

PROFILE BUILDER - EQUITY

Efficient profile and report generation based on the industry-leading BD database

OVERVIEW

- USER-FRIENDLY** and versatile screening workflow
- COMPREHENSIVE** global ownership data, contacts and biographical content from the Bigdough database
- CUSTOMIZED** templates including multiple display options and client branding
- FLEXIBLE** output options - PDF, Excel, Word or PPT

Three easy steps to produce a profile

STEP 1

Select a template from the library of Ipreo standard templates or your customised set of templates.

STEP 2

Select investor and/or contact from our comprehensive database.

STEP 3

One click to generate the full list of selected investors into a PDF, Excel, Word or PPT document.



Capital World Investors (U.S.)

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Meeting Contact(s)		
Ms. Nicole S. Greenfield	Research Associate	+1 213-486-9200

Bio: Greenfield is a research associate at Capital World Investors (U.S.). She joined the firm in December 2011.
Greenfield was previously an equity research associate at Credit Suisse (U.S.) (July 2010-November 2011). Prior to that, she was an account management analyst at BlackRock (July 2006-July 2008). Greenfield was also a production intern at CNN International (June 2003-August 2003).
She received a BA in Government and International Relations from Cornell University ('05) and an MBA in Finance from Columbia Business School, Columbia University ('10).

Industry Coverage	Chemicals, Computer Software and Services, Insurance, Technology Hardware and Equipment
Country/Region	United States
Market Cap	Large Cap, Mega Cap, Mid Cap, Small Cap

Mr. David Carpenter **Analyst** **+1 213-486-9093**
Bio: Carpenter is a vice president and analyst with Capital World Investors, where he is the lead analyst on the beverage industry. He is also on the firm's board of directors, and he is on the board of directors for the homeless-serving non-profit, Los Angeles Mission.
Carpenter earned a BA in Economics from the College of William and Mary and a MBA in Finance from University of California, Los Angeles (UCLA).

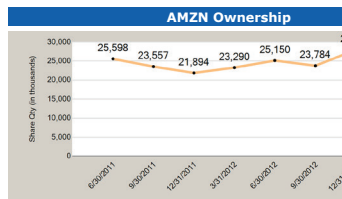
Industry Coverage	Breweries, Cigarettes and Other Tobacco Products, Distillers and Wineries, Household Goods and Equipment, Personal Products, Processed and Packaged Foods, Soft Drink Manufacturers
Country/Region	United States, Europe
Market Cap	Large Cap, Mega Cap
Style	Value

New York

Equity Assets (\$mm)	Portfolio Stats	# of Stocks Bought
477,251	Value	250
1,120	Value Bought (\$mm)	32,955
-6,072	# of Stocks Sold	276
	Value Sold (\$mm)	-39,027

Line	Market Cap Breakdown (Val (\$mm))	Percent of Portfolio
Micro Cap (< \$250 mm)	160	
Small Cap (\$250 mm to \$2 bb)	4,064	
Mid Cap (\$2 bb to \$10 bb)	60,317	
Large Cap (\$10 bb to \$50 bb)	189,146	
Mega Cap (>\$50 bb)	220,537	
Not Classified	3,026	

Investment Approach
Capital World Investors (U.S.) maintains a fairly balanced equity portfolio that spans all sectors. The firm invests primarily in common stock, but also holds a significant amount of ADR/GDR and preferred stocks. These equity holdings are primarily in the United States, but CWI also manages many U.K. and Canadian assets, as well as equity in most of Europe, the BRICs, Japan, Australia, and South Africa. The firm invests in all market capitalizations, with roughly half of its portfolio in companies larger than \$10 billion. The research effort is bottom up, and focuses on identifying the difference between underlying value and market value. CWI prefers stocks with: (a) sound balance sheets; (b) undervalued assets; and, (c) reasonable valuation multiples relative to growth potential. The investment process is typically initiated by analysts who pitch their ideas to portfolio managers. Each manager independently makes decisions regarding the purchase or sale of stocks in their portfolio. All portfolios are team-managed, with a lead manager who assumes the overall portfolio's compliance with set benchmarks. Portfolios are divided into several parts, each managed by one manager, and one part managed by a team of analysts. CWI likes to visit with corporate management, competitors, suppliers, and customers before making investment decisions.



Top 10 Holdings				Top 5 Buys			
Company	Val (\$mm)	Chg (\$mm)	% Port	Company	Val (\$mm)	Chg (\$mm)	% Port
Home Depot, Inc.	11,945	-790	2.50%	Five Below, Inc.	161	118	0.03%
Amazon.com, Inc.	7,242	-209	1.52%	Fast Retailing Company, LTD	108	103	0.03%
Costco Wholesale Corporation	2,893	-155	0.61%	Tiffany & Company	557	79	0.02%
Express Scripts Holding Co.	1,592	-1	0.33%	Rakuten Inc.	592	59	0.02%
Shoptire Holdings Ltd	1,192	-87	0.31%	Shoptire Holdings Ltd 6.5% C	63	57	0.00%
Industria de Diseno Textil S.	1,002	-11	0.24%				
The Swatch Group, LTD	672	-17	0.19%				
Lowe's Companies, Inc.	633	-34	0.23%				
Wal-Mart Stores, Inc.	630	-37	0.23%				
Rakuten Inc.	592	59	0.15%				


Top 10 Peer Holdings		
Industry	Val (\$mm)	% Port
Home Depot, Inc.	11,945	2.50%
Amazon.com, Inc.	7,242	1.52%
Costco Wholesale Corporation	2,893	0.61%
Express Scripts Holding Co.	1,592	0.33%
Lowe's Companies, Inc.	633	0.13%
CVS Caremark Corporation	339	0.07%
Whole Foods Market, Inc.	147	0.03%

Top 10 Industry Holdings			
Industry	Val (\$mm)	Chg (\$mm)	% Port
Biotechnology and Pharmaceutical	47,147	-1,488	9.88%
Oil and Gas	47,038	488	9.86%
Retail	34,555	-2,011	7.24%
Food, Beverage, and Tobacco	32,850	-1,269	6.88%
Financial Services	26,245	1,997	5.50%
Banking	25,023	780	5.24%
Computer Software and Services	24,021	172	5.03%
Semiconductors	22,677	2,196	4.75%
Industrial Equipment	20,868	663	4.37%
Aerospace and Defense	18,473	626	3.87%

Top 5 Industry Increases			
Industry	Val (\$mm)	Chg (\$mm)	% Port
Insurance	15,397	-2,571	3.23%
Semiconductors	22,677	2,196	4.75%
Financial Services	26,245	1,997	5.50%
Health Services	5,386	1,138	1.13%
Banking	25,023	780	5.24%
Consumer Non-Durables	12,468	740	2.61%

Top 5 Industry Decreases			
Industry	Val (\$mm)	Chg (\$mm)	% Port
Insurance	15,397	-2,571	3.23%
Chemicals	14,959	-2,303	3.13%
Retail	34,555	-2,011	7.24%
Biotechnology and Pharmaceutical	47,147	-1,488	9.88%
Medical Equipment	7,602	-1,355	1.59%

Sample profiles



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Meeting Contact(s)
Mr. Mostafa Hassan CFA Analyst, Portfolio Manager +1 212-632-6971

Bio: Hassan is a senior vice president, portfolio manager and an analyst at Lazard Asset Management, LLC (U.S.). Previously, he was a corporate finance manager at Swicorp-Sigma (2004-2005). Prior to that, Hassan was a portfolio manager at the Swiss Egyptian Portfolio Management Company (2000-2003). Before that, he was a senior analyst at Concord International Investments after a brief stint as an investment analyst with the International Finance Corporation. Prior to that, Hassan was an associate at Concord International Investments (1995-1997).

He holds a BA in Business Administration (magna cum laude) from American University and an MS in International Securities, Investments and Banking. Hassan earned the CFA designation in 1999.

Country/Region Brazil, Chile, China, Colombia, Czech Republic, Egypt, Hungary, India, Indonesia, Israel, Malaysia, Mexico, Morocco, Peru, Philippines, Poland, Republic of Korea, Russian Federation, South Africa, Taiwan Province of China, Thailand, Turkey

Market Cap Style Large Cap, Mega Cap, Mid Cap, Small Cap
Growth

Mr. Christopher H. Blake Portfolio Manager +1 212-632-8272

Bio: Blake is a managing director and portfolio manager the U.S. mid-cap team at Lazard Asset Management, LLC (U.S.), which he joined in 1995.

He received his BSBA in Finance from the University of Denver.

Country/Region United States
Market Cap Style Mid Cap
Value

New York

Portfolio Stats			
Equity Assets (\$mm)	70,129	# of Stocks Bought	576
Investment Style	Value	Value Bought (\$mm)	7,100
# of Stocks Held	1,706	# of Stocks Sold	386
Net Chg Value (\$mm)	3,573	Value Sold (\$mm)	-3,526

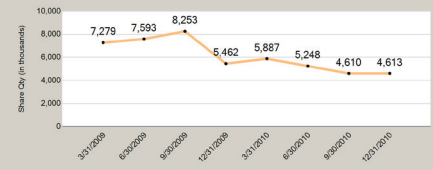
Market Cap Breakdown		
Tic	Val (\$mm)	Percent of Portfolio
Micro Cap (< \$250 mm)	487	0.7%
Small Cap (\$250 mm to \$2 bb)	4,317	6.1%
Mid Cap (\$2 bb to \$10 bb)	19,665	28.1%
Large Cap (\$10 bb to \$50 bb)	27,014	38.6%
Mega Cap (>\$50 bb)	18,551	26.5%
Not Classified	95	0.1%

Investment Approach
 LAM's research effort is bottom up and seeks stocks with: (a) low price relative to the industry and the market; (b) sustainability of attractive and return on assets ratios; (c) low price-to-cash flow ratios relative to the market; (d) catalysts to draw out underlying value (either financial sound balance sheets, (f) competitive market share; and, (g) quality firm uses a global database screen and accounting validation model. Fundamental research effort: LAM uses the Russell 2000 Index as its equity universe, the Russell Mid-Cap Index as its mid-cap U.S. equity S&P 500 Index as its large-cap U.S. equity universe. Funds and port consist of 50-80 positions and are all team managed. The Lazard Euro and the Lazard Global Opportunities hedge funds use a long/short str and 80% short. The Lazard European Opportunities fund invests a its portfolio in European equities and may invest up to 20% in non-EU. The Lazard Global Opportunities fund invests approximately 50% of equities, 35% in European equities, and 15% in Asia and emerging m

Why Ipreo for profiles?

- Most user-friendly and versatile screening workflow on the market
- Best-of-breed data analytics
- Industry-leading template creation process
- Flexible display and branding options

XOM Ownership



Date	Value
3/31/2009	7,279
6/30/2009	7,593
9/30/2009	8,253
12/31/2009	5,462
3/31/2010	5,887
6/30/2010	5,248
9/30/2010	4,610
12/31/2010	4,613

Industry: Oil and Gas

Top 10 Holdings				Top 5 Buys			
Company	Val (\$mm)	Chg (\$mm)	Cap (\$mm)	Company	Val (\$mm)	Chg (\$mm)	Cap (\$mm)
ConocoPhillips	1,018	13	Schlumberger, LTD	69	66		
Chevron Corporation	584	41	Noble Corporation	50	48		
Apache Corporation	469	-20	Chevron Corporation	584	41		
Exxon Mobil Corporation	337	0	Valero Energy Corporation	137	29		
Occidental Petroleum Corp	324	4	Devon Energy Corporation	117	28		
LUKOIL (OAO) ADR	300	0					
Ultrapar Participacoes SA PRF	276	-1					
Spectra Energy Corporation	217	4					
Anadarko Petroleum Corporat	178	6	Halliburton Company	79	-95		
Marathon Oil Corporation	170	3	Holly Corporation	31	-31		
			Apache Corporation	469	-20		
			Total Fina S.A. ADR	69	-14		
			The Williams Companies, Inc.	52	-14		

Top 10 Peer Holdings

Industry	Val (\$mm)	Chg
ConocoPhillips	1,018	
Apache Corporation	469	
Exxon Mobil Corporation	337	
Anadarko Petroleum Corporation	178	
Marathon Oil Corporation	170	
Devon Energy Corporation	117	
Halliburton Company	79	
Schlumberger, LTD	69	
EOG Resources, Inc.	2	
Baker Hughes, Inc.	0	

Top 10 Industry Holdings


Industry	Val (\$mm)	Chg
Banking	8,022	
Financial Services	7,178	
Oil and Gas	5,789	
Metals and Mining	5,320	
Computer Software and Services	5,150	
Telecommunications	4,730	
Food, Beverage, and Tobacco	4,104	
Biotechnology and Pharmaceutical	3,984	
Retail	3,455	
Semiconductors	2,204	

Top 5 Industry Increases

Industry	% Post	Val	Chg
Banking	34.2%	84.0	55.1
Consumer Goods	15.8%	38.3	-21.6
Energy	12.9%	31.1	-20.1
Basic Materials	9.0%	21.8	-23.9
Utilities	8.4%	20.3	-18.2

Top 5 Industry Decreases

Industry	% Post	Val	Chg
Materials and Construction	1.4%	1,452	
Consumer Durables	1.1%	1,164	
Construction Products	0.9%	510	
Commerces	0.8%	102	
Media	0.7%	1,332	



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Reported Equity Assets (\$mm): 4,500.0
 Institution Type: Investment Advisor-Mutual Fund
 Market Cap: Multi Cap
 Styles: Specialty

Overview
 Advent Capital (ACM) manages equity and fixed-come hedge funds and mutual funds for institutions and high net worth clients. The firm was founded in 1995.

Investment Approach
 Advent's research effort employs a four-step process that includes: (a) quantitative screening; (b) credit analysis to minimize downside risk; (c) fundamental analysis of a stock's earnings momentum prospects; and, (d) portfolio monitoring. Overall, ACM prefers to invest in convertibles with: (a) cash flow momentum; (b) physical assets that can be used to provide credit security; and, (c) experienced management. The firm's Convertible Strategy portfolio uses a buy and hold strategy to capture 75-85% of the appreciation potential of underlying stocks. The Convertible Arbitrage hedge fund attempts to be market neutral by taking short positions in the underlying stocks, and uses leverage with a ratio of no more than 2:1. ACM's Phoenix portfolio invests in "busted" or "out of the money" convertibles of which the underlying stock is temporarily depressed. The firm bets across all sectors with a typical portfolio holding between 50 and 80 stocks. ACM's positions in public equity are mostly in preferred stock convertibles and occasionally the result of the maturation of associated convertibles.

Contacts
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Market Cap Breakdown

Tic	Val (\$mm)	Percent of Portfolio
Micro (< \$250 mm)	N/A	
Small (\$250 mm to \$2 bb)	N/A	
Mid (\$2 bb to \$10 bb)	N/A	
Large (\$10 bb to \$50 bb)	N/A	
Mega (>\$50 bb)	N/A	
N/A (Not Classified)	N/A	

Largest Mutual Funds Managed

Mutual Fund	Val (\$mm)	Chg
Advent/Claymore Global Convertible Securities & Income Fund	62.4	
Advent/Claymore Convertible Securities & Income Fund	62.5	
Advent/Claymore Enhanced Growth & Income Fund	58.5	
Oyster SICAV - Global Convertibles	8.3	
Insinger de Beaufort Umbrella Fund NV - Global Convertible Fd.	3.9	

Ownership by Region

Region	% Post	Val	Chg
North America	62.3%	150.8	298.9
Europe	29.0%	70.1	16.3
Asia	8.1%	19.5	28.7
Africa	0.5%	1.2	0
C. America/Caribbean	0.2%	0.4	0

Ownership by Country

Country	% Post	Val	Chg
United States	61.9%	150.0	314.3
France	13.5%	32.8	-6.8
Asia	8.5%	20.7	18.5
Hong Kong	4.9%	11.9	-5.5
Sweden	3.7%	9.0	4.0

Macro Industry Holdings

Industry	% Post	Val	Chg
Financials	34.2%	84.0	55.1
Consumer Goods	15.8%	38.3	-21.6
Energy	12.9%	31.1	-20.1
Basic Materials	9.0%	21.8	-23.9
Utilities	8.4%	20.3	-18.2
Technology	7.5%	18.2	25.4
Industrials	5.3%	12.9	-13.3
Healthcare	3.6%	8.6	-74.9
Consumer Services	3.0%	7.1	-36.1

Mid Industry Holdings

Industry	% Post	Val	Chg
Financial Services	27.6%	66.8	-8.8
Automotive	11.2%	27.2	-17.5
Energy Services	9.6%	23.2	-6.8
Metals and Mining	8.9%	21.6	-21.6
Utilities	8.4%	20.3	-16.2
Banking	4.8%	11.7	5.3
Oil and Gas	3.3%	7.9	-13.3
Consumer Non-Durables	3.1%	7.6	0
Computer Software and Services	3.1%	7.5	389.2

Focus Company: ExxonMobil Corporation

Largest Oil and Gas Holdings				Top Oil and Gas Sells			
Company	Val	Chg	% Post	Company	Val	Chg	% Post
Cameron International Corporation	5.0	1.4	2.1%	Nabors Industries, Inc. SR NT CV 1444 11	0	-4.0	0.0
Valero Energy Corporation	1.2	0	0.5%	GMX Resource, Inc. SR NT CV 1444 13	0	-3.0	0.0
PetroBakken Energy, LTD CL A	0.6	-1.1	0.2%	GMX Resource, Inc. SR NT CV 5% 13	0	-3.0	0.0
ExxonMobil Corporation	0.6	-0.6	0.2%	Schlumberger, LTD DEB-CV2.125%23	0	-3.0	0.0
Subsea 7 Inc. 2.8% CVB BDS 06/06/11 USD	0.4	0	0.2%	PetroBakken Energy, LTD CL A	0.6	-1.1	0.0

Largest Holdings in United States

Company	Val	Chg	% Post	Company	Val	Chg
Citigroup, Inc. COM STK T-DECS	43.9	-0.1	18.1%	Cameron International Corporation	5.0	1.4
NextEra Energy, Inc. CORP UNIT	23.2	-0.9	9.6%			
Great Plains Energy Incorporated CORP UNIT	20.3	-0.1	8.4%			
Synovus Financial Corporation TANG EQTY UTS	10.4	10.4	4.3%			
Legg Mason, Inc. CORP UNIT	5.7	-0.4	2.4%			

Holdings in Peers/Comparables (\$mm)

Company	06/30	03/31	12/31	09/30
ExxonMobil Corporation	0.6	1.3	0.0	0.0
Anadarko Petroleum Corporation	0.0	0.0	0.0	0.0
Apache Corporation	0.0	0.0	0.0	0.0
ConocoPhillips	0.0	0.0	0.0	0.0
Devon Energy Corporation	0.0	0.0	0.0	0.0

Notes

About Ipreo

Ipreo is a global leader in providing market intelligence, data, and technology solutions to all participants in the global capital markets, including sell-side banks, publicly traded companies, and buy-side institutions. By combining state-of-the-art new issuance systems with the premier global financial and investor data, Ipreo enables our capital markets clients to execute deals more efficiently. Our applications include end-to-end bookbuilding systems, roadshow & conference management platforms, and electronic document delivery.

Additionally, Ipreo's suite of investor prospecting and CRM solutions offers the most accurate and comprehensive institutional contacts data and profiles in the industry. Ipreo is the only financial services provider to offer solutions across all asset classes for the Equity, Fixed Income, Municipal, and Syndicated Loan markets. Ipreo is private-equity held by Blackstone and Goldman Sachs Merchant Banking Division with more than 800 employees supporting clients in every major financial center around the world.