



ASSURED
HEALTHCARE PARTNERS®

Creating opportunities for patients, caregivers, and our community

2022 IMPACT REPORT

FROM OUR MANAGING PARTNER

Our purpose is to create shared value in the healthcare industry. Continuing to enhance our Environmental, Social and Governance (“ESG”) impact is critical to shared value creation which extends well beyond our investors and portfolio company shareholders to all stakeholders in the companies and sectors we serve. Assured Healthcare Partners (“AHP”) is pleased to present our 2022 Annual Impact Report. This report is intended to provide an account of our efforts during 2022, as well as our target growth areas within the ESG framework and plans for the year ahead.

In our view, the commercial and clinical success of our companies is highly correlated to how well we and our leadership teams succeed in driving ESG outcomes. AHP provides its human and financial resources to healthcare companies that present the opportunity to drive compelling risk-adjusted returns for shareholders while generating positive impact for employees, patients, and communities. It is our belief that these imperatives do not compete. AHP focuses on continual improvement in responsible investment practices because it is essential to achieving meaningful shared value creation across all stakeholders.

As we have continued to grow our portfolio, conducting our business responsibly has been paramount to our success. To AHP, ESG principles are not just a policy supported by checklists and ceremonial processes but an underlying ingredient necessary to develop a distinctive set of businesses in the healthcare industry. We believe delivering a differentiated impact for our communities, patients, and employees will open additional investment and growth opportunities that can return direct benefits to our investors. Ultimately, AHP strives to grow sustainable businesses that are great employers and responsible corporate citizens while also generating strong returns.



JIM PIERI
Managing Partner,
Assured Healthcare Partners

AHP is committed to incorporating ESG principles into our investment activities, alongside traditional financial factors as part of a holistic approach. We believe that integrating ESG principles into our investment criteria and decision-making is crucial to risk management and portfolio construction. While we understand that ESG frameworks typically incorporate all three of the aforementioned factors, the entirety of this report details our focus on Social and Governance factors across our portfolio companies, establishing a baseline for assessing our ongoing impact in these areas.

The nature of the healthcare

FROM OUR MANAGING PARTNER (CONT.)

industry creates a very strong platform for positive Social and Governance impact through both the life-enduring services that our companies provide or support as well as the local job opportunities they create. It is for this very reason that we focus on factors like diversity and inclusion in the hiring process, equitable representation on our Boards, as well as instilling responsible corporate policies and practices.

We acknowledge that the Environmental factor is an area in which we may have room to grow in the future and which may be difficult for us to drive comparable impact given the nature of our investments. Nonetheless, we fully understand and value the importance of establishing environmentally-friendly frameworks within each of our portfolio companies and we will strive to incorporate more environmental statistics and success stories in future ESG reports.

We're not alone. We also see commitment from our investors, many of whom are committed to a strong ESG agenda, alongside consumers, businesses, and governments in marketplaces our companies serve. In September 2022, we surveyed our investors to better understand the issues and metrics that are of utmost importance to their businesses. Our goal was to ensure that we maintain transparency amongst our stakeholders and deliver relevant

statistics and portfolio information to our investors. In reviewing this feedback, we concluded that the majority of our partners' priority issues were people- and policy-focused. They were interested in understanding the performance of our portfolio companies as it relates to diversity and inclusion, and in policy and governance issues, such as companies' implementation of anti-harassment, anti-discrimination, and whistleblower policies. This feedback informed not only an evolution in our reporting but helped us to set goals for ourselves and our portfolio companies in the years to come.

On the following pages, we present several cross-portfolio statistics that demonstrate the breadth and depth of our commitment to ESG, while also highlighting some areas for additional work in coming years. We also highlight in this report the activities of a few portfolio companies, detailing their ESG impact in key areas through more detailed case studies. We hope to continue to build upon this input, expand and refine our ESG monitoring process, and see improvement in these metrics as we grow. We look forward to both supporting our portfolio companies' efforts and enforcing standards for ESG compliance that we expect to

develop over time. For example, as of this year, we further commit to improving ethnic and racial inclusion on our portfolio company Boards.

To continuously promote proper ESG management and ensure it remains a top priority, we work proactively with each of our portfolio companies on important ESG topics throughout the year. Our sector focus and expertise also mean that we have a better understanding of which ESG metrics are most material to healthcare companies and their stakeholders. Ultimately, we want our companies to set ambitious goals and tackle their own pressing ESG issues from the bottom-up. We are proud to support our portfolio companies along their ESG journeys, and we are delighted with the 2022 successes captured in this report.

Sincerely,

Jim Pieri
Managing Director
Assured Healthcare Partners

AHP's 2022 ESG Impact

AHP

>50%

Managing Directors and Principals at AHP self-identify as racially or ethnically diverse

AHP

45%

of AHP team members self-identify as female or racially or ethnically diverse



SOCIAL

68%

average number of female employees at each portfolio company

SOCIAL

27%

average number of employees that identify as racially or ethnically diverse at each portfolio company

SOCIAL

1 in 3

portfolio company Board members identify as racially or ethnically diverse

SOCIAL

100%

of portfolio companies directly servicing patients track quality of care

SOCIAL

100%

of portfolio companies who work with patients reported the highest bracket of patient satisfaction

SOCIAL

4,066

unique new hires at our portfolio companies since AHP's involvement



SOCIAL

452

average number of unique new hires at each portfolio company since AHP's involvement

GOVERNANCE

100%

of portfolio companies have an anti-harassment, equal opportunity, or anti-discrimination policy in place

GOVERNANCE

90%

of portfolio companies have data privacy policies in place



GOVERNANCE

80%

of portfolio companies provide diversity, anti-harassment, and anti-discrimination training¹

GOVERNANCE

90%

of portfolio companies have a Code of Conduct or Code of Ethics policy in place²

GOVERNANCE

90%

of portfolio companies actively track data breaches that occur in a calendar year

GOVERNANCE

90%

of portfolio company Board members include women and/or members who self-identify as racially or ethnically diverse



1. 67% of U.S. organizations report some use of diversity training

Kulik, C.T., & Roberson, L. (2008). Common Goals and Golden Opportunities: Evaluations of Diversity Education in Academic and Organizational Settings. Academy Of Management Learning & Education, 7(3), 309-331.

2. 86% of Fortune Global 200 companies have a business code of ethics

<http://www.ethicsmanagement.info/content/Business%20codes%20Fortune%20200.pdf>



CASE STUDY



Diverse communities require diverse workforces to drive impact

Allied Digestive Health (“ADH”) is the fourth largest group of gastrointestinal specialists in the United States and the largest in the Northeast, with 110 physicians operating across New Jersey and New York. ADH physicians and care partners treat a wide variety of conditions, including inflammatory bowel disease (e.g., Crohn’s disease and ulcerative colitis), celiac disease, diverticulitis, gastroenteritis, pancreatitis, and others. Performing over 13,000 colonoscopies per year with industry-leading adenoma detection rates (43% as compared to industry standard of 25%)³, ADH is at the forefront of cancer detection and prevention. Given the more chronic needs of many patients ADH



One of our leading HR priorities at ADH is to increase the diversity of our workforce to ensure that we select the best staff possible and create a workforce that is representative of our community.”

BEVERLY COLEMAN
Senior Vice President, HR at ADH

serves, workforce diversity is even more critical given the significant ongoing interaction with patients and families who themselves have diverse backgrounds.

Since its inception, ADH has taken a proactive approach toward encouraging diversity among its physician base and its executive leadership team. Among the senior leaders of the organization, 50% self-identify as racial or ethnic minorities and 38% identify as women. This compares favorably to industry-wide averages; according to Modern Healthcare, less than 20% of healthcare leaders are non-white.⁴ Of the physicians employed at ADH, 58% self-identify as being racial or ethnic minorities and 37% are women. Again, this compares favorably to industry-wide metrics (for gastrointestinal specialists in particular) where 46% are of minority descent and 36% are women.⁵

3. [Qpp.cms.gov/docs/QPP_quality_measure_specifications/CQM-Measures/2019_Measure_343_MIPSCQM.pdf](https://www.cms.gov/docs/QPP_quality_measure_specifications/CQM-Measures/2019_Measure_343_MIPSCQM.pdf)

4. <https://www.modernhealthcare.com/article/20180224/NEWS/180229948/racism-still-a-problem-in-healthcare-s-c-suite>

5. <https://www.sciencedirect.com/science/article/pii/S0016508522007211>

CASE STUDY

“One of our leading HR priorities at ADH is to increase the diversity of our workforce to ensure that we select the best staff possible and create a workforce that is representative of the communities that we serve,” said Beverly Coleman, Senior Vice President, HR at ADH.

This gender and cultural diversity enables ADH to more appropriately and comprehensively serve the communities in which it operates and creates opportunities for employees and physicians who may have been marginalized in other contexts.

Improving representation is important to ADH because of the historical underrepresentation of women and minority populations in these roles. Creating an example for other healthcare organizations to follow is important in its own right, but ADH has also found from its direct experience that integrating a diverse set of viewpoints generates better decisions related to clinical, operational, and business matters.

Recently, when looking to expand into an area of New Jersey that has a relatively dense Korean population, ADH was able to better meet the needs of this community by placing physicians in its expansion clinic who were from a similar cultural background. These physicians provide better care to this community because they understand cultural nuances and can communicate with patients in their native language, providing more information about their medical conditions and encouraging better follow-up. Speaking the same language, knowing the same cultural norms, and having roots in the ethnic fabric of the community allowed this expansion clinic to grow much faster than it would have otherwise been able to do.

“Identifying and placing physicians who have ties to the community, either because they grew up there or because they are from the same ethnic background, is certainly a strategy for ADH,” said Matt Devine, CEO of ADH. “We believe that by building a more diverse workforce, we can improve access and outcomes in the communities we serve.”

In our view, by consciously identifying ways to better serve the community and by matching the community demographic, ADH has been able to grow substantially, doubling the number of providers, increasing overall revenue, and entering markets that would have otherwise been difficult to approach.



Since its inception, ADH has taken a proactive approach toward encouraging diversity.

EXECUTIVE LEADERSHIP TEAM

50%
self-identify as racial or ethnic minorities

38%
identify as women

This compares favorably to industry-wide averages where less than 20% of healthcare leaders are non-white, according to Modern Healthcare.

PHYSICIAN TEAM

58%
self-identify as racial or ethnic minorities

37%
identify as women

This compares favorably to industry-wide metrics (for gastrointestinal specialists in particular) where 46% are of minority descent and 36% are women.

PROMISES

BEHAVIORAL HEALTH CASE STUDY



Providing support and opportunity to elevate the lives of vulnerable members of our communities

The COVID-19 pandemic has only accelerated the surge of patients who require treatment for mental and behavioral health-related issues. The number of individuals dying from overdoses is at an all-time high: 100,306 in the U.S. alone in 2021.⁶ The rate of suicide is also at an all-time high, with over 47,000 people dying in 2021, and it continues to be the leading cause of death for people under age 45, after accidents.⁷ While the need has never been greater, there are far fewer mental and behavioral health providers than are necessary to meet the need in many of our communities. A recent study by physicians at Ohio State University estimates that the U.S. needs more than 30,000 additional psychiatrists and therapists to support the ongoing needs of the population.⁸ Access

“

Our patients come to us in their greatest time of need and it is our duty to take care of them. Every additional patient that we treat is another individual who has a second chance for a better life.”

PUBALI CHAKRAVORTY
CAO of PBH

and service quality remain ongoing issues in the industry.

Promises Behavioral Health (“PBH”) is a leading provider of mental health and substance use disorder treatment services, with operations in Massachusetts, Pennsylvania, Tennessee, Florida, and Texas. PBH treats those who suffer from all forms of mental health challenges (schizophrenia, bipolar disorder, trauma, PTSD, etc.) and substance misuse (opioid, alcohol, methamphetamine, cocaine, etc.), either co-occurring or occurring in isolation. The scope and scale of the demand for PBH’s services is evident. PBH is proud to deliver a wide variety of mental and behavioral health services to help address this ongoing national crisis. Patients come to PBH from all circumstances and environments seeking treatment. It is a privilege for AHP to support and grow an institution such as PBH which so directly and materially affects the lives of its patients, their families,

6. https://www.cdc.gov/nchs/pressroom/nchs_press_releases/2021/20211117.html

7. <https://stacks.cdc.gov/view/cdc/120830>

8. <https://pubmed.ncbi.nlm.nih.gov/29540118/>



CASE STUDY

and the communities from which they originate. Growing PBH is one of the best examples of AHP's mission to make good business decisions in the service of doing good.

In addition to servicing over 100,000 unique patient days across its facilities in any given year, PBH also supports the communities in which it operates by providing a substantial amount of care to low-income individuals. These individuals are often those most impacted by the challenges of addiction and least able to access the care that they need. Across the company, 25% of patients are covered by Medicaid, a form of low-income, safety-net health insurance; and at PBH's Washburn House in Worcester, Massachusetts, 100% of patients are covered by Medicaid.

"Every day is another opportunity to serve more patients," said Pubali Chakravorty, CAO of PBH. "Our patients come to us in their greatest time of need and it is our duty to take care of them. Every additional patient that we treat is another individual who has a second chance for a better life."

By treating so many low-income patients, PBH provides an essential service and is often the referral center of choice for difficult-to-place patients. By partnering with state governments and Managed Care organizations, PBH seeks to grow revenues and expand the company while providing necessary care to the community.

PBH has also taken an industry-leading position on the importance of gender diversity in the workforce. 92% of PBH's senior leadership team are women compared to an industry-wide average of 33%. In addition, 66% of its total workforce are women. While this is lower than the healthcare industry average, when accounting for the fact that PBH serves inpatients who require same-sex staff in their residential quarters, this speaks to PBH's commitment to increasing the presence of women.

One program that PBH has recently initiated is employing prior patients in paid staff positions once their treatment is sufficiently stable. Through this "Treat to Work" program, former patients get an opportunity to get back on their feet and find employment at PBH. This program provides PBH with a dedicated and loyal workforce of colleagues who have experienced first-hand the benefits that PBH's treatment methods can provide and who are excited to pass those experiences on to other patients. Further to the leadership team's focus on workforce development, PBH University ("PBHU") was launched in 2022 with an objective to positively influence employee retention and



PBH has also taken an industry-leading position on the importance of gender diversity in the workforce.

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of PBH's senior leadership team are women compared to an industry-wide average of 33%

66%
of its total workforce are women

engagement by offering inclusive learning experiences for the workforce. PBHU offers targeted educational programming on three tracks: All Hands, Emerging Leaders (Directors and Supervisors), and Senior Leadership (direct reports of PBH C-suite executives). Currently in development is a fourth track, which will offer certified Continuing Education-eligible coursework to internal and external audiences. All programming is free, offered during business hours, and led by a faculty of PBH executives.

"Treating patients struggling with mental and behavioral health conditions isn't a job, it is a mission," said Rob Waggner, Chairman of PBH. "These are people who need help, and it is our privilege to help them when they are at their most vulnerable."



CASE STUDY



Developing and empowering caregivers to increase access to quality and affordable care

Regency Integrated Health Services (“Regency”) operates a full continuum of post-acute and long-term care services in Texas, providing essential care to nearly 5,900 residents on any given day, with services ranging from residential care, skilled nursing and medical care, physical therapy, occupational therapy, speech therapy, IV therapy, wound care, and Alzheimer’s and dementia care. Regency’s goal is to help residents maximize their mobility and regain their independence.

Each Regency facility is locally staffed and is a vital part of its community, with over 7,000 employees systemwide. By drawing nurses and other staff from the local community, training them, and giving them opportunities to advance, Regency is an economic engine that is enabling social advancement and healthcare career opportunities for



At Regency we believe in strong communities. We invest in our workers so that we can treat our patients better.”

DONOVAN DEKOWSKI
CEO of Regency

many of its employees. Through a collaborative arrangement with Dwyer Workforce Development, a non-profit healthcare workforce development program, Regency invests in its staff by providing comprehensive support (e.g., job training and placement services, need-based wraparound services) to individuals who lack the background or opportunity to otherwise pursue a career in healthcare. This collaborative effort helps alleviate the healthcare worker shortage while simultaneously improving the lives of patients.

“At Regency we believe in strong communities,” said Donovan Dekowski, CEO of Regency. “We invest in our employees so that we can better treat clinically complex patients most effectively, doing so outside of an acute-care hospital setting as a solution to local healthcare systems.”

CASE STUDY

Regency is also proud to support its communities by providing a significant amount of care to low-income individuals who often lack the necessary family and social support in their home to be able to survive without Regency's services. Systemwide, nearly 77% of patients are covered by Medicaid, which provides low-income, safety-net insurance. Regency's mission is to support not only patients but the communities in which Regency operates. Treating patients who need care the most is central to that mission. An example of this is Regency's management participation in the Texas Health & Human Service steering committee to establish and further the Quality Incentive Payment Program (QIPP), which is focused on improving quality and efficiency of care for Medicaid patient populations.

Further illustrating that ESG is good business, Regency developed its own specialized, risk-based Medicare Advantage health insurance plan (Institutional Special Needs Plan or I-SNP) in 2020, to help enable access to affordable, quality care while avoiding unnecessary hospital readmissions through a comprehensive coverage model. In addition to scaling Regency's impact for those needing its care and mitigating the total cost of care to the state and local government, this new health plan created an additional revenue stream for the organization. Regency's I-SNP health plan has grown to support several thousand plan members since its launch.



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This ESG Report is intended to highlight AHP's relevant ESG efforts, commitment, and effectiveness across various ESG factors with respect to portfolio company investments by the Funds. The ESG factors discussed herein are considered in AHP's investment analysis and decision-making process alongside many other factors, including non-ESG factors, in order to properly identify risks and/or growth opportunities for AHP, the Funds and our portfolio companies. The ESG factors identified herein are not part of any standard ESG framework; rather, such factors have been identified by AHP through references to industry standards and guidelines as indicators that AHP believes are or may be relevant to its investment portfolio analysis and investment decision-making process. Each ESG factor may be more or less relevant depending on the applicable portfolio company, and non-ESG factors may materially impact and/or outweigh the ESG factors AHP considers with respect to such portfolio company. The information discussed herein with respect to certain ESG factors are subjective determinations made by AHP based on the information available to it as of a specific point in time and based on its own qualitative and quantitative analysis, and actual results may be materially different from those set forth herein.

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Past results are not necessarily indicative of future results and no representation is made that results similar to those shown can be achieved. Investments, including investments in funds and accounts, managed by AHP may lose value. Investors may lose investment capital. Investment results will fluctuate. Certain market and economic events having a positive impact on performance may not repeat themselves.

The information contained herein does not purport to present a complete picture

DISCLOSURES (CONT.)

of the financial position, activities, results, actions and/or plans of AHP, the Funds or any other fund or account managed by, or any investment made or managed by, AHP, and is for informational purposes only. This ESG Report presents certain information regarding certain portfolio company investments of the Funds in various categories and classifications. The various categories and classifications represent the opinion of AHP. The categories and classifications presented could be materially different from other third-party classification systems.

The selected portfolio company investments discussed in this ESG Report, represent a limited number of investments made by AHP in the Funds, and have been included to evidence the incorporation of AHP's ESG principles into our investment activities. The selected portfolio company investments do not represent all of the investments made by AHP with respect to a Fund and/or the Funds and have been selected based on non-performance based criteria and are presented in a fair and balanced manner. Specifically, the portfolio company investments discussed in this ESG Report represent investments that AHP believes are good representatives of our ESG efforts, commitment, and effectiveness across various ESG factors with respect to portfolio company investments. The investments discussed in this ESG Report are not intended to be, and should not be construed as, investment advice or a recommendation to purchase or sell any particular security. It should not be assumed that portfolio company investments made for a Fund and/or the Funds will match the ESG impact, results or character of the investments discussed in this ESG Report. Any expected ESG impact or outcomes discussed in this ESG Report with respect to the selected portfolio company investments are premised on several factors, which are uncertain and subject to numerous

business, industry, market, regulatory, competitive and financial risks that are outside of AHP's control. There can be no assurance that the expected ESG impact and outcomes of the selected portfolio company investments will prove accurate, and actual results may differ materially. No assurances can be made that the expected impact and outcomes can be achieved.

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Demographic data for AHP is based on EEO-1 reporting and is collected from voluntary employee self-identification or, in the absence of voluntary self-identification, a visual survey of the workforce by Human Resources.

This ESG Report contains certain statements that are not purely historical in nature, but are "forward-looking statements" or statements of opinion which may be identified by the use of such words as "believe," "expect," "anticipate," "should," "planned," "estimated," "potential," "outlook," "forecast," "plan," "may," "can," "will," "would," "seek," "anticipate," "project," "hope," "intend," "continue," "target," and other similar terms and comparable terminology (or the negatives thereof). Examples of forward-looking statements include, without limitation, estimates with respect to financial condition,

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