

## CASTLESTONE MANAGEMENT LLC

### About Us

#### Investment Advisor Facts

**Investment Advisor Name**

Castlestone Management LLC

**Domicile**

United States of America

**Regulator**

New Jersey Bureau of Securities  
CRD#: 170379

**Address**

PO Box 510  
Ridgewood NJ 07451  
United States of America

**Phone**

+1 (201) 546 6458

**Email**

[info@castlestonmanagementllc.com](mailto:info@castlestonmanagementllc.com)

**Website**

[www.castlestonmanagementllc.com](http://www.castlestonmanagementllc.com)

#### Investment Committee

**Investment Advisor**

Angus Murray

**Investment Advisor**

Peter Conniff

**Fund Research & Analysis**

Charles Parry

**Investor Relations & Operations**

Wendy Lyons & Robert Smith

#### International Sales Team

**James Loxton** (Europe, Central & South America)

+44 7957 315474

**Joe Wheeler** (Asia and Middle East) +852 9170 2467

**William Morris** (Asia)

+852 4674 6850

**William de Waard** (Africa)

+27 83 288 0265

#### THE INVESTMENT ADVISOR – CASTLESTONE MANAGEMENT LLC

Castlestone Management LLC, a Delaware limited liability company, is registered with the New Jersey Bureau of Securities in the United States as a registered investment advisor. Castlestone Management is the advisor to Castlestone Low Volatility Income UCITS Fund & Castlestone FAANG+ UCITS Fund sub funds of AQA UCITS Funds SICAV p.l.c.

Additional information about Castlestone Management LLC is available on the United States Securities and Exchange Commission's website at

Informes sobre ventas/distribución: KNG International Advisors [Office Mex: +52 (998) 500-1627 | Office UK: +44 (207) 183-3787]  
[[info@kngadvisors.co.uk](mailto:info@kngadvisors.co.uk) | [www.kngadvisors.co.uk](http://www.kngadvisors.co.uk)]

#### Investment Philosophy

Castlestone Management LLC aims to deliver funds that are liquid, completely transparent, do not use any leverage and most importantly, only hold liquid instruments. By concentrating on financial intermediaries and their clients we can focus without compromise on capital preservation and the power of cumulative returns. This philosophy enables us to look ahead and identifies those assets that could become real opportunities in the future.

Our professional relationships are built on trust and proven capability. We work with intermediaries' long term, helping them to develop a sound reputation both among their clients and the wider investment community.

#### Low Volatility Income UCITS Fund

The Fund offers long term capital appreciation by investing in low volatility, high dividend paying equities it is traded daily, long-only, liquid, and unleveraged. The portfolio is completely transparent and uses currency hedging to offset fluctuations in the value of currencies. The Fund will look to invest mainly in exchange listed, United States equities with targeted dividend yields of 2% to 3% with lower volatility than aggregate vs the S&P 500.

#### FAANG+ UCITS Fund

The FAANG+ Fund aims to provide growth through the exposure to US and global technology companies focused around the FAANG names: Facebook, Apple, Amazon, Netflix and Google. We also include Microsoft which, combined by market capitalisation, make up approximately 20% of the S&P 500 Index. The Fund also invests in the growing Chinese internet companies like Tencent and Alibaba, as well as semiconductor makers and mobile phone producers like Taiwan Semiconductor and Samsung.

#### Next Generation UCITS Fund

The Fund provides exposure to the next generation of market leading listed securities/companies, which demonstrate innovative solutions to current issues, develop disruptive technologies, or create new markets through innovation in 10 sectors. Investing in the companies that represent the best risk-reward within their sectors and display market leading characteristics. The Next Generation Fund will complement any value/growth strategies and multi-asset manager funds.

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#### Investment Committee and Team

##### **Angus Murray**

##### ***Head of Investment Advisory Services Managing Principal for Castlestone Management LLC***

Angus Murray is the sole member of Castlestone Management LLC and is a Registered Investment Advisor Representative at the firm. Angus was the founder of Castlestone Management Inc., an independently owned investment management/family office that managed alternative assets since 1996. Prior to this Angus held the position as co-head of International Equities for NatWest Markets USA. During his time at NatWest Markets Angus was appointed as a Vice President and ran the Australian/New Zealand Equities department and was an Australian/New Zealand institutional equity salesperson in London. In October 1997, Angus joined Macquarie Bank's equity department in London before being appointed to be President of Macquarie Holdings (USA) Inc. Between October 1997 and March 2000, Angus held the dual responsibilities as President of Macquarie Holdings (USA) Inc. and "managing principal" of the Investment Manager. Angus resigned from Macquarie in March 2000. He received a Bachelor of Financial Economics from the University of London, England.

##### **Peter Conniff**

##### ***Investment Advisor***

Peter Conniff is the Head Trader at Castlestone Management LLC and is a registered Investment Advisor Representative at the firm. Peter is responsible for the investment advice the Funds. Peter has over twenty-five years trading and sales experience. He began working for Merrill Lynch in 1987 and held positions with their Institutional Capital Markets Group, International Operations Division, Institutional Advisory Group and Global Capital Markets Division. He managed equity trading desks in New York and San Francisco. In 1991 he was presented the Merrill Lynch Presidents award. Mr. Conniff holds a Bachelor of Arts in Political Science from Fordham University, Bronx, New York. Peter holds numerous examination qualification from the SEC. CRD#1917676

##### **Charles Parry**

##### ***Fund Research & Analysis***

Charles Parry is part of an outsourced company with years of experience. He works closely with Angus and Peter providing research, data, and fund support for Castlestone Management LLC.

##### **Robert Smith & Wendy Lyons**

##### ***Investor Relations & Operations***

Robert Smith & Wendy Lyons are part of an outsourced company. They provide support for investors and work closely with the Sales Team providing information, marketing and data support for Castlestone Management LLC.

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#### Counterparties

##### Independent Administrator

Calamatta Cuschieri is one of Malta's largest financial services firms that pioneered the Maltese financial services industry as early as 1972. With a philosophy to consistently service clients in an honest and personalized manner, Calamatta Cuschieri has moved from strength to strength gaining an excellent reputation along the way. Today the company offers a wide range of services across a variety of financial assets, these include Independent Investment Advice, Live Online Trading, Fund Services, Investment Management Services & Discretionary Portfolio Services amongst others.

##### Custodian

Swissquote Financial Services (Malta) Ltd. offers two primary services: global securities trading accounts for institutional and private clients and depositary services to Malta-based UCITS, AIF, NAIF, PIF and offshore-based fund structures. Their clients are asset managers, investment managers, fund managers, private wealth and family offices, financial institutions, professional individuals and fund structures.

##### Auditor

Deloitte Audit Limited operates as a limited liability company, established under the Maltese law, with registered office at Deloitte place TriqL-Intornjatur Central Business District, CBD 3050, Malta and registration number C51312.

##### Fund Manager

AQA Capital provides management company services to institutional and individual clients by utilizing the experience garnered from the staff's collective years in the financial market. AQA Capital can provide management company services to clients regardless of fund jurisdiction or asset class, based on operations in Malta, Italy and its partnerships in Luxembourg and Ireland. As a Super Management Company licensed by the Maltese Financial Services Authority, AQA Capital offers UCITS and AIF funds that are both internally managed or with the white label solution. AQA Capital is authorized to manage both UCITS and AIFs and is ready to operate on the entire Value Chain so clients can determine which of our skills best suits their personal financial interests.

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#### Fund Availability

Castlestone Management supports you, as you grow your businesses. We provide products and services that allow your clients to feel confident with their investments and the decisions you have helped them make.

We provide a range of marketing support services to our Financial Intermediaries, from regular performance and research updates to educationally focused seminars, event promotion and conference participation.

If you are interested in becoming a signed Financial Intermediary with Castlestone Management, please [contact us](#).

There are two ways for Financial Intermediaries to access the Castlestone Management range of funds:

**Directly.** The fund range is available directly with the management company providing a simple way of accessing our funds through our sites:

Castlestone Management LLC – [www.castlestonmanagementllc.com](http://www.castlestonmanagementllc.com)

Before you or your client completes the application/subscription form, please ensure you read the appropriate prospectus in its entirety. Please contact the appropriate member of the international sales team to request a copy of the funds offering memorandum.

**Via Platforms.** The range of UCITS funds is available through leading fund supermarkets, life insurance companies and wrap providers – allowing you and your clients flexibility and ease of access to our funds.

Axa China Region Insurance Co (Bermuda) Ltd	Hansard International
Arden Nominees Limited	Nedbank Private Wealth
Moventum (via Capital Platforms)	Gravitas Finance LLC
Custodian Life	Momentum Wealth
Investors Trust	Quilter International Ireland DAC
Capital International (Nominees) Ltd	Quilter International Isle of Man Ltd
Cornhill Management OCP	Quilter International Isle of Man - Singapore Branch
Friends Provident International	RL360
Allfunds	SEB Life International
The Investment Platform	STM Life Assurance
Utmost Wealth	Providence Life

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Additional information about Castlestone Management LLC is available on the United States Securities and Exchange Commission's website at

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