that is not
	rele	,	ed for purposes of investor subs	procedure established for that asset, if any, including scriptions, redemptions or distributions, and fee calcul	0 1
Mar	<u>kete</u>	<u>rs</u>			Yes No
28.	(a)	Does the <i>private fund</i> use the services	s of someone other than you or	your employees for marketing purposes?	0 0
		similar <i>person</i> . If the answer to question	on 28.(a) is "yes," respond to q	nt, consultant, finder, introducer, municipal advisor or questions (b) through (g) below for each such markete plete questions (b) through (g) separately for each markete	er the <i>private fund</i>
			No Info	ormation Filed	
A. PF	RIVAT	E FUND			
		ion About the <i>Private Fund</i>			
1.		Name of the <i>private fund</i> :			
		RMB REAL ESTATE OPPORTUNITIES QF Private fund identification number:	LLC - SERIES 3		

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

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

(include the "805-" prefix also)

805-8587281127

identifier (if any)

Name of General Partner, Manager, Trustee, or Director		
CURI CAPITAL LLC		
(b) If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> .		
No Information Filed		
The <i>private fund</i> (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		
List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.		
No Information Filed		
	Yes	Nc
(a) Is this a "master fund" in a master-feeder arrangement?	$\circ$	⊙
(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?		
No Information Filed		
	Yes	Nc
(c) Is this a "feeder fund" in a master-feeder arrangement?	0	•
(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> :		
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	7.B.(	1)
for the master-feeder arrangement or reporting on the funds separately.		
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for		
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	each	n of
for the master-feeder arrangement or reporting on the funds separately.  If you are filling a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	each of th ssue	n of
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	each	n of
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment.	each of th ssue	n of d No
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.  (b) If yes, does the private fund invest in funds managed by you or by a related person?	of th	n of neir d No
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.  (b) If yes, does the private fund invest in funds managed by you or by a related person?	each of th ssue Yes ©	n of No O
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.  (b) If yes, does the private fund invest in funds managed by you or by a related person?  During your last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment	each of th ssue Yes  C	n of No O
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.  (b) If yes, does the private fund invest in funds managed by you or by a related person?  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.)?	each of th ssue Yes O Yes	n of No O No
for the master-feeder arrangement or reporting on the funds separately.  If you are filing a single Schedule D. Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for 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 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 is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.  (a) Is this private fund a "fund of funds"?  NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies.  (b) If yes, does the private fund invest in funds managed by you or by a related person?  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.)?	each of th ssue Yes O Yes	n of No O No

Country: United States

State:

\$ 24,908,159

Delaware

<u>Ow</u>	<u>nership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :  \$ 250,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	<i>:</i>	
13.	Approximate number of the <i>private fund's</i> beneficial owners:  67		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 0%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes	No.
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
You	ur Advisory Services		
17	(a) Are you a subadviser to this <i>private fund</i> ?	Yes	
17.	<ul><li>(a) Are you a subadviser to this <i>private rund</i>?</li><li>(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i>. If the answer question 17.(a) is "no," leave this question blank.</li></ul>	_	⊙
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	_	•
	(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	⊙	0
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?  2%		
Priv	vate Offering	W	<b>N</b> I -
21.	Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Yes ©	O
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number		
	021-395250		
B. SI	ERVICE PROVIDERS		
Auc	<u>ditors</u>		
23	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Yes	_
20.	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	⊙ ⊙	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.		
	Additional Auditor Information : 1 Record(s) Filed.		

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one

	auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm:		
	DELOITTE & TOUCHE LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
	City: State: Country:		
	CHICAGO IIlinois United States		
			No
	(d) Is the auditing firm an independent public accountant?	⊙	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number:  34		
	(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
		Y	es No
(g	) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	(	• o
(h	) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualifie	d opini	ons?
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	rt is ava	ailable.
Prime	<u>Broker</u>	Υ	es No
24. (a	) Does the <i>private fund</i> use one or more prime brokers?		0 0
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. I	f the <i>pi</i>	rivate
	fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	No Information Filed		
Custod	<u>dian</u>	v	es No
25. (a	) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?		0 0
	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.		
	No Information Filed		
Admin	<u>istrator</u>		
24 /-	). Does the private fundues an administrator other than your firm?		es No
26. (a	) Does the <i>private fund</i> use an administrator other than your firm?  If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one admin must complete questions (b) through (f) separately for each administrator.		<b>⊙</b> C r, you
	Additional Administrator Information : 1 Record(s) Filed.		
	If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.		
			11
	(b) Name of administrator:  NAV CONSULTING INC.		

		(c)	Location of administrator	(city, state and country):		
			City:	State:	Country:	
			OAK BROOK	Illinois	United States	
					Ye	es No
		(d)	Is the administrator a rel	ated person of your firm?	0	•
		(0)	Doos the administrator n	ronare and cond investor asseur	nt statements to the <i>private fund's</i> investors?	
		(e)	•	•	me but not all investors) \(\int\) No (provided to no investors)	
			• res (provided to all lin	estors) O some (brovided to some	The but flot all lifestors) One (provided to no lifestors)	
		(f)	·		ends the investor account statements to the (rest of the) private fund's the (rest of the) private fund's investors, respond "not applicable."	5
2	youi 100	r <i>relat</i> %	ed person?		sets (by value) was valued by a <i>person</i> , such as an administrator, that	
	rele	vant d	-	ion used for purposes of investor	ration procedure established for that asset, if any, including obtaining a subscriptions, redemptions or distributions, and fee calculations (included)	•
<u>N</u>	<u>larkete</u>	<u>ers</u>				
	0 ()	5				Yes No
2	8. (a)				ou or your employees for marketing purposes?	$\circ$
		simila	r person. If the answer to	question 28.(a) is "yes," respond	t agent, consultant, finder, introducer, municipal advisor or other solicited to questions (b) through (g) below for each such marketer the <i>private</i> complete questions (b) through (g) separately for each marketer.	
			,	,		
				No	o Information Filed	
				Funds per Page	: 15 🔻 Total Funds: 13	
				- Lundo por 1 ago		
SEC	TION 7	7.B.(2	) <i>Private Fund</i> Reporting	1		
		(_	, , , , , , , , , , , , , , , , , , ,	,		
				No Inf	formation Filed	
ter	n 8 Par	ticipa	tion or Interest in <i>Client</i>	Transactions		
con	flicts of	inter		u and your <i>clients</i> . Newly-formed	n your <i>clients</i> ' transactions. This information identifies additional areas I advisers should base responses to these questions on the types of pa	
Lik€	e Item 7	7, Iten	n 8 requires you to provide	e information about you and your	related persons, including foreign affiliates.	
Pro	prietar	v Inte	erest in <i>Client</i> Transaction	ns		
	-		ny <i>related person</i> :			Yes No
	•		•	dvisory <i>clients</i> , or sell securities	you own to advisory <i>clients</i> (principal transactions)?	0.0
		•	•		nds) that you also recommend to advisory clients?	0 0
		,		•	clients in which you or any related person has some other proprietary	0 0
				those mentioned in Items 8.A.(1)		0 0
Sal	es Inte	erest i	n <i>Client</i> Transactions			
			ny <i>related person</i> :			Yes No
			· ·	representative of a broker-deale	r, execute securities trades for brokerage customers in which advisory er (agency cross transactions)?	0 0
			•	r act as a purchaser representat erves as underwriter or general	ive for advisory <i>clients</i> with respect to, the purchase of securities for or managing partner?	⊙ ೧
	(3) re	ecomr	mend purchase or sale of seipt of sales commissions	securities to advisory <i>clients</i> for w	which you or any related person has any other sales interest (other than	0 0

Investment or Brokerage Discretion

	(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 <i>client's</i> securities transactions?	•	0
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 <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	•	0
	(2)	If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" unde section 28(e) of the Securities Exchange Act of 1934?	•	0
Н.	(1)	Do you or any related person, directly or indirectly, compensate any person that is not an employee for client referrals?	•	0
	(2)	Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?	•	
1.		you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any relaterson) for client referrals?	d O	•
	In y	your response to Item 8.I., do not include the regular salary you pay to an employee.		
	fron	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 m (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 amou errals.		
Ite	n 9 C	Custody		
In	this It	tem, we ask you whether you or a <i>related person</i> has <i>custody</i> of <i>client</i> (other than <i>clients</i> that are investment companies registered under ent Company Act of 1940) assets and about your custodial practices.	:he	
Α.		Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	s No
	( )	(a) cash or bank accounts?	•	
		(b) securities?		0
	dire	rou 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 advice ectly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, by The 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 <i>client</i> funds and securities and total number of <i>clients</i> f you have <i>custody</i> :	or whic	ch
		U.S. Dollar Amount Total Number of <i>Clients</i>		
		(a) \$ 7,175,921,642 (b) 3,879		
	incli coni	rou are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' account 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 at an ection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to tead, include that information in your response to Item 9.B.(2).	ssets ir	7
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	s No
		(a) cash or bank accounts?	•	0
		(b) securities?	•	0
	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 <i>client</i> funds and securities and total number of <i>clients</i> f your <i>related persons</i> have <i>custody</i> :	or whic	h
		U.S. Dollar Amount Total Number of <i>Clients</i>		
		(a) \$ 25,318,978 (b) 1		

Yes No

C. Do you or any *related person* have *discretionary authority* to determine the:

	that	apply:			
	(1)	A qualified custodian(s) sends account stateme	ents at least quarterly to the inv	vestors in the pooled investment vehicle(s) you manage.	~
	(2)	An <i>independent public accountant</i> audits annual are distributed to the investors in the pools.	ly the pooled investment vehicle	e(s) that you manage and the audited financial statements	₽
	(3)	An independent public accountant conducts an a	nnual surprise examination of a	lient funds and securities.	V
	(4)	An independent public accountant prepares an in are qualified custodians for client funds and see	·	ect to custodial services when you or your related persons	
	an ii		?), you do not have to list auditor	ntants that are engaged to perform the audit or examination or information in Section 9.C. of Schedule D if you already provide D).	
D.			todians for your <i>clients</i> in conne	ction with advisory services you provide to clients?	Yes No
	(1)	you act as a qualified custodian			0 0
	(2)	your related person(s) act as qualified custodian	n(s)		0 0
	206		•	s (other than any mutual fund transfer agent pursuant to rule you have determined the related person to be operationally inc	
E.	fisca	ou are filing your <i>annual updating amendment</i> an al year, provide the date (MM/YYYY) the examina 2024		e examination by an <i>independent public accountant</i> during you	ur last
F.	-	ou or your <i>related persons</i> have <i>custody</i> of <i>client</i> qualified custodians for your <i>clients</i> in connection		persons, including, but not limited to, you and your related per vide to clients?	<i>rsons,</i> act
poo ind	oled i <i>lepen</i> ) Na			gaged to perform a surprise examination, perform an audit of must complete a separate Schedule D Section 9.C. for each	f a
(2		e location of the <i>independent public accountant's</i>	·	es provided:	
	Nι	umber and Street 1:	Number and Street 2:		
	35	512 EXCEL DRIVE	SUITE 103		
	Ci	ty: State:	Country:	ZIP+4/Postal Code:	
	MI	EDFORD Oregon	United States	97504	
					Yes No
(3	) Is	the <i>independent public accountant</i> registered wit	h the Public Company Accountir	g Oversight Board?	<ul><li>⊙</li><li>○</li></ul>
	If "	'yes," Public Company Accounting Oversight Boa 83	ard-Assigned Number:		
(4		'yes" to (3) above, is the <i>independent public acce</i> cordance with its rules?	ountant subject to regular inspec	ction by the Public Company Accounting Oversight Board in	• o
(5	) The	e independent public accountant is engaged to:			
	В. І	<ul><li>□ audit a pooled investment vehicle</li><li>☑ perform a surprise examination of <i>clients'</i> ass</li><li>□ prepare an internal control report</li></ul>	ets		
(6		nce your last <i>annual updating amendment</i> , did all nicle or that examined internal controls contain		independent public accountant that audited the pooled invest	ment
	0	Yes			
		No			
		Report Not Yet Received			
	If yo	u check "Report Not Yet Received", you must pror	mptly file an amendment to your	Form ADV to update your response when the accountant's repo	ort is
		able.			

(1)	Name of the <i>independent publ</i> BDO USA, LLP	ic accountant:				
(2)	The location of the <i>independe</i>	nt public accountant's c	office responsible for the services pr	rovided:		
. ,	Number and Street 1:	,	Number and Street 2:			
	330 N WABASH AVENUE		Marrison and Gireot 2.			
	City:	State:	Country:	ZIP+4/Postal Code:		
	CHICAGO	Illinois	United States	60611		
					Yes	Nc
(3)	Is the independent public acco	<i>untant</i> registered with	the Public Company Accounting Ov	versight Board?	•	0
	If "yes," Public Company Acco	ounting Oversight Boar	rd-Assigned Number:			
(4)	If "yes" to (3) above, is the <i>ir</i> accordance with its rules?	ndependent public acco	untant subject to regular inspection	by the Public Company Accounting Oversight Board in	า ⊚	0
(5)	The independent public account  A.	nt vehicle ination of <i>clients'</i> asse	ets			
(6)	Since your last annual updating vehicle or that examined inter			pendent public accountant that audited the pooled inve	estment	t
	• Yes					
	O No					
	C Report Not Yet Received					
	•	reived", you must prom	ptly file an amendment to your Form	ADV to update your response when the accountant's re	eport is	
	Name of the <i>independent publi</i> DELOITTE & TOUCHE					
(2)	The location of the independent	nt public accountant's c	office responsible for the services pr	rovided:		
	Number and Street 1: 111 S. WACKER DRIVE		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	CHICAGO	Illinois	United States	60606		
(3)	Is the independent public acco	<i>untant</i> registered with	the Public Company Accounting Ov	versight Board?	Yes ©	No O
	If "yes," Public Company Acco	ounting Oversight Boar	d-Assigned Number:			
(4)		ndependent public acco	untant subject to regular inspection	by the Public Company Accounting Oversight Board in	∩ ⊙	0
(5)	The independent public account  A.	nt vehicle ination of <i>clients'</i> asse	ets			
(6)	Since your last annual updating vehicle or that examined interest of Yes			pendent public accountant that audited the pooled inve	estment	t
	O No					
	Report Not Yet Received			4004		
	f you check "Report Not Yet Red available.	eivea", you must prom	ιρτιγ τιιe an amendment to your Form	ADV to update your response when the accountant's re	port is	

(1)	Name of the <i>independent p</i> FORVIS MAZARS, LLP	public accountant:				
(2)	The location of the indeper	ndent public accountant's office	responsible for the services provided:			
	Number and Street 1:		Number and Street 2:			
	1003 RED BANKS ROAD		0	715 4/5 1 1 0 1		
	City: GREENVILLE	State: North Carolina	Country: United States	ZIP+4/Postal Code:		
	GREENVILLE	NOI III Carollila	United States	27858	.,	
(3)	Is the independent public a	ccountant registered with the	Public Company Accounting Oversight	Board?	ves ⊙	No O
	If "yes," Public Company A 686	accounting Oversight Board-As	signed Number:			
(4)	If "yes" to (3) above, is th accordance with its rules?	e independent public accountar	nt subject to regular inspection by the F	Public Company Accounting Oversight Board in	•	0
(5)	The independent public acc  A.	ment vehicle camination of <i>clients'</i> assets				
(6)	·	ating amendment, did all of the nternal controls contain unqua		public accountant that audited the pooled inve	stmer	nt
	• Yes					
	C No					
	C Report Not Yet Receive	d				
	f you check "Report Not Yet available.	Received", you must promptly i	file an amendment to your Form ADV to	update your response when the accountant's re	port is	
(1)	Name of the <i>independent p</i> RSM LLP	public accountant:				
(2)	The location of the indepen	ndent public accountant's office	responsible for the services provided:			
	Number and Street 1:		Number and Stre	eet 2:		
	ONE SOUTH WACKER DRI'	VE STE. 800				
	City:	State:	Country:	ZIP+4/Postal Code:		
	CHICAGO	Illinois	United States	60606		
					Yes	No
(3)	Is the independent public a	ccountant registered with the	Public Company Accounting Oversight	Board?	•	0
	If "yes," Public Company A	accounting Oversight Board-As	ssigned Number:			
(4)	If "yes" to (3) above, is th accordance with its rules?	e independent public accountar	nt subject to regular inspection by the F	Public Company Accounting Oversight Board in	•	0
(5)	The independent public acc  A. □ audit a pooled invest  B. ☑ perform a surprise ex  C. □ prepare an internal company in the surprise of the s	ment vehicle camination of <i>clients'</i> assets				
(6)	vehicle or that examined in	ating amendment, did all of the nternal controls contain unqua		public accountant that audited the pooled inve	stmer	nt
	O Yes					
	O No					
	C Report Not Yet Receive					
	f you check "Report Not Yet available.	Received", you must promptly i	file an amendment to your Form ADV to	update your response when the accountant's re	port is	

	this Item, we ask you to identify every <i>person</i> that, directly or indirectly, controls you. If you are filing an umbrella registration, the information in I uld be provided for the filing adviser only.	tem 1	0
and	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. If this is an amendment and you are updating information you reither Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C.	report	ed
A.	Does any <i>person</i> not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies?		s No
	If yes, complete Section 10.A. of Schedule D.		
B.	If any <i>person</i> 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 Schedule Act of 1934, please complete Section 10.B. of Schedule D.	ecuriti	ies
SEC	TION 10.A. Control Persons		
	No Information Filed		
SEC	TION 10.B. <i>Control Person</i> Public Reporting Companies		
	No Information Filed		
Iter	n 11 Disclosure Information		
det inve one	this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information the ermine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities estment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to e of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the filing adviser and all relying advisers brella registration.	as an more	than
of y	or advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar function your officers, partners, or directors (or any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlle ou are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your advisory affiliates are	ed by y	
follo disc calc	ou 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 bowing 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 you closure 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 pure culating 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 prefers, judgments, or decrees lapsed.	our rposes	s of
You	must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.		
Do	any of the events below involve you or any of your supervised persons?		s No
		0	•
<u>FOI</u> A.	"yes" answers to the following questions, complete a Criminal Action DRP:  In the past ten years, have you or any <i>advisory affiliate</i> :	Ves	s No
,	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?	0	•
	(2) been <i>charged</i> with any <i>felony</i> ?	0	•
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2, charges that are currently pending.	) to	
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 <i>misdemeanor</i> involving: investments or an <i>investment-related</i> 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?	0	•
	(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	0	•
	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, charges that are currently pending.	) to	
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	$\odot$
	(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denies suspended, revoked, or restricted?	ed, C	•
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	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 activi	ity? o	•
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	$\odot$
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	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?	0	•
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	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?	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?	0	⊙
	(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 de suspended, revoked, or restricted?	enied, O	•
	(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities?	you 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?	0	•
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	•
	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?	0	⊙
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	⊙
	(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate a state or foreign financial regulatory authority?	e by O	•
	(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)?	0	•
ter	12 Small Businesses		
	EC 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 define you meet the definition of "small business" or "small organization" under rule 0-7.	termine	
Ans und curi	er this Item 12 only if you are registered or registering with the SEC <b>and</b> you indicated in response to Item 5.F.(2)(c) that you have regular 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 advise not state registration, or switching from SEC to state registration.  Security of this Item 12 only:	•	
. 01	arposes of this from 12 only.		

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of clients. In determining your or another person's total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent

	or more of the profits, of another <i>person</i> is presumed to <i>control</i> the other <i>person</i> .		
		Yes No	o
١.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0 0	)

If "yes," you do not need to answer Items 12.B. and 12.C.

(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?

(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?

- 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?
- $\circ$ 0 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?

# 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 is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
  - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act); Direct owners include any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-inlaw, 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, <u>all</u> 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? O 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 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	DE/FE/I	Title or Status		· •	Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)			MM/YYYY	code	r ei soii		Employer ID No.
BURRIDGE, RICHARD, MCFARLAND	I	EXECUTIVE CHAIRMAN & CHIEF INVESTMENT OFFICER	01/2024	NA	Υ	N	1365954
HARB, MAHER, ABRAHIM	1	CHIEF FINANCIAL OFFICER	01/2010	NA	Υ	N	2279434
RMB CAPITAL HOLDINGS, LLC	DE	MEMBER	01/2024	С	Υ	N	
GRAFF, CHRISTOPHER, MICHAEL	I	CHIEF INVESTMENT STRATEGIST & CHIEF OPERATING OFFICER	04/2018	NA	Υ	N	3180553
McDermott, Joseph	I	CHIEF COMPLIANCE OFFICER & CHIEF RISK OFFICER	10/2022	NA	Υ	N	4146135
BECHTER, DONALD, ALLEN	1	PRESIDENT	01/2024	NA	Υ	N	2295881
ELIOPOULOS, DIMITRI, PETER	1	CHIEF EXECUTIVE OFFICER	01/2024	NA	Υ	N	4444610
CURI CAPITAL HOLDINGS, LLC	DE	MEMBER	01/2024	D	Υ	N	

## Schedule B

#### **Indirect Owners**

- 1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;
    - For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
  - (b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon

- dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/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 are: C 25% but less than 50% E 75% or more
  - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under 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	DE/FE/I	Entity in Which Interest is Owned	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)				MM/YYYY				Employer ID No.
BURRIDGE, RICHARD, MCFARLAND	I	RICHARD M.	VOTING	01/2024	F	Υ	N	1365954
		BURRIDGE, JR. 2023	CONTROL					
		FAMILY TRUST	MANAGER					
MMIC INVESTMENT HOLDINGS, INC.	DE	CURI CAPITAL	MEMBER	06/2019	E	Υ	N	
		HOLDINGS, LLC						
CURI HOLDINGS, INC.	DE	MMIC INVESTMENT	MEMBER	06/2019	E	Υ	N	
		HOLDINGS, INC.						
RICHARD M. BURRIDGE, JR. 2023	DE	RMB CAPITAL	MAJORITY	01/2024	С	N	N	xxx-xx-xxxx
FAMILY TRUST		HOLDINGS, LLC	OWNER					

#### Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

With respect to the reporting of the private funds, please note that the RAUM and private fund information for the RMB Fixed Income Opportunities QP LLC Series 1, the RMB Japan Opportunities Fund, LP, and the Outstanding Business LP is as of 12/31/2024. As of the date of this filing, the most current accounting that has been completed for the other private funds (RMB Private Investment Opportunities LLC Series 1, RMB Private Investment Opportunities LLC Series 2, RMB Private Equity Opportunities QP LLC - Series 1, RMB Private Equity Opportunities QP LLC - Series 2, RMB Private Equity Opportunities QP LLC - Series 3, RMB Private Equity Opportunities QP LLC - Series 4, RMB Real Estate Opportunities QP LLC - Series 1, RMB Real Estate Opportunities QP LLC - Series 2, RMB Real Estate Opportunities QP LLC - Series 3, and the Curi Capital Real Estate Income and Growth Fund 1, LP) is as of 9/30/2024.

## Schedule R

No Information Filed

## DRP Pages

# CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

## REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

## CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

#### Part 2

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

 $\circ$ 

Are you exempt from delivering a brochure to all of your clients under these rules?

Amend, retire or file new brochures:

If no, complete the ADV Part 2 filing below.

Brochure ID	Brochure Name	Brochure Type(s)
413244	MARCH 2025 FORM ADV PART 2A CURI	Individuals, High net worth individuals, Pension
	RMB CAPITAL, LLC	plans/profit sharing plans, Pension consulting,
		Foundations/charities, Other institutional, Private
		funds or pools, Financial Planning Services, Selection
		of Other Advisers/Solicitors
417053	JULY 2025 FORM ADV PART 2A CURI	Individuals, High net worth individuals, Pension
	RMB CAPITAL, LLC	plans/profit sharing plans, Pension consulting,
		Foundations/charities, Other institutional, Private
		funds or pools, Financial Planning Services, Selection
		of Other Advisers/Solicitors

Part 3			
CRS	Type(s)	Affiliate Info	Retire
	Investment Advisor		

## **Execution Pages**

## DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

## Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your principal office and place of business and any other state in which you are submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your principal office and place of business or of any state in which you are submitting a notice filing.

## Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the 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: JOSEPH MCDERMOTT 07/01/2025 Printed Name:

JOSEPH MCDERMOTT CHIEF COMPLIANCE OFFICER AND CHIEF RISK OFFICER

Adviser CRD Number:

134249

## 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 power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

## 3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

## Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY

Printed Name: Title:

Adviser CRD Number:

134249