

Brompton Funds Overview

Brompton was founded in 2000 and provides innovative, income-oriented investment solutions for individual investors in Canada. Brompton has a long, successful track record of delivering well-conceived investment funds that are focused on providing investors with attractive regular distributions.

Our funds are designed to address investors' cash flow requirements and to provide them with value-added diversification strategies. Since inception in 2000, Brompton has paid out over \$3 billion in distributions.

Portfolio Management Team

Brompton In-house Equity Portfolio Management Team:



Laura Lau – Chief Investment Officer

Laura Lau has over 25 years of experience in financial services and the Chief Investment Officer with Brompton Funds. Ms. Lau leads Brompton's portfolio management team that oversees assets of approximately \$2.4 billion primarily in global and Canadian covered call mandates designed to generate income and lower volatility of returns. Prior to joining Brompton, she was a Senior Portfolio Manager at a major Canadian fund manager from 2004 to 2011 where she co-managed over \$500 million in portfolios. Ms. Lau is a CFA charterholder and is a member of the Toronto CFA Society. She holds the Derivatives Market Specialist Designation. Ms. Lau graduated with a Bachelor of Applied Science in Industrial Engineering (Honours) from the University of Toronto and serves on the advisory board of the Mechanical and Industrial Engineering Department of her alma mater.



Michael D. Clare – Senior Vice President & Senior Portfolio Manager

Michael Clare has over 18 years of experience in financial services and is a Senior Vice President and Senior Portfolio Manager with Brompton Funds. Mr. Clare is a member of Brompton's portfolio management team and is a co-manager of investment funds at Brompton with combined assets of over \$2.4 billion. He specializes in portfolio construction, security analysis, and covered call strategies with a focus on technology, health care, financials, energy, global equities, and low volatility strategies. Prior to joining Brompton in 2012, Mr. Clare was a portfolio manager at Creststreet Asset Management Limited. He previously worked for Deloitte & Touche LLP as a manager in the assurance and advisory practice.

Mr. Clare is a CFA charterholder and is a member of the Toronto CFA Society. He is also a Chartered Professional Accountant and a member of the Chartered Professional Accountants of Ontario. He received an Honours Bachelor of Commerce degree from Queen's University.



Varun Choyah – Assistant Vice President & Associate Portfolio Manager

Mr. Choyah joined Brompton Funds in 2019 and is Assistant Vice President and Associate Portfolio Manager. He specializes in equity security selection with a focus on the global technology, healthcare, and communication services sectors. Previously, Mr. Choyah was a research associate covering technology equities at various Canadian investment dealers for nearly a decade. Prior to that, he was an IT Consultant at a major consulting firm.

Mr. Choyah graduated with a Master Business Administration from the University of Toronto and a Master of Science degree in Electrical and Computer Engineering from The University of the West Indies. He has completed the CFA Level 1.



Maggie Meng – Senior Investment Analyst

Maggie Meng has nearly a decade of experience in the financial industry and is a Senior Investment Analyst with Brompton Funds. Since joining Brompton in 2015, Ms. Meng has held progressively senior roles and she currently specializes in equity security selection with a focus on global utilities, real estate, industrials and telecommunications.

Ms. Meng is a CFA Charterholder and is a member of the Toronto CFA Society. Ms. Meng is also a Chartered Professional Accountant, Certified General Accountant and is a member of the Chartered Professional Accountants of Ontario. She received a Bachelor of Commerce degree from the University of Toronto.



Billy Huang – Investment Analyst

Billy Huang joined Brompton Funds in 2021 as an Investment Analyst. He specializes in equity selection and trading strategies with a focus on global materials, consumer staples and consumer discretionary sectors. Prior to joining Brompton, Mr. Huang was a trader at a family office. Prior to that, he worked for another family office as an investment associate covering North American equities. He started his career as a research analyst covering emerging market equities at a third party research firm.

Mr. Huang is a CFA Charterholder and is a member of the Toronto CFA Society. He received his Bachelor of Commerce degree from McGill University in 2015, majoring in Finance and minoring in Statistics.



Utsav Srivastava – Investment Analyst

Utsav Srivastava joined Brompton Funds in 2023 as an Investment Analyst. He currently specializes in equity selection with a focus on the global industrial, utilities, and real estate sectors. Mr. Srivastava has prior investment experience in equities and fixed income. Before joining Brompton, he was a Credit & Equities Analyst at a boutique investment manager. Prior to that, he worked at an equity asset management firm, covering the global consumer sector. Mr. Srivastava graduated with a Master Business Administration from the Rotman School of Management at the University of Toronto. He received his Bachelor of Arts degree in Economics from the University of British Columbia. He is a CFA charterholder and is a member of the Toronto CFA Society.

Sub-Advisors

Flaherty & Crumrine – U.S. Investment Grade Preferred Shares Strategy:

Flaherty & Crumrine is the longest tenured U.S. investment firm focusing exclusively on managing portfolios of preferred securities for institutional investors. Established in 1983, Flaherty & Crumrine Incorporated specializes in US dollar denominated preferred securities and corporate debt instruments. The firm uses 30 years of proprietary data on over 1500 preferred securities to carry out intensive credit analysis, thorough vetting of securities' terms and structures, and active portfolio management, with the goal of exploiting pricing inefficiencies in the fixed income markets to provide attractive rates of return.

Brompton ETF Overview

Fund	Ticker	Investment Focus	Fund Profile
Brompton Global Dividend Growth ETF	BDIV	Large-cap global dividend growth companies	Fund Profile
Brompton Flaherty & Crumrine <i>Enhanced</i> IG Preferred ETF	BEPR BEPR.U	Same strategy as BPRF with leverage up to 33% of total assets	Fund Profile
Brompton North American Financial Dividend ETF	BFIN BFIN.U	Large-cap North American financial services companies	Fund Profile
Brompton North American Low Volatility Dividend ETF	BLOV	Large-cap North American companies with a focus in volatility management	Fund Profile
Brompton Enhanced Multi-Asset Income ETF	BMAX	Target of 70% Equity Covered Call ETFs and 30% Fixed Income Diversifiers with leverage target of 33% of NAV	Fund Profile
Brompton Flaherty & Crumrine IG Preferred ETF	BPRF BPRF.U	Primarily Investment Grade U.S. preferred securities	Fund Profile
Brompton Global Infrastructure ETF	BGIE	Actively managed portfolio of global infrastructure companies	Fund Profile
Brompton Split Corp. Class A Share ETF	CLSA	Split Corp. Class A Shares offered by Canadian split share corporations	Fund Profile
Brompton European Dividend Growth ETF	EDGF	Large-cap European dividend growth companies	Fund Profile
Brompton Global Healthcare Income & Growth ETF	HIG HIG.U	Large-cap global Healthcare companies	Fund Profile
Brompton Split Corp. Preferred Share ETF	SPLT	Split Corp. Preferred Shares offered by Canadian split share corporations	Fund Profile
Brompton Tech Leaders Income ETF	TLF TLF.U	Large-cap global Technology companies	Fund Profile

This document is intended for informational purposes only to assist advisors with relevant know-your-product (“KYP”) information relating to the Brompton ETFs and is not exhaustive of any KYP information that may be required under securities laws. For a summary of the risks of an investment in a particular Brompton ETF, please see the specific risks set out in the ETF’s prospectus. Advisors are solely responsible for determining whether any investment, security or strategy, or any other product or service, is appropriate or suitable for their clients, based on their investment objectives and personal and financial situation.

This document is for information purposes only and does not constitute an offer to sell or a solicitation to buy the securities referred to herein. The opinions contained in this report are solely those of Brompton Funds Limited (“BFL”) and are subject to change without notice. BFL makes every effort to ensure that the information has been derived from sources believed to be reliable and accurate. However, BFL assumes no responsibility for any losses or damages, whether direct or indirect which arise from the use of this information. BFL is under no obligation to update the information contained herein. The information should not be regarded as a substitute for the exercise of your own judgment. Please read the prospectus before investing.

Commissions, trailing commissions, management fees and expenses all may be associated with exchange-traded fund investments. Please read the prospectus before investing. Exchange-traded funds are not guaranteed, their values change frequently and past performance may not be repeated.

Certain statements contained in this document constitute forward-looking information within the meaning of Canadian securities laws. Forward-looking information may relate to matters disclosed in this document and to other matters identified in public filings relating to the ETFs, to the future outlook of the ETFs and anticipated events or results and may include statements regarding the future financial performance of the ETFs. In some cases, forward-looking information can be identified by terms such as “may”, “will”, “should”, “expect”, “plan”, “anticipate”, “believe”, “intend”, “estimate”, “predict”, “potential”, “continue” or other similar expressions concerning matters that are not historical facts. Actual results may vary from such forward-looking information. Investors should not place undue reliance on forward-looking statements. These forward-looking statements are made as of the date hereof and we assume no obligation to update or revise them to reflect new events or circumstances.

BROMPTON
FUNDS

VALUE
INTEGRITY
PERFORMANCE
THE FOUNDATION FOR EXCELLENCE

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