

## WINNERS OF THE ANNUAL CLOSED-END FUND & ETP/ETF AWARDS

PRESS RELEASE  
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New York, NY, April 29, 2015 - **The Annual Closed-End Fund & ETF Awards** took place on Thursday, April 23, 2015 at the Metropolitan Club in New York City during the luncheon of Capital Link's **14<sup>th</sup> Annual Closed-End Funds & Global ETFs Forum**, which for another year drew more than 1,000+ delegates. The Awards are an initiative of Capital Link's - a leading New York-based investor relations and financial communications firm that maintains a strategic focus on Closed-End Funds (CEF) and ETFs. The Awards are organized into two categories.

The first category is the Closed-End Funds and the ETP/ETF Awards, aimed to identify and recognize those fund sponsors and executives who consistently apply high standards of financial disclosure, investor and shareholder relations and product innovation. The Awards are based on nominations by a

committee of analysts and industry specialists who actively follow CEFs and ETPs/ETFs. There are separate Nominating Committees for CEFs and ETPs/ETFs.

The second category of Awards is the CEF & ETP/ETF Analyst Awards aimed to recognize the individual analysts who contribute the most to the development of the CEF and ETP/ETF sectors with their research work. The Awards are based on nominations by a committee of industry participants from CEFs and ETFs. There are separate Nominating Committees for CEFs and ETPs/ETFs.

Capital Link is not part of any Nominating Committee.

The **Most Innovative Closed-End Fund in 2014** went to **Tekla Healthcare Opportunities Fund (THQ)**. The award was accepted by *Dan Omstead, CEO at Tekla Capital Management*.



For the fifth consecutive year in a row, **Aberdeen Asset Management** took home the **2014 Best Shareholder Relations by a Non US Closed-Fund Family Award**. *Renee Baker, Marketing Manager at Aberdeen Asset Management* accepted the award on behalf of the company.



For the third year in a row, **Nuveen Investments** collected three awards in recognition of their achievements in the Closed-End Fund space: **2014 Best Shareholder Relations by a US Equity Fund Family**, **Best Shareholder Relations by a Fixed Income Fund Family**, as well as **Best Investor Relations CEF Website**.

Recognized for his continuous contribution to the Closed-End Fund sector, **David Lamb, Senior Vice President, Global Structured Products** – **Nuveen Investments** received the **2014 For Contribution to the Closed-End Fund Sector Award**.



The **Most Innovative Exchange Traded Product**

in **2014** went to **PureFunds ISE Cyber Security ETF (HACK)**. **Andrew Chanin, CEO at PureFunds** accepted the award.

**iShares/BlackRock** walked away with two awards for the third year in a row: **2014 Best Shareholder Relations** and **Best Investor Relations Website**.

The **Most Innovative Index/Index Based ETP in 2014** went to **ISE Cyber Security (HXR)**.



Recognized for his valuable commitment to the ETF sector, **Ed McRedmond, Senior Vice President of Institutional & Portfolio Strategies at Invesco PowerShares** once again took home the **Award For Contribution to the ETF Sector in 2014**.



The **Best Research Analyst for Closed-End Funds in 2014** was awarded to **Elias Lanik, Senior Closed-End Fund Analyst at Bank of America Merrill Lynch**.



**Michael Jabara, Executive Director, Head of Exchange-Traded Fund and Close-End Fund Research at Morgan Stanley Wealth Management** was awarded the **Best Research Analyst For Exchange Traded Products In 2014** award.



# ABOUT CAPITAL LINK, INC.



Capital Link is a New York-based investor relations and financial communications firm, which, among other activities, maintains a strategic focus on closed-end funds and ETFs.

Capital Link has developed powerful investor outreach programs and IR tools focused on CEFs and ETFs aimed to enhance their profile among analysts, investors, and financial media. In pursuit of this objective, it maintains websites dedicated to CEFs ([www.CEFForum.com](http://www.CEFForum.com)) and ETFs ([www.ETFForum.com](http://www.ETFForum.com)) that track the news and developments of all U.S. listed CEFs and ETFs, providing investors with a free information resource on these topics. The Annual Closed-End Funds & Global ETFs Forum held in New York City every April ([www.CapitalLinkForum.com](http://www.CapitalLinkForum.com)), has a 14-year track record and considered a premier industry annual event. It attracts consistently over 1,000 delegates, bringing together investors, analysts, wealth management professionals, and CEF and ETF industry participants. **The next Forum is scheduled for Thursday, April 21, 2016.** Capital Link also offers the “Closed-End Funds & Global ETFs Webinar Series ([www.CapitalLinkWebinars.com](http://www.CapitalLinkWebinars.com)),” an online interactive platform on CEFs, ETFs and other pertinent industry topics. These virtual events provide an in-depth look into CEFs & ETFs facilitating interaction among industry participants.

## SAVE THE DATE!

The **15<sup>th</sup> Annual Closed-End Funds & Global ETFs Forum** will take place on Thursday, **April 21, 2016**, in New York City.

## CONTACT INFORMATION

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## NOMINATING COMMITTEES

### CLOSED-END FUND AWARDS

- Herbert Blank, Senior Consultant - S-Network Global
- Mariana Bush, Closed-End Funds & Exchange Traded Funds Analyst - Wells Fargo Advisors
- N. Charles Earle, Director of Research & Strategy – Gates Capital Corp.
- Michael Jabara, Executive Director, Head of Exchange-Traded Fund (ETF) and Closed-End Fund Research - Morgan Stanley Smith Barney
- Elias Lanik, Senior Closed-End Fund Analyst - Bank of America Merrill Lynch
- Paul G. LaRosa, Executive Managing Director, Capital Markets - Maxim Group LLC
- Steven P. Latham, AVP, Product Analyst – Exchange Traded Funds & Notes and Closed-End Funds – RBC Wealth Management
- Paul Mazzilli, Fund Consultant & Senior Advisor
- Alexander Reiss, Director, Closed-End Fund Research - Stifel Nicolaus
- John Cole Scott, Portfolio Manager – Closed-End Fund Advisors
- Ryan Shugrue, Investment Analyst - Janney Montgomery Scott
- Jeff Tjornehoj, Head of Lipper Americas Research - Thomson Reuters



### MOST INNOVATIVE CLOSED-END FUND IN 2014

To the Fund Sponsor who came up with the most innovative product in 2014

**Winner:**

***Tekla Healthcare Opportunities Fund (THQ)***

### BEST SHAREHOLDER RELATIONS BY A NON- US CEF FUND FAMILY IN 2014

To the Fund Sponsor who practices best financial disclosure and is proactive in shareholder communications.

**Winner:**

***Aberdeen Asset Management***

## ETP / ETF AWARDS

- Eric Balchunas, ETF Analyst - Bloomberg ETF Data
- Herbert Blank, Senior Consultant - S-Network Global
- Mariana Bush, Closed-End Funds & Exchange Traded Funds Analyst - Wells Fargo Advisors
- N. Charles Earle, Director of Research & Strategy – Gates Capital Corp.
- Matt Houghan, President - ETF.com.
- Ryan Issakainen, Senior Vice President, Exchange-Traded Fund Strategist – First Trust Portfolios
- Michael Jabara, Executive Director, Head of Exchange-Traded Fund (ETF) and Closed-End Fund Research - Morgan Stanley Wealth Management
- Steven P. Latham, AVP, Product Analyst – Exchange Traded Funds & Notes and Closed-End Funds – RBC Wealth Management
- Victor Lin, Director, Trading Strategy - Credit Suisse
- Jon Maier, Managing Director, Senior Portfolio Manager, Merrill Lynch ETF Model Portfolios – Bank of America Merrill Lynch
- Paul Mazzilli, Fund Consultant & Senior Advisor
- Fred Meissner, CMT, Founder & President - The FRED Report
- David Perlman, ETF Strategist - UBS

## CLOSED-END FUND ANALYST AWARDS

- Steven Baffico, Managing Partner & CEO - Four Wood Capital Partners
- Doug Bond, Executive Vice President, Portfolio Manager - Cohen & Steers
- Robert Bush, Senior Vice President, Director of Closed-End Fund Products - Calamos Investments
- Jonathan Diorio, Managing Director – BlackRock
- Martha Douvogiannis, Director, Head of U.S. Product Strategy - Allianz Global Investors Inc.
- Dennis Emanuel, Director of ETF & Closed-End Fund Strategy - ALPS
- Jonathan Isaac, Vice President, Director of Product Management - Eaton Vance
- Pamela Kearney, Director, Investor Relations - Tortoise Capital Advisors
- William Korver, Director, Product Development - Guggenheim Investments
- David Lamb, Senior Vice-President, Global Structured Products - Nuveen Investments
- Chris Larsen, Closed-End Funds Product Manager – Legg Mason
- Lelia Long, Treasurer – New Ireland Fund
- Anthony Maltese, Senior Vice President, Closed-End Fund Specialist - Neuberger Berman
- Jeffrey Margolin, Senior Vice President and Closed-End Fund Analyst - First Trust Advisors
- Rennie McConnochie, Senior Business Development Manager – Aberdeen Asset Management
- Mehul Merchant, VP – Intermediary Business Management – Voya Investment Management
- Michael Nakano, Fixed Income Product Manager - Morgan Stanley Investment Management
- David Schachter, Vice President – Gabelli Funds
- Daniel Spears, Partner & Portfolio Manager – Swank Capital

## BEST SHAREHOLDER RELATIONS BY A US EQUITY FUND FAMILY IN 2014

To the Fund Sponsor who practices best financial disclosure and is proactive in shareholder communications.

**Winner:**

***Nuveen Investments***

## BEST SHAREHOLDER RELATIONS BY A FIXED INCOME FUND FAMILY IN 2014

To the Fund Sponsor who practices best financial disclosure and is proactive in shareholder communications.

**Winner:**

***Nuveen Investments***

## BEST INVESTOR RELATIONS CLOSED-END FUND WEBSITE IN 2014

To the Fund Sponsor who maintains the most informative and user friendly financial website.

**Winner:**

***Nuveen Investments***

## FOR CONTRIBUTION TO THE CLOSED-END FUND SECTOR IN 2014

Awarded to an individual for his/her contribution to the Closed-End Fund sector in 2014

**Winner:**

***David Lamb, Senior Vice President, Global Structured Products – Nuveen Investments***



## MOST INNOVATIVE EXCHANGE TRADED PRODUCT IN 2014

To the Fund To the Fund Sponsor who came up with the most innovative product in 2014

**Winner:**

***PureFunds ISE Cyber Security ETF (HACK)***

## ETP / ETF ANALYST AWARDS

- Reggie Brown, Senior Managing Director – Cantor Fitzgerald & Co.
- Samir Charnalia, National Accounts Executive - FlexShares
- Ravi Goutam, Managing Director – BlackRock
- Ogden Hammond, Executive Director, Head of ETF Strategy & Business Development – J.P. Morgan Asset Management
- Joanne M. Hill, Head of Investment Strategy - ProShares / ProFunds
- Jay Jacobs, Research Analyst – Global X Funds
- Dodd Kittsley, Director, Global Head of ETF Research & National Accounts – Deutsche Asset & Wealth Management
- Ed McRedmond, SVP, Director, Institutional & Portfolio Strategies - Invesco PowerShares
- Adam Phillips, Chief Operating Officer - Van Eck Securities Corporation
- Kevin Quigg, Global Head of ETF Sales Strategy - State Street Global Advisors
- William Rhind, Managing Director, Investment - World Gold Council
- Don Suskind, EVP, Product Manager – PIMCO
- Joseph F. Windish, Director of National Accounts – WisdomTree Asset Management, Inc.
- Joseph Withohm, VP of Product Development and ETF Strategies - Emerald Asset Management

## PHOTO GALLERY



## BEST SHAREHOLDER RELATIONS BY AN ETP SPONSOR IN 2014

To the Fund Sponsor who practices best financial disclosure and is proactive in shareholder communications

**Winner:**  
*iShares / BlackRock*

## BEST INVESTOR RELATIONS ETP/ETF WEBSITE IN 2014

To the Fund Sponsor who maintains the most informative and user friendly financial website.

**Winner:**  
*iShares / BlackRock*

## MOST INNOVATIVE INDEX ETP IN 2014

To the Fund Sponsor who came up with the most innovative index based ETP in 2014

**Winner:**  
*ISE Cyber Security (HXR)*

## FOR CONTRIBUTION TO THE ETF SECTOR IN 2014

Awarded to an individual for his/her contribution to the ETF sector in 2014

**Winner:**  
*Ed McRedmond, Senior Vice President, Institutional & Portfolio Strategies - Invesco PowerShares*



## BEST RESEARCH ANALYST FOR CEFs IN 2014

Awarded to the Analyst / Team that had the best research coverage & contribution to the CEF sector in 2014

**Winner:**  
*Elias Lanik, Senior Closed-End Fund Analyst – Bank of America Merrill Lynch*

## BEST RESEARCH ANALYST FOR ETPs IN 2014

Awarded to the Analyst / Team that had the best research coverage & contribution to the ETP / ETF sector in 2014

**Winner:**  
*Michael Jabara, Executive Director, Head of Exchange-Traded Fund and Closed-End Fund Research - Morgan Stanley Wealth Management*



# 14<sup>th</sup> Annual Capital Link Closed-End Funds and Global ETFs Forum

Thursday, April 23, 2015

The Metropolitan Club, One East 60th St., New York City

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