# Capital Link 17th Annual Closed-End Funds and Global ETFs Forum

Thursday, May 17, 2018 New York City



# Alpha-Seeking Themes Income-Focused Solutions





YYY
High Income

BLOK
Transformational
Data Sharing
ETF

DIVO
Dividend +
Option Income
ETF

YESR
Senior Loan
and Income
ETF

Carefully consider the Funds' investment objectives, risk factors, charges, and expenses before investing. This and additional information can be found in Amplify Funds' statutory and summary prospectus, which may be obtained by calling 855-267-3837, or by visiting AmplifyETFs.com. For YYY's full or summary prospectus please visit YieldShares.com. Read the prospectus carefully before investing.

Investing involves risk, including the possible loss of principal. An investment in the Funds is not a deposit of a bank and is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other governmental agency. There can be no assurance that the Funds' investment objectives will be achieved. Shares of any ETF are bought and sold at market price (not NAV), may trade at a discount or premium to NAV and are not individually redeemed from the Fund. Brokerage commissions will reduce returns.

Amplify ETFs are distributed by Quasar Distributors LLC. The YieldShares High Income ETF (YYY) is distributed by SEI Investments Distribution Co. (1 Freedom Valley Drive, Oaks, PA 19456), which is not affiliated with Quasar Distributors LLC.

Alpha is a measure of performance on a risk-adjusted basis.



With our 17-year track record, Capital Link's Forum facilitates an effective interaction among a diversified audience, including fund sponsors, buy and sell side specialists, institutional investors, financial advisors, RIAs and wealth management professionals, other industry specialists and of course the financial press and media.

Our aim is to provide advisors and investors with an update of how they can pursue a wide range of investment strategies using CEFs and ETFs, which are complementary investment products. Our Forum features different industry roundtables on CEFs, ETFs, MLPs, and BDCs discussing topics of interest for these markets. For the first time this year we also include a panel on Crypto Currencies and Blockchain. And of course, we review the broader economic and investment landscape. We are gratified that Mr. John Stoltzfus, Managing Director, Chief Investment Strategist, Oppenheimer Asset

Management Inc. will deliver the Luncheon Keynote Address.

We express our appreciation to our sponsors and participants whose support and active participation has enabled us to deliver, year after year, a quality event that is viewed as a uniquely powerful and effective educational, informational, and marketing forum with exceptional networking opportunities. It is one of the most anticipated industry events every year.

Our long-established relationship with stock exchanges, financial analysts, major brokerage firms, and financial advisors as well as our partnership with major financial media publications, ensure a Forum agenda that covers leading—edge thought leadership on the latest and most interesting topics. It also ensures attendance by a large and high caliber investor group.

Capital Link organizes annually 12-14 investment conferences in key financial and industry centers around the world including New York, London, Athens, Limassol, Shanghai and Singapore. All of our events are known for their rich informational content coupled with unique marketing and networking opportunities.

In the context of our global conference portfolio, Capital Link has made a strategic commitment to raise visibility for CEFs and ETFs to a wider audience. We established a unique platform that also includes our conferences, websites, interviews, webinars, podcasts, market reports and newsletters. We are now working on enhancing our digital platform to provide the latest in fund commentary and analysis and information is contributed by some of the leading analysts, find sponsors, portfolio managers and other experts. Our webinar and podcasts series (http://webinars.capitallink.com) provide presentations on CEF and ETF topics from leading industry experts and fund sponsors on a regular basis.

A testimony to the success of our Forum is not only the attendance track record, but also the enduring relationships we have built and maintained with CEF and ETF analysts and CEF and ETF sponsors, who continue to participate in our Forum every year and who significantly contribute to its success. We would also like to offer exceptional thanks to the New York Stock Exchange for their lasting cooperation with Capital Link across many areas and sectors. We additionally express sincere thanks and appreciation to the media partners whose participation has led to the success of this Forum series.

Sincerely, Nicolas Bornozis President Capital Link, Inc.







8:30 AM – 8:55 AM	REGISTRATION					
MORNING SESSIONS - WEST LOUNGE – 1 <sup>ST</sup> FLOOR						
8:55 AM – 9:00 AM	Welcome Remarks	Nicolas Bornozis, President & CEO – Capital Link, Inc.				
9:00 AM – 9:40 AM	Where is the value in CEFs today?	Moderator: Mariana F. Bush, CFA, CEF & ETP Research - Wells Fargo Investment Institute  Panelists:  Rennie McConnochie, Global Head of Banks - Aberdeen Standard Investments  Douglas Bond, Executive Vice President – Cohen & Steers  Jeff Margolin, Senior Vice President - First Trust				
9:40 AM – 10:20 AM	Alternative Income Generation Strategies	Portfolios  Moderator: Alex Reiss, Director – Stifel  Panelists:  Barry Nelson, Partner – Advent Capital Management, LLC  Evan Serton, Senior Vice President – Cohen & Steers  Ken Fincher, Senior Vice President, Portfolio Manager – First Trust  Mike Taggart, Vice President, Director of Closed- End Fund Research – Nuveen Investments				
10:20 AM – 10:40 AM	Investment Opportunities in	Eoin Fahy, Chief Economist, Investment Strategist - KBI				
10.20 AIVI - 10.70 AIVI	Ireland	Global Investors Ltd				
10:40 AM – 11:00 AM		COFFEE BREAK				
11:00 AM – 11:40 AM	ETF Industry Roundtable	<ul> <li>Moderator:         <ul> <li>Tom Champion, Director - NYSE</li> </ul> </li> <li>Panelists:         <ul> <li>Deborah Fuhr, Managing Partner - ETFGI LLP</li> </ul> </li> <li>Mike Cronan, President of Marketing         <ul> <li>Services - Exchange Traded Concepts</li> </ul> </li> <li>Jennifer Kim, Sr. ETF Capital Markets Relationship         <ul> <li>Manager - Invesco</li> </ul> </li> <li>Jeremie Capron, Director of Research &amp; Managing         <ul> <li>Partner - Robo Global</li> </ul> </li> </ul>				

11:40 AM – 12:10 PM	How Disruptive Technology is Changing the Future of Investing  Thematic investing is shifting the way the new generations of investors are building portfolios  New technologies are impacting the way that we as global consumers interact	Taylor Ames, Vice President, Product Strategies - ALPS Distributors, Inc.		
	Companies at the forefront of innovation, those that are disrupting the status quo, may provide significant growth opportunities			
12:25 PM – 1:30 PM		rector, Chief Investment Strategist, Oppenheimer Asset Management Inc.		
	AFTERNOON SESSIONS - W	/EST LOUNGE – 1 <sup>ST</sup> FLOOR		
1:45 PM – 2:20 PM	Use of Leverage in CEFs	<ul> <li>Moderator:</li> <li>Greg Fayvilevich, Senior Director - Fitch Ratings</li> <li>Panelists:</li> <li>Curtis Halloway, Senior Vice President, Head of Fund Administration, CFO and Treasurer - Calamos Investments</li> <li>Brian Knudsen, Associate Director - Fitch Ratings</li> <li>Andrew Hanson, Managing Director - Morgan Stanley</li> <li>Steve Nelli, Managing Director - Wells Fargo Securities</li> </ul>		
2:20 PM – 3:00 PM	CEFs – Addressing the Primary & Secondary Markets Challenges	<ul> <li>Moderator:         Allison Fumai, Partner - Dechert LLP     </li> <li>Panelists:         <ul> <li>Robert F. Bush, Jr., Senior Vice President – Calamos Investments</li> <li>Michael Occi, Executive Director, Global Capital Markets – Morgan Stanley</li> <li>Gaston Yordan, Managing Director, Product Development – Nuveen Investments</li> <li>Steven A. Baffico, Managing Partner &amp; Chief Executive Office – Four Wood Capital Partners L.L.C</li> <li>Jerry Raio, Managing Director – Wells Fargo Securities</li> </ul> </li> </ul>		

3:00 PM – 3:40 PM	BDCs – Financing America's Growth	Moderator: Rich Kendrick, Co-Head of Equity Capital Markets and Senior Managing Director – Stifel  Panelists: Raj Shrestha, SVP of Finance – Newtek Business Services Corp. Arthur Howard Penn, Chairman, CEO and Founder - PennantPark Investment Corporation
3:40 PM – 4:20 PM	MLP Industry Roundtable	Moderator: Michael Jabara, Managing Director and Head of ETF and Closed-End Fund Research - Morgan Stanley Wealth Management  Panelists: Ganesh V. Jois, CFA, Managing Director, Portfolio Manager, Energy & Infrastructure - Goldman Sachs Asset Management Jay Hatfield, Co-founder and CEO - Infrastructure Capital Advisors Brian Sulley, CFA, Client Portfolio Manager - Tortoise
4:20 PM – 5:00 PM	Crypto Currency/Blockchain Roundtable	Moderator: Douglas Yones, Head of Exchange Traded Products - NYSE  Panelists: Christian Magoon, Founder & CEO - Amplify ETFs Michael Sonnenheim, Managing Director - Grayscale Investments Matt Markiewicz, Managing Director - Innovation Shares Jan van Eck, President and CEO – Van Eck Associates Corporation
5:00 PM - 6:00 PM		COCKTAIL RECEPTION



# Open your world to closed-end funds

As a leading global asset manager, Aberdeen Standard Investments is dedicated to creating long-term value for our clients. Whether you're searching for income, diversification, or exposure to some of the world's fastest growing economies, discover how our range of closed-end funds can help meet your individual investment needs.

Get closer to opportunity at cef.aberdeen-asset.us

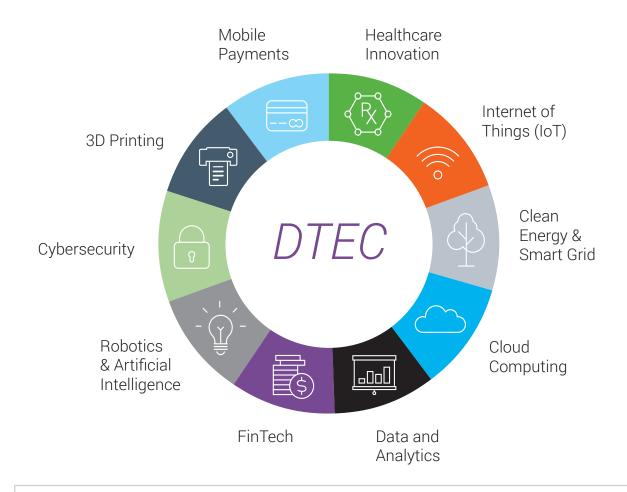
International investing entails special risk considerations, including currency fluctuations, lower liquidity, economic and political risks, and differences in accounting methods; these risks are generally heightened for emerging market investments. Closed-end funds are traded on the secondary market through one of the stock exchanges. The Fund's investment return and principal value will fluctuate so that an investor's shares may be worth more or less than the original cost. Shares of closed-end funds may trade above (a premium) or below (a discount) the net asset value (NAV) of the Fund. The net asset value (NAV) is the value of an entity's assets less the value of its liabilities. The market price is the current price at which an asset can be bought or sold. There is no assurance that the Fund will achieve its investment objective. PAST PERFORMANCE DOES NOT GUARANTEE FUTURE RESULTS. Diversification does not ensure a profit or protect against a loss in a declining market.



Aberdeen Standard Investments is a brand of the investment businesses of Aberdeen Asset Management and Standard Life Investments.

### INNOVATION FOR ENHANCING PORTFOLIO CONSTRUCTION

The ALPS Disruptive Technologies ETF - Ten Disruptive Themes in one ETF



ALPS Portfolio Solutions is a pioneer in developing nontraditional assets and high conviction strategies which, by design, complement existing holdings to help optimize portfolio returns. Our ETF suite is uniquely focused on real assets, factor strategies and thematic investing to help investors and advisors build better portfolios.

An investor should consider the investment objectives, risks, charges and expenses carefully before investing. To obtain a prospectus which contain this and other information call 1.866.759.5679 or visit www.alpsfunds.com. Read the prospectus carefully before investing.

ALPS Disruptive Technologies ETF Shares are not individually redeemable. Investors buy and sell shares of the ALPS Disruptive Technologies ETF on a secondary market. Only market makers or "authorized participants" may trade directly with the Fund, typically in blocks of 50,000 shares.

There are risks involved with investing in ETFs including the loss of money. Additional information regarding the risks of this investment is available in the prospectus.

Companies that the Index Provider believes are developing disruptive technologies may not in fact do so or may not be able to capitalize on those

technologies. Companies that develop disruptive technologies may face political, legal or regulatory challenges. Such companies may also be exposed to risks applicable to industries or sectors other than the disruptive technology Theme for which they are chosen and may under perform relative to other companies that are also focused on a particular Theme.

The fund is new and has limited operating history.

An investment in the Fund is subject to investment risk including the possible loss of the entire principal amount that you invest.

ALPS Portfolio Solutions Distributor, Inc. is the distributor for the ALPS Disruptive Technologies ETF.

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### IN COOPERATION WITH



**Intercontinental Exchange (NYSE:ICE)** is a Fortune 500 company that operates a leading network of global futures, equity and equity options exchanges, as well as global clearing and data services across financial and commodity markets. The New York Stock Exchange is the world leader in capital raising, listings and equities trading.

Trademarks of ICE and/or its affiliates include Intercontinental Exchange, ICE, ICE block design, NYSE and New York Stock Exchange. Information regarding additional trademarks and intellectual property rights of Intercontinental Exchange, Inc. and/or its affiliates is located at http://www.intercontinentalexchange.com/terms-of-use. Key Information Documents for certain products covered by the EU Packaged Retail and Insurance-based Investment Products Regulation can be accessed on the relevant exchange website under the heading "Key information Documents (KIDS)".

To learn more, visit www.nyse.com and www.intercontinentalexchange.com

### **EVENT SPONSORS**

### Aberdeen Standard

**Aberdeen Standard Investments** is a leading global asset manager dedicated to helping investors around the world reach their desired investment goals and broaden their financial horizons.

We provide expertise across a breadth of markets, asset classes and investment approaches. Approximately 1,000 dedicated investment professionals are located globally, close to our clients and the markets where we invest. Additionally, 500 client specialists work closely with investors and advisors to understand our clients' needs and deliver world class investment solutions.

As of December 31, 2017, we manage \$779 billion on behalf of governments, pension funds, insurers, companies, charities, foundations and individuals in 80 countries.

Aberdeen Standard Investments is a brand of the investment businesses of Aberdeen Asset Management and Standard Life Investments



**ALPS Portfolio Solutions** is a pioneer in developing nontraditional assets and high conviction strategies which, by design, complement existing holdings to optimize portfolio returns. ALPS is a wholly-owned subsidiary of DST Systems, Inc.



**Amplify ETFs,** sponsored by Amplify Investments, has over \$690 million in assets across ETFs for which it is Adviser or Sub-Adviser (as of 4/30/2018). Amplify believes the ETF structure empowers investors through efficiency, transparency and flexibility. Founded in 2016, Amplify seeks to build ETFs powered by investment strategies from leading index providers and asset managers within unique market segments. Amplify is also the sponsor of YieldShares, a brand of income-oriented ETFs.

### $CALAMOS^{\circ}$

Calamos Investments is a diversified global investment firm offering innovative investment strategies including U.S. growth equity, global equity, convertible, multiasset and alternatives. The firm offers strategies through separately managed portfolios, mutual funds, closed-end funds, private funds, and UCITS funds. Clients include major corporations, pension funds, endowments, foundations and individuals, as well as the financial advisors and consultants who serve them. Headquartered in the Chicago metropolitan area, the firm also has offices in London, New York, Miami and San Francisco. For more information, please visit www. calamos.com.

# A YEAR IN THE LIFE OF DOUBLE OF DOUB

A view of this historically growing trend in the context of the Amplify Online Retail ETF – (Nasdaq: IBUY)

### TOP GLOBAL ONLINE SHOPPING DAYS OF THE YEAR

JAN (FEB

MAR

APR

JUI

JUL

AUG

SE

OC

NO

[

VALENTINE'S DAY

27% shopped online, representing \$4.9 billion (2017)<sup>1</sup> **MOTHER'S DAY** 

29% of the \$20.7 billion spent on Mother's Day is online, or \$6 billion.<sup>2</sup>

### SINGLES DAY

Singles' Day posted a record \$25 billion in sales, representing a 39% YOY increase. 90% of the transactions were done via mobile device.<sup>3</sup>

### BLACK FRIDAY

American shoppers spent a record \$5 billion online on Black Friday, an increase of 17% over last year.<sup>4</sup>

### CYBER MONDAY 2017 marked

the largest

online shopping

day in U.S.

history, reaching

a record \$6.6

billion.4

Amazon had its biggest holiday season ever, signing up 4 million Prime customers in a single week.<sup>5</sup>

**DECEMBER** 

### IBUY ETF PERFORMANCE QUARTER END AS OF MARCH 31st, 2018

	CUMULATIVE (%)					annualized (%)	
		• •					Since
					Inception		Inception
	1 Mo.	3 Mo.	6 Mo.	YTD	(4/20/16)	1 Yr.	(4/20/16)
Fund NAV	-1.19%	10.29%	23.75%	10.29%		52.90%	35.28%
Closing Price	-1.29%	10.27%	23.64%	10.27%	80.32%	52.61%	35.35%

The performance data quoted represents past performance. Past performance does not guarantee future results. The investment return and principal value of an investment will fluctuate so that an investor's shares, when sold or redeemed, may be worth more or less than their original cost and current performance may be lower or higher than the performance quoted. For performance data current to the most recent month-end please call 855-267-3837 or visit http://amplifyetfs.com. Short term performance, in particular, is not a good indication of the fund's future performance, and an investment should not be made based solely on returns. The Fund's gross expense ratio is 0.65%.

With all the negative news surrounding brick-and-mortar retailers, online retail remains the bright spot in the retail sector. IBUY is one of the only pure ways to invest in this sector.



While we believe the growth story of online retail is promising, online retail still makes up less than 10% of all U.S. retail sales. This presents a massive market-share opportunity for online retailers to take advantage of while traditional retailers struggle.



ONLINE: AmplifyETFs.com EMAIL: info@AmplifyETFs.com PHONE: 855-267-3837 (855-AMP-ETFS)

Carefully consider the Funds' investment objectives, risk factors, charges and expenses before investing. This and additional information can be found in the Funds' prospectuses, which may be obtained by calling 855-267-3837. Read the prospectus carefully before investing.

Investing involves risk, including the possible loss of principal. The fund is new with limited operating history. Shares of any ETF are bought and sold at market price (not NAV), may trade at a discount or premium to NAV and are not individually redeemed from the Fund. Brokerage commissions will reduce returns. Narrowly focused investments typically exhibit higher volatility. A portfolio concentrated in a single industry, such as the online retail industry, makes it vulnerable to factors affecting the industry. The Fund may face more risks than if it were diversified broadly over numerous industries or sectors. Investments in consumer discretionary companies are tied closely to the performance of the overall domestic and international economy, interest rates, competition and consumer confidence. Online retail companies are subject to risks of consumer demand and sensitivity to profit margins. Additionally, technology and internet companies are subject to rapidly changing technologies; short product life cycles; fierce competition; aggressive pricing and reduced profit margins; the loss of patent, copyright and trademark protections; cyclical market patterns; evolving industry standards; and frequent new product introductions. Information technology companies may be smaller and less experienced companies, with limited product lines, markets or financial resources and fewer experienced management or marketing personnel. Stocks of many internet companies have exceptionally high price-to-earnings ratios with little or no earnings histories. Information technology company stocks, especially those which are internet related, have experienced extreme price and volume fluctuations that are often unrelated to their operating performance. The Fund is non-diversified, meaning it may concentrate its assets in fewer individual holdings than a diversified fund. Investments in smaller companies tend to have limited liquidity and greater price volatility than large-capitalization companies. Investments in foreign securities i

Amplify ETFs are distributed by Quasar Distributors LLC.

- <sup>1</sup> Source: NRF Valentine's Spending Survey
- <sup>2</sup> Source: bigcommerce.com
- <sup>3</sup> Source: Bloomberg Technology

- <sup>4</sup> Source: Adobe Digital Insights
- <sup>5</sup> Source: CNBC

### COHEN & STEERS

**Cohen & Steers** is a global investment manager specializing in liquid real assets, including real estate securities, listed infrastructure, commodities and natural resource equities, as well as preferred securities and other income solutions. Founded in 1986, the firm is headquartered in New York City, with offices in London, Hong Kong, Tokyo and Seattle.

### Dechert

**Dechert** has one of the largest investment fund practices in the world, with a record of innovation stretching back 40 years. Dechert regularly advises mutual funds, closed-end funds and exchange-traded funds (ETFs) and their investment advisers on issues relating to the development and launch of new funds, ongoing compliance and regulatory matters, mergers, liquidations and restructuring of funds.

Recently named "Best ETF Lawyer" at ETF.com's 5th Annual U.S. Awards Dinner, our 30-plus ETF lawyers represent more than 20 ETF sponsors, comprising a significant percentage of the universe of sponsors competing in the marketplace. We have been at – and remain at – the forefront of the ETF market's development and expansion, and have played an integral role in helping clients form innovative funds and receive novel regulatory relief. We have also helped clients develop innovative closed-end fund structures, including one of the first registered "funds of hedge funds" and the first closed-end fund "structured equity shelf" offering.



**DWS** is one of the world's leading asset managers with more than \$843 billion of assets under management, as of 12/31/17. Building on more than 60 years of experience and a reputation for excellence in Germany and across Europe, DWS aims to be recognized by clients globally as a trusted source for integrated investment solutions, stability and innovation across a full spectrum of investment disciplines.

### **Fitch**Ratings

**Fitch Ratings** is a leading provider of credit ratings, commentary and research. Dedicated to providing value beyond the rating through independent and prospective credit opinions, Fitch Ratings offers global perspectives

shaped by strong local market experience and credit market expertise. The additional context, perspective and insights we provide has helped investors fund a century of growth and make important credit judgments with confidence.



Goldman Sachs Asset Management is one of the world's leading investment managers. With more than 2,000 professionals across 30 offices worldwide, GSAM provides institutional and individual investors with investment and advisory solutions, with strategies spanning asset classes, industries and geographies. Our investment solutions include fixed income, money markets, public equity, commodities, hedge funds, private equity and real estate. Our clients access these solutions through our proprietary strategies, strategic partnerships and our open architecture programs. Our investment teams represent over 650 investment professionals, capitalizing on the market insights, risk management expertise and technology of Goldman Sachs. We help our clients navigate today's dynamic markets and identify the opportunities that shape their portfolios and long-term investment goals. We extend these global capabilities to the world's leading pension plans, sovereign wealth funds, central banks, insurance companies, financial institutions, endowments, foundations, individuals and family offices, for whom we invest or advise on more than \$1 trillion of assets.

The Energy & Infrastructure Team is a dedicated investment team within Goldman Sachs Asset Management (GSAM) that primarily focuses on energy and energy infrastructure investments. The team was established in 2009 and currently oversees over \$8 billion in assets.

\*All figures as of 31-Dec-2017

### GUGGENHEIM

**Guggenheim Investments** is the global asset management and investment advisory division of Guggenheim Partners and manages assets across fixed-income, equity, and alternative strategies. Our 300+ investment professionals perform rigorous fundamental and quantitative research to understand market trends and identify undervalued opportunities. We have an extensive track record of delivering innovative solutions by focusing on the needs of institutional and retail clients across a broad range of investment products and strategies.

### Calamos Closed-End Funds

Income. Total Return. Diversification.

Dynamically invest across a variety of asset classes: convertible bonds, equities, high yield bonds and alternative investments

Focus on striking the optimal balance between risk and reward throughout the full market cycle.

Maintain a level distribution policy with the goal of providing predictable, monthly distributions.

Exceed more than \$7.0 billion in total AUM\*

\*As of 3/31/18

### THE CALAMOS FAMILY OF CLOSED-END FUNDS

Dynamic Convertible and Income Fund (CCD)

Convertible Opportunities and Income Fund (CHI)

Convertible and High Income Fund (CHY)

Global Dynamic Income Fund (CHW)

Strategic Total Return Fund (CSQ)

Global Total Return Fund (CGO)

# C \ L \ M O S \ \ \ I N V F S T M F N T S

Investing in our securities involves certain risks. You could lose some or all of your investment. Investments by the funds in lower-rated securities involve substantial risk of loss and present greater risks than investments in higher rated securities, including less liquidity and increased price sensitivity to changing interest rates and to a deteriorating economic environment. Fixed income securities are subject to interest-rate risk; as interest rates go up, the value of debt securities in the Funds' portfolio generally will decline. There are certain risks associated with an investment in a convertible bond such as default risk—that the company issuing a convertible security may be unable to repay principal and interest—and interest rate risk—that the convertible may decrease in value if interest rates increase. Shares of closed-end funds frequently trade at a market price that is below their net asset value.

Leverage creates risks which may adversely affect return, including the likelihood of greater volatility of net asset value and market price of common shares; and fluctuations in dividend rates on any preferred shares. As a result of political or economic instability in foreign countries, there can be special risks associated with investing in foreign securities, including fluctuations in currency exchange rates, increased price volatility and difficulty obtaining information. In addition, emerging markets may present additional risk due to potential for greater economic and political instability in less developed countries.

Investment policies, management fees and other matters of interest to prospective investors may be found in each closed-end fund prospectus. Information contained herein is for informational purposes only and should not be considered investment advice.

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**Infrastructure Capital Advisors, LLC (ICA)** is an SEC-registered investment advisor that manages exchange traded funds (ETFs) and a series of hedge funds. The firm was formed in 2012 and is based in New York City.

ICA seeks total-return opportunities driven by catalysts, largely in key infrastructure sectors. These sectors include energy, real estate, transportation, industrials and utilities. It often identifies opportunities in entities that are not taxed at the entity level, such as master limited partnerships ("MLPs") and real estate investment trusts ("REITs"). It also looks for opportunities in credit and related securities, such as preferred stocks.

Current income is a primary objective in most of ICA's investing activities. Consequently, the focus is generally on companies that generate and distribute substantial streams of free cash flow. This approach is based on the belief that tangible assets that produce free cash flow have intrinsic values that are unlikely to deteriorate over time.



**The New Ireland Fund, Inc.** is a non-diversified, closedend investment company whose objective is long-term appreciation through investment primarily in equity securities of Irish companies.

Ireland has been one of the strongest growing economies in Europe in recent years while significantly improving its fiscal situation. Companies have benefitted from business-friendly government policies, strong exports to Europe and the U.S. and a highly qualified, competitive work force.

The Fund's investment manager, KBI Global Investors (North America) Ltd., seeks to identify well managed companies with strong economic fundamentals and superior growth characteristics compared to their market valuation.

Under normal circumstances, the Fund will invest at least 80% of its total assets in equity and fixed income securities of Irish companies. To the extent that the balance of the Fund's assets is not so invested, it will have the flexibility to invest the remaining assets in non-Irish companies that are listed on a recognized stock exchange.

### **Schroders**

**Schroders** is a truly global asset management firm with a proud 210-year history and over \$604.7 billion in assets globally (includes assets under management and administration) as of December 31, 2017 with professionals in 41 offices across 27 countries. Schroders provides a full range of actively managed domestic, international and emerging market investment products: from equities to fixed income, and multi-asset to alternatives. Our firm structure and investment philosophy are focused on strengthening the partnership with our clients over the long-term. Schroders offers innovative solutions by intelligently challenging global market practices in anticipation of what's ahead. Schroders is also deeply committed to its sustainable investment philosophy and seeking to make a wider contribution to society.



Stifel Investment Banking provides strategic advisory services to our clients in North America, Europe, Asia, and Latin America that include initiating, structuring, and negotiating mergers, acquisitions, and divestitures as well as providing fairness opinions, valuation, and restructuring services. We raise public and private debt and equity for our clients through our institutional and retail brokerage network. Stifel also has dedicated financial sponsors and a venture capital effort, maintaining regular dialogue and deal flow with private equity firms focused on Stifel's core industry groups. Stifel clients are served in the United States through Stifel, Nicolaus & Company, Incorporated; Keefe Bruyette & Woods, Inc.; Miller Buckfire & Co., LLC; and Eaton Partners, LLC, and in the United Kingdom and Europe through Stifel Nicolaus Europe Limited. The combination of a full-service product offering and over 400 bankers' deep domain and product expertise allows us to provide solutions that meet the evolving needs of our clients.



**Tortoise** specializes in essential assets and income.

Tortoise invests in assets and services that serve essential needs in society and can also serve essential client needs, such as diversification and income. Tortoise's expertise spans energy investing across the entire energy value chain, sustainable infrastructure including wind, solar and battery storage assets as well as water infrastructure, credit investing, direct lending to social infrastructure projects and index construction. Through a variety of investment vehicles, Tortoise provides access to a wide range of client solutions, focused on their evolving needs. For more information, please visit www.tortoiseadvisors.com.

When we look at closed-end funds, we see opportunity.







To learn more about the closed-end fund market, please visit our website to access:

The Cohen & Steers Closed-End Funds Knowledge Center

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# IRL

LISTED

NYSE





**KEYNOTE SPEAKER** 

John Stoltzfus Managing Director Chief Investment Strategist Oppenheimer Asset Management Inc.

John Stoltzfus is Managing Director and Chief Investment Strategist of Oppenheimer Asset Management Inc. Prior to joining the firm, John was Senior Market Strategist at Ticonderoga Securities where he provided all macro, market outlook, and strategy ideas to the firm and its clients. John came to Ticonderoga from Bank of America, where he worked in their Global Wealth & Investment Management Division as Senior Market Strategist in the Investment Strategies Group. Before Bank of America, John was at Morgan Stanley in a variety of roles, including Vice President of Marketing and Equity Sales, Vice President of Capital Market Solutions, and Vice President of U.S. and International Equity Marketing. In the early 1990s, John worked at Chase Manhattan Bank as Vice President of Investments, CMIS and GNA securities. He holds a B.A. from Colgate University.



Taylor Ames
Vice President, Product Strategies
ALPS Distributors, Inc.

Taylor Ames is Vice President, Product Strategies at ALPS Distributors, Inc. In his role, Taylor develops product, specific strategies, collaborating with

and manages product specific strategies, collaborating with marketing, compliance, research, sales, and portfolio management in an effort to better position ALPS products with in the market. Prior to his current role, he was PowerShares QQQ Senior Product Strategist and Vice President.

Prior to joining ALPS Distributors Inc., Taylor worked at Invesco PowerShares, working as a Portfolio Consultant until becoming Senior Equity Product Strategist in 2010.

Taylor earned a B.A. in Business/Economics from Wheaton College in Wheaton, IL. He holds the Series 7 and 63 registrations.

Steven A. Baffico
Managing Partner & Chief Executive
Officer
Four Wood Capital Partners LLC

Mr. Baffico is Managing Partner & CEO of Four Wood Capital Partners LLC, a yield-oriented investment management and merchant banking firm with assets under management, supervision & service of apx. \$1.5 billion. Prior to founding Four Wood Capital Partners in November 2011, he had been a senior leader in financial services for more twenty years across investment management and merchant banking, holding executive management positions at firms including Guggenheim Partners and BlackRock. At Guggenheim Investments (2010-2011), Mr. Baffico was Senior Managing Director & Head of US Retail, overseeing all aspects of the investment management and distribution businesses, responsible for more than \$27 billion in assets under management and or supervision. Formerly, he spent more than a decade (1998-2010) at BlackRock, the world's largest asset manager, where he worked in various senior leadership capacities across sales, marketing, portfolio management, product development and capital markets.

Mr. Baffico currently serves on the Board of Directors for Four Wood Capital Advisors' family of registered Funds and Specialty Finance Companies. In addition, he is the Executive Chairman of Global Marine Transport Capital LLC, FWCP's specialty direct lending platform within the global maritime industry. Mr. Baffico is also Chief Executive Officer of SWD Enterprises LLC and GRIT Energy Services Inc., energy infrastructure companies focused on serving the oil and gas industry and affiliate and subsidiary companies FWCP respectively.

Mr. Baffico is SEC Series 7 and FINRA Series 24 and 63 registered and has a B.A. degree from the University of Wisconsin.



Douglas Bond, Executive Vice President, is Portfolio Manager for Cohen & Steers' Closed-End Opportunity Fund and other portfolios investing in closed-end funds. Before joining Cohen & Steers in 2004, Mr. Bond worked at Merrill Lynch for 23 years. Between 1992 and 2004, he ran their closed-end fund new origination effort and was involved in all closed-end funds underwritten by Merrill Lynch. He also headed Merrill's Private Client Syndicate Group. Mr. Bond holds a BA from Hamilton College and an MBA from New York University. He is based in New York.



Nicolas Bornozis President and CEO Capital Link, Inc.

Since 1996 Mr. Nicolas Bornozis is the founder, President and CEO of Capital Link, Inc., an

international investor relations and financial advisory group. It assists listed companies and capital markets related organizations to develop and maintain access to European and North American investors. Capital Link has offices in New York, London and Athens and is a leader in investor relations for listed shipping companies, U.S. Closed-End Funds and ETFs and international companies accessing the U.S. and European markets.

He also established and managed, Alexander Capital, L.P., a US broker-dealer firm, which developed brokerage and investment banking business in North America with the Greek, Egyptian and Russian markets. Sold the company at the end of 2003 to a group of US investors representing Russian interests. Between 1998 and 2002, he also established and managed Alexander Asset Management, Inc. which handled portfolios invested in the Greek and European equity markets.

Prior to Capital Link (1988-1995), he served as President and CEO of CCF International Finance Corp. (CCF IFC), the US broker/dealer subsidiary of Credit Commercial de France, now part of HSBC, and worked at the International Department of Bankers Trust Company in New York (1982-1984) and then at the Commercial Banking operation of CCF in New York (1985-1987) focusing on the financing of Wall Street firms and shipping.

He holds an MBA from Harvard Business School (1982) and a Law Degree from the University of Athens (1979), in Greece with specialization in commercial and corporate law and is a graduate of Athens College in Greece.



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For a period of twelve years he was a Visiting Lecturer on International Banking and Finance at the City University Business School (Department for Shipping Trade and Finance) in London, United Kingdom. Also, he served as Chairman of the Investment Management Committee of the Harvard Business School Club in New York.

Mariana F. Bush Global Manager Research Wells Fargo Investment Institute Wells Fargo & Company

Mariana Bush is a managing director for Global Manager Research (GMR), a division of Wells Fargo Investment Institute. The GMR team selects and oversees the third-party money managers used throughout Wells Fargo's brokerage, private banking, family wealth, and retirement businesses.

Ms. Bush began her career at Furman Selz in New York as an associate analyst following technology companies long before the Internet became a household name. She joined the firm in 1991 as an analyst in Investment Strategy and has remained steady through five legacy firms following mergers and acquisitions over almost three decades. Ms. Bush began following closed-end funds in 1993, and she assumed coverage of exchange-traded products in the late 1990s. She has been widely quoted in publications such as Barron's, Bloomberg, and The Wall Street Journal, while being a frequent and active participant in industry conferences.

Born and raised in Peru, Ms. Bush earned a Bachelor of Science and Engineering from Princeton University. She is a CFA® charterholder and a member of the CFA Society of Washington DC, where she is located.

Robert F. Bush, Jr.
Senior Vice President, Director of Closed-End Fund Products
Calamos Investments

As director of closed-end fund products, Mr. Bush is responsible for optimizing Calamos Investments' closed-end fund business. He acts as a liaison for the firm, communicating with the investor, research and brokerage communities about the Calamos closed-end funds. In addition, Mr. Bush works closely with the Calamos executive, investment, marketing and distribution teams regarding product development, strategy and enhancements for new and established closed-end funds.

Previously, Mr. Bush worked as a managing director in the financial institutions group for Citigroup Investment Banking. In this capacity, he was responsible for the closed-end fund product development, syndication and capital raising for that firm's asset management clients. Subsequent to his investment banking career, Mr. Bush worked as a financial advisor for Morgan Stanley Smith Barney's Wealth Management Group.



Jeremie Capron
Managing Partner & Head of Research
ROBO Global

Jeremie Capron is Managing Partner and Director of Research of Robo Global, the creator of the

ROBO Index series, tracked by more than \$4bn in a variety of Robotics, Automation and AI investment vehicles around the world. Robo Global helps investors capture the growth and return opportunities presented by these megatrends. Jeremie brings to Robo Global more than ten years of experience as an equity research analyst in Asia, Europe, and the United States, with a focus on robotics and industrial technology. Most recently, Jeremie led CLSA's industrial technology research out of New York after serving as a Senior Research Analyst in Singapore and Japan, receiving a No.1 stock picker award from Nikkei/Starmine and ranking No.1 in Asiamoney Brokers' Poll for three consecutive years. Earlier in his career, he was a project manager with Veolia in Europe and Asia. Jeremie is a Chartered Financial Analyst (CFA) and holds a Master's Degree in Science and Executive Engineering from the École des Mines de Paris. He is fluent in French and Japanese.

Tom Champion
Director
New York Stock Exchange

Tom Champion joined the NYSE in 2006. Prior to NYSE, Tom worked as an Assistant Portfolio

Manager and Analyst for Victory NewBridge Capital Management and NewBridge Partners, LLC from 1999 until 2005. He began his career at the Campbell, Cowperthwait division of U.S. Trust in 1998. Tom is a Chartered Financial Analyst and member of the New York Society of Security Analyst.

Mike Cronan
President of Marketing Services
Exchanged Traded Concepts

Mr. Cronan joined ETC from Station-Hill Growth Consulting, where he was the President. ROBO

Global, the robotics ETF (ROBO) grew from \$130 million in AUM to over \$1 billion in AUM in 6 months. Prior to Launching SHGC, Mr. Cronan headed up the ETF Data and Education Sales and Marketing for ETF.com, starting with Index Universe. Mr. Cronan held positions with The Financial Times of London and started with the division, Money-Media.

He was the SVP of Sales for Ignites, Fundfire and Board IQ doubling revenue in a few years and then was promoted within the FT to become the Head of Sales and Marketing at Medley Global Advisors. He is a graduate from Rochester Institute of Technology.

**Eoin Fahy**Chief Economist, Investment Strategist
KBI Global Investors Ltd

Eoin joined KBI Global Investors Ltd in 1988, and has responsibility for economic research,

investment strategy, and Responsible Investing. Eoin graduated from University College Dublin with a B.A. (Hons) in Economics. He was a board member of Ireland's Electricity Supply Board (ESB) from 2001 - 2011 & was a member of the Irish Commission on Taxation 2008 - 2009. He is a member of the US National Association of Business Economists & the CFA Institute, an Honorary Fellow of the Sales Institute of Ireland, and a frequent contributor to Irish and international media on macroeconomic and investment issues.



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Greg Fayvilevich is a Senior Director and head of Fitch Ratings' U.S. Funds & Asset Managers

group based in New York. The U.S. Funds group is responsible for Fitch's coverage of U.S. money market funds, closed-end funds, local government investment pools, bond funds, and collateralized fund obligations. Greg's team is responsible for assigning and maintaining ratings, developing rating criteria and models, and publishing timely research on analytical and regulatory developments affecting the sectors the group covers."

Ken Fincher
Senior Vice President, Closed-End Fund
Management Team
First Trust

Ken Fincher is Senior Vice President and Portfolio Manager leading the First Trust Closed-End

Fund Management Team. Mr. Fincher joined First Trust Advisors with over 20 years of experience in financial markets. His current responsibilities include management of separately managed accounts and exchange-traded funds that invest primarily in closed-end funds. He has also helped develop new product structures in the closed-end fund space. Mr. Fincher has been named Outstanding Individual Contributor to the Closed-End Fund Sector in 2007, 2006, 2005 and 2004 by financial analysts and his peers in the closed-end fund community.

Mr. Fincher received a B.A. in financial administration from Michigan State University and an M.B.A from Loyola University Graduate School of Business. He has been quoted in several business publications such as Investor's Business Daily, Barron's, Bloomberg News Service and Bond Buyer and has authored articles for Seeking Alpha. Mr. Fincher also served on the Closed-End Fund committee of the Investment Company Institute (ICI).



Deborah Fuhr Managing Partner ETFGI LLP

Deborah Fuhr is the managing partner and cofounder of ETFGI, an independent research and consultancy firm launched in 2012 in London

offering a number of research subscription services. Previously, she served as global head of ETF research and implementation strategy and as a managing director at BlackRock/Barclays Global Investors from 2008 – 2011. Fuhr also worked as a managing director and head of the investment strategy team at Morgan Stanley in London from 1997 – 2008, and as an associate at Greenwich Associates. She holds a BS degree from the University of Connecticut and an MBA from the Kellogg School of Management at Northwestern University.

Fuhr was the recipient of the 100 Women in Finance 2017, European Industry Leadership Award as well as the 2014 William F. Sharpe Lifetime Achievement Award for outstanding contributions to the field of index investing.

Fuhr is one of the founders and on the board of Women in ETFs,

one of the founders and on the board of Women in ETFs EMEA chapter, is on the board of Cancer Research UK's 'Women of Influence' initiative to support female scientists.



Allison M. Fumai
Partner
Financial Services and Investment
Management
Dechert LLP

Allison M. Fumai focuses her practice on the representation of registered investment companies and their investment advisers. She regularly advises mutual funds, closed-end funds and exchange-traded funds and their investment advisers on issues relating to the development and launch of new funds, ongoing compliance and regulatory matters, mergers, liquidations and restructuring of funds.

In its most recent edition, Chambers USA recognized Ms. Fumai as an Up and Coming Lawyer and noted that clients declare that "she is an excellent '40 Act lawyer," adding that "she is thoughtful, articulate and measured; she is great at keeping her clients abreast of new regulatory and legal developments." The Legal 500 (US) recognized her as a Next Generation Lawyer in the area of mutual/registered funds and noted that she is "extremely knowledgeable about '40 Act funds and consistently provides timely, accurate advice."

Ms. Fumai is a graduate of Cornell University (A.B., Economics) and Cornell University Law School (J.D.). She is a member of the New York and New Jersey Bars.

Andrew Hanson
Managing Director – Fixed Income Capital
Markets
Morgan Stanley

Andrew Hanson is a Managing Director in Fixed Income Capital Markets and Head of Debt Private Placements for Morgan Stanley. Andrew has 30 years' experience originating, structuring, and executing hundreds of fixed income private placement transactions. Andrew began his career at Bankers Trust in capital markets before joining Merrill Lynch, where he ran the debt private placement group for over 10 years. Prior to joining Morgan Stanley, Andrew spent 3 years as Managing Director of BofAML's private placement team where he focused on originating transactions for industrial, financial, and consumer companies.

Over the last seven years Andrew has raised over \$6 Bn in private debt and preferred capital for closed end funds, including Blackstone/GSO, Brandywine Global, ClearBridge Investments, Duff & Phelps, Kayne Anderson, and Tortoise Capital. Andrew received a BA in economics/mathematics from Colby College and a JD and MBA from Cornell Law School/Johnson Graduate School of Management.



Jay D. Hatfield Co-Founder, CEO and Portfolio Manager InfraCap MLP ETF

Mr. Hatfield has almost three decades of experience in the securities and investment industries. At ICA,

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Fitch Ratings is proud to sponsor and exhibit at Capital Link's 17th Annual Closed-End Funds & Global ETFs Forum. Be sure to attend the Break Out Panel Discussion moderated by Fitch Ratings' Greg Fayvilevich on the "Use of Leverage in Closed-End Funds".





he is the portfolio manager of InfraCap MLP ETF (NYSE: AMZA), InfraCap REIT Preferred ETF (NYSE: PFFR) and a series of hedge funds. He leads the investment team and directs the company's business development. During his career, Mr. Hatfield has gained a broad perspective on the U.S. financial markets with years as an investment banker, a research director and portfolio manager, and as a co-founder of a NYSE-listed company. A focus on companies that own real or hard assets, like energy infrastructure and real estate, runs through Mr. Hatfield's career.

Prior to forming ICA, he partnered with senior energy industry executives to acquire several midstream MLPs. These companies were merged to form a company now known as NGL Energy Partners, LP (NYSE: NGL). NGL was an IPO in May 2011. He is a general partner of the publicly-traded company.

In the years prior to forming NGL, Mr. Hatfield was a portfolio manager at SAC Capital (now Point72 Asset Management), running a portfolio focused on income securities. He joined SAC from Zimmer Lucas Partners, a hedge fund focused on energy and utility sectors, where he was head of research. Earlier in his career, he was head of an investment banking unit at CIBC/Oppenheimer and a Principal in in an investment banking unit at Morgan Stanley & Co. He began his career as a CPA at Ernst & Young. He holds an MBA from the Wharton School at the University of Pennsylvania and a BS from the University of California at Davis.



Curtis Holloway
Senior Vice President, Head of Fund
Administration;
CFO and Treasurer
Calamos Investments

As Senior Vice President, Head of Fund Administration, Curtis Holloway, CPA, is responsible for oversight of the day to day operations of fund accounting, fund administration, financial reporting, pricing, and controls, as well as accounting policy. As CFO and Treasurer of the Calamos Funds, he is responsible for the funds' compliance with corporate and regulatory policies, issuance of shareholder reports and related regulatory filings, dividend payments, and reporting to the funds' board of directors.

Curtis has nearly 26 years of investment accounting and reporting experience. Prior to working for Calamos Investments, he has served in various positions with three Fortune 500 firms in their investment departments. He received his BS in Accounting and his BS in Finance from Southern Illinois University and his MBA with specializations in Derivatives and Economics from Loyola University. He is a Certified Public Accountant and has obtained Series 27 and 63 securities licenses, as well as ChFC and CLU certifications.

Curtis has participated in various ICI and NICSA panels as a speaker and is currently a member on the ICI's Treasurer's Committee, ICI Operations Committee, and the NICSA Midwest Committee.



Michael Jabara
Managing Director | Head of ExchangeTraded Fund and Closed-End Fund
Research Team
Morgan Stanley Wealth Management

Michael Jabara, Managing Director at Morgan Stanley Wealth

Management is head of the Exchange-Traded Fund (ETF) and Closed-End Fund (CEF) Research team. The team is responsible for rating approximately 100 CEFs and provides research commentary on the ETF industry and coverage on over 400 ETFs listed in the US. Michael is quoted in financial publications and frequently participates on industry conference panels. He began his professional career at Prudential Securities in ETF and CEF Research in 2002, joined Citigroup in 2005, and then transitioned to Morgan Stanley Wealth Management in 2010.

Michael graduated from Villanova University in Villanova, PA, with a major in Finance and minor in Accounting.

# Ganesh V. Jois Portfolio Manager, Investment Management Goldman Sachs Asset Management

Ganesh is a portfolio manager and leads the research effort for the Energy and Infrastructure team within the Fundamental Equity Group of Goldman Sachs Asset Management. Previously, he was the lead research analyst for the Energy and Infrastructure team. Ganesh joined Goldman Sachs in 2009 as a vice president and was named managing director in 2015.

Prior to joining the firm, Ganesh was a research analyst at Citigroup.

Ganesh earned a Bachelor of Commerce from the University of Mumbai in 1996 and an MBA in Finance from the Zicklin School of Business in 2003. He is a chartered accountant and CFA charterholder.



T. Richard Kendrick, IV
Senior Managing Director, Equities
Stifel

Rich Kendrick serves as a Senior Managing Director, Equities. In this capacity, Mr. Kendrick is responsible for the Equity, Hybrid and Private

Placement platforms at Stifel. Mr. Kendrick also serves on the Board of Directors for Stifel, Nicolaus & Company, Incorporated, is also an employee of Keefe, Bruyette & Woods, a Stifel Company, is President and a member of the Board of Directors of The Bond Club of New York, a member of the Board of Directors of the Syndicate Association of Americas, and is a current member of the Board of Directors for the Cystic Fibrosis Foundation, Maryland Chapter.

Prior to joining Stifel in 1999, Mr. Kendrick was the Executive Vice President and Managing Director running Capital Markets at EVEREN Securities, Inc. Mr. Kendrick's experience includes eight years as a Managing Director of syndication and origination at Donaldson, Lufkin & Jenrette, as well as six years at L.F. Rothschild, Unterberg, Tobin Inc. in the same position. Previously, Mr. Kendrick was the Executive Vice President and Managing Director of the high-grade Capital Markets and Mortgage Finance departments, at First Union Capital Markets Corp. (Wells Fargo).

Mr. Kendrick received his B.A. in Economics from Denison University.



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Jennifer Kim is the Senior ETF Capital Markets Relationship Manager for Invesco. In this role, Ms. Kim works to build and manage strong relationships with sell-side trading desks and tracks the exchange-traded fund (ETF) business at our bulge bracket bank partners while serving as their central point of contact for capital markets. She collaborates with Invesco's trading, portfolio management and counterparty relations teams with the goal of creating and executing strategic business plans while measuring the success of our partnerships.

Prior to joining Invesco in 2015, Ms. Kim was a manager for PricewaterhouseCoopers' consulting practice, specializing in asset management, banking and financial services. Her experiences include market analysis and new product assessment and implementation, operating model development and implementation, and program management for complex multi-year, cross-organization projects. She began her ETF career in 2007 as an ETF trader on the American Stock Exchange.

Ms. Kim earned a BA degree in economics from Williams College in Williamstown, Massachusetts. She holds the Series 7 and 66 designations.



Brian Knudsen Associate Director, Fund & Asset Manager Fitch Ratings

Brian Knudsen is an Associate Director in the Fund and Asset Manager Group at Fitch Ratings primarily overseeing ratings on closed-end funds.

Prior to joining Fitch, Brian was an Associate Director at Oppenheimer & Co. Inc. where he served in various roles including closed-end fund strategy and research, short-term trading, and business development.

Brian earned a BSBA in Finance & International Business from the Olin Business School at Washington University in St. Louis.



Christian Magoon Founder & CEO Amplify ETFs

An ETF veteran, Christian has launched over 60 ETFs in the United States to date. He has helped drive the adoption of ETFs by U.S. investors

through numerous educational efforts highlighting the efficiency, transparency and flexibility of the ETF vehicle. Christian has been behind many first to market ETFs including the first cybersecurity, online retail, frontier market, spinoff, solar energy, multi-asset income and blockchain-focused ETFs. Prior to founding Amplify, Christian served as President of U.S.-based asset manager Claymore Securities. Christian regularly provides his investment insight and industry knowledge to a variety of U.S. media outlets.



Jeff Margolin Sr. Vice President, Closed-End Fund Analyst First Trust Portfolios L.P.

Mr. Margolin is Sr. Vice President, Closed-End Fund Analyst, for First Trust Portfolios L.P. Mr. Margolin joined the firm in 2005 after 8 years at Ryan, Beck &

Co., where he was a Vice President of Equity Research focusing on NYSE and AMEX-listed closed-end funds. While there, he produced in-depth research reports on closed-end funds, providing insights on relative performance and portfolio strengths and weaknesses.

Mr. Margolin was previously a research assistant for Smith Barney. He earned his undergraduate degree from Clark University where he graduated as a member of the Phi Alpha Theta honor society and received his M.B.A. from Baruch College. In 2010, 2011, 2012 and 2013 he won the Capital Link award for the individual who made the biggest contribution to the closed-end fund sector. Mr. Margolin has been quoted in several publications, including The Wall Street Journal, Barron's, Forbes, The New York Times, Registered Rep, The Bond Buyer and the Dow Jones Newswire.



### Matt Markiewicz Managing Director Innovation Shares

Matt brings over 20 years of financial industry experience to Innovation Shares with 6 ½ years spent at BlackRock as a Director in a sales and

strategy role within the iShares ETF business. During his tenure at iShares, the firm launched over 150 ETFs. Prior to BlackRock he had his own consulting venture, Lone Bison Partners, which focused on strategic development opportunities for smaller companies in the U.S. energy industry. Before striking out on his own, Matt was a Managing Director & Partner at VDM Specialists, a NYSE marketmaking firm, where he was responsible for corporate client relations and trading research. His Wall Street career started at UBS Warburg, initially in equity research, followed by a role in institutional equity sales covering asset manager and hedge fund clients. He graduated from Boston College's Carroll School of Management with a double concentration in Finance and Marketing.



### Rennie McConnochie Head of Global Banks Aberdeen Standard Investments

Rennie is currently Head of the Global Banks channel within distribution at Aberdeen Standard

Investments. Rennie the firm in February 2013 in New York as a Senior Business Development Manager working in the Closed End Fund area. With 30 years experience in the investment industry, Rennie was previously responsible for the European Equity business and, later, for investment research in Europe for Merrill Lynch. He then became CEO of Bridgewell PLC, an investment bank in London, and before joining Aberdeen, he was a partner at RP Capital, and investment advisory company specializing in emerging markets.



### **Guggenheim Investments**

Guggenheim Investments is the global asset management and investment advisory division of Guggenheim Partners and manages assets across fixed-income, equity, and alternative strategies. Our 300+ investment professionals perform rigorous fundamental and quantitative research to understand market trends and identify undervalued opportunities. We have an extensive track record of delivering innovative solutions by focusing on the needs of institutional and retail clients across a broad range of investment products and strategies.

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We have provided a variety of CEF offerings listed on the New York Stock Exchange. Our product lineup has covered a broad range of investment themes, including opportunistic fixed-income, credit, and a variety of other timely strategies.

Investing involves risk, including the possible loss of principal. Investments in small and medium capitalization companies may be more volatile than investments in larger companies. Fixed-income investments are subject to the possibility that interest rates could rise, causing their values to decline. Investing in alternative strategies is not suitable for all investors as it involves special types of risks associated with short sales, leveraging, potential adverse market forces, regulatory changes, and potential illiquidity.

Read a mutual fund or UIT prospectus and summary prospectus (if available) carefully before investing. It contains the fund's investment objectives, risk, charges, expenses and other information, which should be considered carefully before investing. Obtain a prospectus and summary prospectus (if available) at GuggenheimInvestments.com. 0418 x1218 #33728



Steve is a Managing Director and Senior Risk Officer

for Wells Fargo's Public Finance, Capital Strategies and Municipal Sales, Trading and Underwriting businesses. Areas of responsibility include investment banking, private placements, direct securities purchases, interest rate derivatives, investor finance and desk market making activities. Sectors overseen include general government, education, non-profit health care, cultural non-profits, municipal utilities, transportation, affordable housing, special tax transactions and structured leverage products for institutional Before joining the bank he was group head of the Municipal Lease and Short Term Debt rating sectors at Standard & Poor's. Steve has over 30 years of combined experience in the public finance industry and is a board member of the Southern Municipal Finance Society, a member of the National Federation of Municipal Analysts and a past board member of the Association for Governmental Leasing & Finance. He is a graduate of the University of Kentucky and has a Master's from Harvard University. Steve and his father published The Winning Tradition; A History of Kentucky



Wildcat Basketball in 1998.

F. Barry Nelson
Partner
Advent Capital Management, LLC

Barry Nelson, CFA®, has a broad research and portfolio management background in convertible

securities, equities and bonds. During 17 years as a Senior VP of Advent Capital Management, Barry contributed to the creation, management and marketing of various convertible strategies, and assets under management grew from under \$100 million to several billion dollars. He joined Advent as a Portfolio Manager in 1996 and continues to serve the firm as a consultant since retiring in 2013.

Barry began his investment career in 1972 at Value Line, where he rose from Analyst Trainee to Portfolio Manager. He served in the US Army in Europe and is a member of the Veterans Roundtable of the CFA Society of New York. Barry earned an MBA in Finance at St John's University and a BA in Psychology at New York University.



Michael Occi Executive Director Morgan Stanley

Michael Occi serves as an Executive Director within Equity Capital Markets. He is primarily responsible

for Morgan Stanley's equity capital markets coverage of financial institutions. In this capacity, Michael covers '40 Act products, including closed-end funds. Michael joined Morgan Stanley in 2006 and has extensive experience in advising clients on both capital markets and other strategic transactions; during his tenure, Michael has also had roles within the Investment Banking Division and in Fixed Income Capital Markets. He received his BS in Finance and Accounting from Georgetown University.

Arthur Howard Penn Chairman, CEO and Founder PennantPark Investment Corporation



Jerry Raio
Managing Director & Head of Retail
Origination
Wells Fargo Securities

Jerry Raio is a managing director and head of Retail Origination in the Equity Capital Markets group at

Wells Fargo Securities. He is based in New York.

Jerry joined Wells Fargo in 2005 as a Director in Equity Capital Markets. Prior to joining Wells Fargo, he was a director and the head of Closed-End Funds at Citigroup Asset Management. Jerry has more than 15 years of experience in Equity Capital Markets, having worked on the retail syndicate desks at both Citigroup and Morgan Stanley. Jerry received a B.S. from the State University of New York at Albany and an M.B.A. from the Frank Zarb School of Business at Hofstra University.



Alexander Reiss Director for Closed-End Fund Research Stifel

Alexander Reiss is Director for Closed-End Fund Research at Stifel. He joined the Stifel Nicolaus Research Team in March 2007 in connection with

Stifel Financial Corp.'s acquisition of Ryan Beck & Co., Inc. Previously; Mr. Reiss had been an analyst with Ryan Beck and Company and an associate analyst with Gruntal and Co. His coverage universe includes both fixed-income and equity Closed-End Funds. Earlier in his career, he held various analyst positions focused on the media, and advertising industries. Mr. Reiss received his B.A. in international affairs from the American University and received his MBA from the Zicklin School of Business.



**Evan Serton**Senior Vice President
Cohen & Steers'

Evan Serton, Senior Vice President, is a member of Cohen & Steers' Portfolio Specialist Group, which represents the company's investment teams in

interactions with institutional and retail clients. He has 19 years of experience. Prior to joining the firm in 2006, Mr. Serton was a portfolio specialist at Deutsche Asset Management. Previously, he served as a research associate at Banc of America Securities. Mr. Serton has a BA from Brown University and an MBA from Fordham University. He is based in New York.

Raj Shrestha SVP of Finance Newtek Business Services Corp.







### Michael Sonnenshein Managing Director Grayscale Investments

Michael Sonnenshein joined Grayscale Investments in January 2014. As Managing Director, he is responsible for overseeing the daily operations

and growth of the Grayscale business, spanning sales, operations, product development, and investor relations. With \$2+ Billion in assets under management, Michael is responsible for maintaining many of the firms' key client relationships including family offices, hedge funds, and other institutions as well as forming strategic partnerships and evaluating service providers.

Prior to joining Grayscale, Michael was a financial advisor at JP Morgan Securities, covering HNW individuals and institutions. He also worked in a similar capacity at Barclays Wealth, providing coverage to middle-market hedge funds and institutions. Michael earned his Bachelor of Business Administration from the Goizueta Business School at Emory University and his Master of Business Administration from the Leonard N. Stern School of Business at New York University.



Brian Sulley Client Portfolio Manager Tortoise

Mr. Brian Sulley, CFA, joined Tortoise Capital in 2010. Previously, he served as a senior financial

analyst with the Cerner Corp., where he was responsible for financial modeling and analysis across business lines. Mr. Sulley graduated from the University of Tulsa with a Bachelor of Science in business administration and finance and a Master of Science in finance. He is a CFA®charterholder.

Mike Taggart Vice President, Director of Closed-End Fund Research Nuveen

Mike Taggart, CFA is the director of closed-end fund research at Nuveen. In this role, Mike works with Nuveen's Global Structured Products group and is responsible

with Nuveen's Global Structured Products group and is responsible for providing secondary market support for Nuveen's family of closed-end funds.

Mike has more than 20 years of financial industry experience. Before assuming his current role, he was the head of U.S. closedend fund research at Morningstar. Prior to that, Mike was a senior equity analyst, providing research on consumer goods and retail companies at Morningstar. During his time on the equity research team, Mike also covered capital markets and IT services firms.

Before joining Morningstar, Mike worked in institutional equity sales and had previously pursued a doctorate degree in Russian history.

Mike holds a bachelor's degree in history from Virginia Tech, a

master's degree in Russian history from the University of Illinois at Chicago, and a master's degree in business administration from Northwestern University's Kellogg Graduate School of Management. He earned his Chartered Financial Analyst (CFA) designation in 2000.



### Jan van Eck President and Chief Executive Officer Van Eck Associates Corporation

Jan van Eck is the President and Chief Executive Officer of Van Eck Associates Corporation, joining

the Firm in 1992 and its executive management in 1998. He has created a variety of strategic beta, tactical allocation, emerging markets, and commodity-related investment strategies in mutual fund, ETF, and institutional formats.

In carrying out VanEck's mission to anticipate asset classes and trends, in 2006 Mr. van Eck founded the Firm's ETFs business, branded VanEck Vectors ETFs. VanEck has become one of the world's largest ETFs sponsors, currently offering over 70 ETFs globally across a variety of equity and fixed income asset classes.

Mr. van Eck holds a JD from Stanford University and graduated Phi Beta Kappa from Williams College with a major in Economics. He has registrations with the National Futures Association and the Financial Industry Regulatory Authority. Mr. van Eck is a Director of the National Committee on United States-China Relations. He routinely appears on CNBC and Bloomberg Television, and was a 2013 Finalist for Institutional Investor's Fund Leader of the Year.



### Douglas M. Yones Head of Exchange Traded Products New York Stock Exchange

Douglas Yones, ChFC® is currently the Head of Exchange Traded Products at the New York

Stock Exchange, where he oversees the team responsible for the delivery of customized, full service end-to-end capabilities for ETP and Closed End Fund Issuers. From the moment an asset manager begins developing their product, the team at NYSE can help to drive product and index development, regulatory guidance and legal support, an unparalleled listing day experience, and long term enhancement of product growth and distribution alongside superior market quality and liquidity.

Prior to joining the NYSE, Douglas spent 17 years at The Vanguard Group, most recently as the Head of Domestic Equity Indexing/ETF Product Management. From 2007 through 2015, Douglas worked on the development and launch of numerous ETFs in the U.S., U.K., and Canada. He also spent a number of years in Hong Kong, responsible for the development and launch of the regional ETF business for Vanguard in Asia.

Douglas holds the Chartered Financial Consultant (ChFC®) designation with the American College, an M.B.A from Villanova University, an undergraduate degree from the Pennsylvania State University, and is a registered General Securities Principal with FINRA.

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Gaston Yordan
Vice President – Product Development
Nuveen Investments

Mr. Yordan is a member of the product development team. He is involved in all stages of new closed-end fund development from idea generation to product launch. Prior to joining the team in June 2007, Mr. Yordan spent five years working as a Product Manager in Banco Popular's marketing and product development group. Previously, he spent three years in investment banking at Credit Suisse and Deutsche Bank, working on both corporate finance and M&A deals. Mr. Yordan earned his MBA from the University of Chicago Booth School of Business in 2006 and his BA from Hamilton College in 1998. Gaston also holds the FINRA series 7 and 63 registrations.

### **MEDIA PARTNERS**







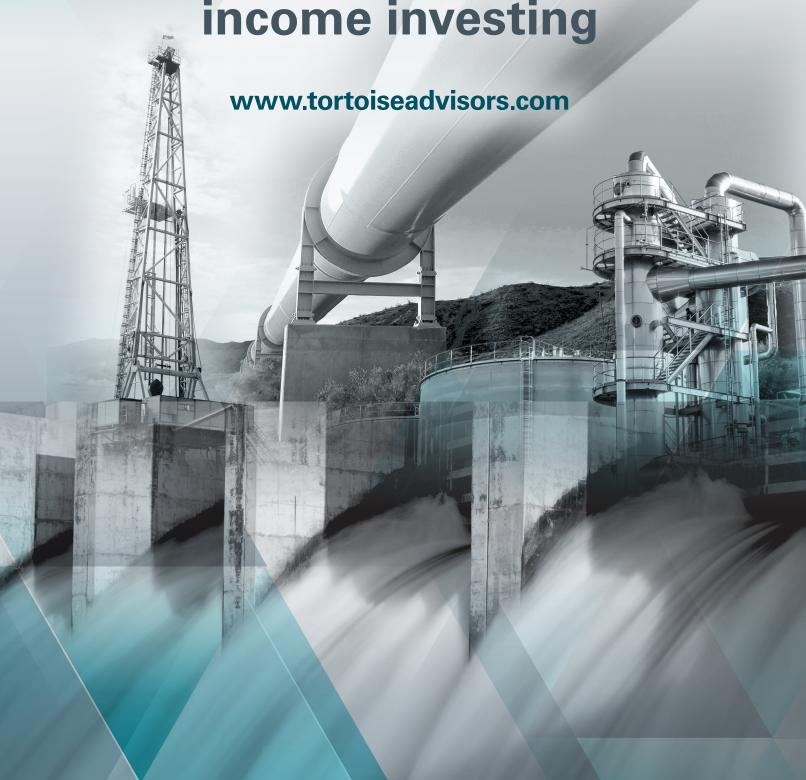
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### **SUPPORTING ORGANIZATION**





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Carefully consider the Fund's investment objective, risk factors, charges, and expenses before investing. This and additional information can be found in the Fund's prospectus, which can be obtained at www.infracapmlp.com or by calling 1-888-383-4184. The Fund is distributed by ETF Distributors LLC. An investment in the Fund is subject to investment risks; therefore you may lose money by investing in the Fund. There can be no assurance that the Fund will be successful in meeting its investment objective. Narrowly focused investments typically exhibit higher volatility. The fund is subject to management risk because it is an actively managed portfolio. In managing the fund's investment portfolio, the sub-adviser will apply investment techniques and risk analyses that may not have the desired result. Investments in securities of MLPs involve risks that differ from investments in common stock including risks that differ from investments in common stock including risks related to limited control and limited rights to vote on matters affecting the MLP, risks related to potential conflicts of interest between the MLP and MLP's general partner and cash flow risks. MLP common units and other equity securities can be affected by macro-economic and other factors affecting the stock market in general, expectations of interest rates, investor sentiment towards MLPs or the energy sector, changes in a particular issuer's financial condition or unfavorable or unanticipated poor performance of a particular issuer (in the case of MLPs, generally measured in terms of distributable cash flow). Prices of common units of individual MLPs and other equity securities also can be affected by fundamentals unique to the partnership or company, including earnings power and coverage ratios. The Fund is taxed as a corporation for federal income tax purposes. Option strategies seek to enhance income and hedge positions in volatile market conditions. There is no guarantee that this objective will be achieved. Please consult a financial advisor or tax professional for more information regarding your tax situation.



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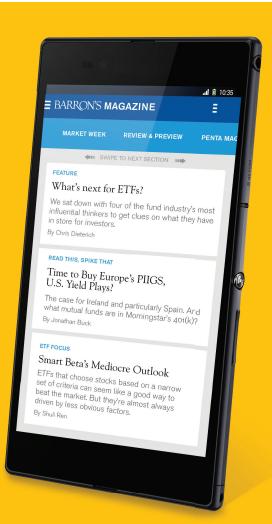
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### Excellence in Investor Relations and Financial Communications Your Link With the Global Investment Community

With its headquarters in New York and presence in London and Athens, Capital Link has been active since 1995 in the field of Investor Relations and Financial Communication. Its activities focus mainly on three areas: 1) Linking companies with strategic and institutional investors, bankers, analysts, and the financial media in Europe and the United States, 2) American Closed-End Funds and ETFs, 3) Listed shipping Companies. Capital Link's programs combine IR, IT and financial media in one comprehensive package enabling Companies to maximize their penetration and recognition in the global investment community.

Capital Link maintains close collaboration with the three main US Stock Exchanges (New York Stock Exchange, American Stock Exchange (now part of NYSE) and NASDAQ), the London Stock Exchange, the Athens Stock Exchange as well as numerous companies in Greece, Europe, US and Chile. It also organizes annually in New York, London and Athens a series of Investment Forums focusing on its main activity fields (www.capitallinkforum.com).

Capital Link has a leading position globally in the area of Investor Relations with respect to shipping, as it cooperates with the majority of shipping companies listed on the three US Stock Exchanges, as well as in London (LSE and AIM) and Milan. Capital Link is by far the most recognizable IR firm in this sector with unique access to investors, analysts, media and bankers. It has built the most extensive and effective platform for linking Listed shipping Companies with the investment community in Europe and the United States. Capital Link is a member of the Baltic Exchange and organizes regularly Analyst and CEO Forums on tankers, containers and dry bulk shipping. Additionally, it holds annually the "Invest in International Shipping" Capital Link Forums in New York and London. Finally, it also maintains a shipping portal with information on all UK and US Listed shipping Companies (www.capitallinkshipping.com).

Capital Link has also a leading position in US Closed-End funds and ETFs, as it cooperates with the major fund sponsors in these sectors. The Annual Capital Link "Closed-End Fund and Global ETF" Forum taking place in New York, celebrating its 17th year, is considered the most significant Forum of the sector. In the context of this Forum, Capital Link organizes the "Annual Closed-End Fund & Global ETF Awards" which recognize funds and managers who adhere to high standards of Corporate Governance, financial disclosure and Investor Relations. Capital Link also maintains a portal with information on these funds (www.closedendfundforum.com).

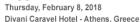
Capital Link has built one of the most extensive and effective networks for the promotion of international companies that want to access the European and US capital markets. In this area, Capital Link has built extensive regional expertise across developed and emerging markets having worked with listed companies and capital markets related organizations from several countries, including Canada, Chile, Cyprus, Greece, France, Germany, Ireland, Italy, Portugal, Russia, Spain, Switzerland, Turkey, United Kingdom and the United States. Also, broad and diversified industry expertise with a client base across several sectors - banking & finance, chemicals, cement & construction, food and beverage, insurance, investment management, IT & computers, mining, oil & energy, packaging, pharmaceuticals & cosmetics, retailing, telecommunications, transportation etc.

Capital Link is proud to have worked with several **governmental organizations** organizing presentations to U.S. investors for the **Finance Ministers** of Bulgaria, France, Greece and Portugal. We have worked with the majority of **Stock Exchanges** in the United States and Europe (New York, American, NASDAQ, Chicago Board Options Exchange, Athens Exchange, Euronext, London Stock Exchange/ AIM, Deutsche Boerse, Lisbon Stock Exchange, MICEX, Swiss Exchanges. The Paris Bourse was our first client in 1995.

### Capital Link Forums

### 2018 Calendar







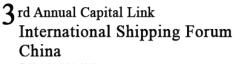
Greek shipping remains important to the maritime economy, constituting approximately 20% of the world's shipping fleet. This event will not only cover the latest developments and trends in international trade, dry bulk commodities, and the energy markets – framed against the broader backdrop of the global economy – but also review various funding alternatives for raising capital among listed and private shipping companies.



This event provides investors with a comprehensive review of various shipping markets to investment communities in Cyprus.. It aims to provide investors with a comprehensive review and current outlook of the various shipping, marine services and offshore markets and in addition, cover topics of critical interest to shipping industry participants, financers and investors.



The twelfth installment of the Invest in International Shipping Forums is investor-focused event allows a platform for high-level executives and shipping companies to share and examine the shipping markets in light of annual results. Institutional investors and analysts, financial advisors, bankers, financial media, and other qualified investors will be in attendance.



Friday, April 20, 2018 Grand Kempinski Hotel Shanghai, China



This event, organized in Partnership with Columbia Shipmanagement and Singhai Marine Services provides investors with a comprehensive review of various shipping markets to investment communities in China and throughout Asia. It aims to provide investors with a comprehensive review and current outlook of the various shipping, marine services and offshore markets and in addition, cover topics of critical interest to shipping industry participants, financers and investors.





This event will be organized in Partnership with Columbia Shipmanagement and Singhai Marine Services. It will discuss the regulatory, geopolitical and industry trends affecting shipping. It will provide a comprehensive review and current outlook of the shipping, financial and capital markets, as well as issues related to shipmanagement, the environment, innovation, and cybersecurity. The Forum will also highlight the role of Singapore and Asia for the global shipping industry.



This annual event, playing host to 1,000 attendees every year, will not only address the benefits and challenges associated with using closed-end funds (CEFs) and ETFs, but will also present a networking platform for financial advisors, financial planners, institutional investors, fund and asset managers, analysts, other wealth management professionals, and major financial media.



This bi-annual event brings together public and private shipping company executives, investors, analysts, financiers, and other industry participants who are visiting Athens for the biannual Posidonia event from all over the world. The Forum will feature sector roundtable discussions dedicated to the dry bulk, tanker, container, LNG, and offshore sectors.



th Annual Capital Link CSR Forum "INVESTING IN GROWTH -THE NEW FACE OF CSR"

Thursday, June 28, 2018 - Divani Caravel Hotel, Athens



Capital Link continues to support the sustainable development in Greece by promoting and presenting both initiatives from the business side, as well as the activities and needs of NGOs. The conference will present programs and initiatives that foster entrepreneurship and innovation. It aims to present entrepreneurs with a practical guide as to how they can get financing and other types of support for their business plans. It gives them access to initiatives, programs and contacts that can help them in this direction. The Forum combines two sides.



th Annual Capital Link Shipping and Marine Services Forum



Tuesday, September 25, 2018 One Moorgate Place, London, UK In cooperation with the LSE, this event provides investors with a comprehensive review of various shipping markets to investment communities in the UK and throughout Europe. Shipowners, shipping executives, institutional investors, research analysts, industry experts, commercial and investment bankers, risk advisors, private equity and venture capital firms, high-net worth investors, and financial media attend this London forum every year.





This is an international Forum on Cyprus aiming to raise awareness of Cyprus as a business and investment destination to a wider audience of US investors. The Forum will cover topics on banking, financial services, energy, shipping, transportation and logistics, tourism and information technology.

10<sup>th</sup> Annual Capital Link New York Maritime Forum



Tuesday, October 9, 2018 The Metropolitan Club

New York - The Capital for Shipping

The New York Maritime Forum (NYMF) is both an investment and an industry conference with a double objective which is to provide an interactive platform for investors, financiers, cargo owners and shipowners to discuss the latest developments in the global shipping and commodity markets and to showcase and promote the role of New York as a hub for the global maritime community and attract more business to New York targeting a global industry audience.



This Forum discussed Best Industry Practices across all areas of operations such as human resources, environment, fleet operations, technology and innovation, safety and security, corporate governance and more. The Forum explores how implementation of Best Practices translates into financial, operational and commercial competitive advantages.





U.S. and Greek businesses and investment communities discuss the latest trends in the capital and stock markets while covering topics ranging from shipping, information technology, energy, banking, and finance to telecommunications and estate. This event receives annual support from the NYSE.

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# Capital Link 17th Annual Closed-End Funds and Global ETFs Forum

Thursday, May 17, 2018 New York City

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