

John Griffin Phillips

Comprehensive Fund List



VIETNAM FUND MANAGEMENT CO LTD.		1992-1993
Hong Kong Registered	First Vietnam Fund Ltd	
FIRST TRUST/NIKE SECURITIES INC.		1993-2001
US Registered	<p>Preferred Trust Series</p> <p>Reit Series</p> <p>Dogs of the Dow Series</p> <p>Approx. 1500 Unit Investment Trusts deposited during my tenure</p>	
Canadian Registered	<p>Target 10 Trust First Trust Canadian Trust, Series 1</p> <p>The Global Target 15 Trust, 1997 Series First Trust Canadian Trust, Series 4</p> <p>The Wealth Management Trust, First Trust Canadian Trust, Series 8</p> <p>The Target 10 Trust, 1997 Series First Trust Canadian Trust, Series 3</p> <p>The North American Technology Trust, 1997 Portfolio, First Trust Canadian Trust, Series 5</p> <p>The Pharmaceutical Trust, 1997 Portfolio First Trust Canadian Trust, Series 6</p> <p>The Financial Institutions Trust First Trust Canadian Trust, Series 7</p> <p>Dow Jones Industrial AverageSM Target 10 Trust, 1998 Series, First Trust Canadian Trust, Series 9</p> <p>REIT & Real Estate Growth Trust '98 First Trust Canadian Trust, Series 11</p> <p>The North American Technology Trust, 1998 Portfolio, First Trust Canadian Trust, Series 12</p> <p>The Pharmaceutical Trust, 1998 Portfolio First Trust Canadian Trust, Series 13</p> <p>World's Leading Brands Trust, 1998 Portfolio First Trust Canadian Trust, Series 14</p> <p>The Financial Institutions Trust, 1998 Portfolio First Trust Canadian Trust, Series 15</p> <p>Dow Jones Industrial AverageSM Target 10 Trust, 1999 Portfolio, First Trust Canadian Trust, Series 16</p> <p>Canada's Leading Companies Growth Trust, 1999 Portfolio, First Trust Canadian Trust, Series 17</p> <p>The Pharmaceutical Trust, 1999 Portfolio First Trust Canadian Trust, Series 18</p> <p>The North American Technology Trust, 1999 Portfolio, First Trust Canadian Trust, Series 19</p> <p>The Dow Jones Internet Index Trust, 1999 Portfolio First Trust Canada, Series 21</p> <p>RSP Pharmaceutical Trust, 2000 Portfolio First Trust Canada, Series 23</p> <p>RSP North American Technology Trust, 2000 Portfolio, First Trust Canada, Series 24</p> <p>New e-Conomy Trust 2000 Portfolio First Trust Canada, Series 25,</p> <p>Canada's Leading Companies Growth Trust, 2000 Portfolio, First Trust Canada Series 26</p> <p>Lehman Brothers 10 Uncommon Values Trust, 2000 Portfolio</p> <p>Technology Trust, 2000 Portfolio</p> <p>Pharmaceutical Trust, 2000 Portfolio</p> <p>Biotechnology Trust, 2000 Portfolio</p> <p>Global Financial Services Trust, 2000 Portfolio</p> <p>Communications Trust, 2000 Portfolio</p> <p>Lehman Brothers 10 Uncommon Eurovalues Trust, 2001 Portfolio</p> <p>Global Leading Companies Trust, 2001 Portfolio</p> <p>Canada's Leading Companies Growth Trust, 2001 Portfolio</p>	

Cayman Registered	IO Uncommon Eurovalues Jan '00 IO Uncommon Eurovalues Jan '01 IO Uncommon Eurovalues Jan '99 IO Uncommon Eurovalues July '98 IO Uncommon Eurovalues July '00 IO Uncommon Eurovalues July '01 IO Uncommon Eurovalues July '99 Biotechnology Portfolio DJIA Target 10 Trust July 1998 DJIA Target 5 Trust July 1998 DOW Jones Internet Index E-Business Portfolio Lehman Bros IO Uncommon Values NASDAQ 100 Index Portfolio New E-Economy Portfolio Worldwide Wireless Portfolio
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Assisted in additional fund development projects in Australia, Hong Kong, and Brazil while at First Trust

NUVEEN INVESTMENTS INC.	2001-2007
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US Registered	Preferred Trust Series (both UIT and CEF) Nuveen Symphony Market Neutral Fund Nuveen Senior Loan Fund
Dublin Registered	Fixed Income Trading Receipts plc - FITRs Treasury 1 FITR Treasury 2 FITR Treasury 5 FITR Treasury 10 FITR Nuveen Global Investors Fund plc Tradewinds Global All-Cap, Tradewinds International Value NWQ Large-Cap Value
Canadian Registered	Nuveen Investments Canada Co. Fairway/Nuveen Senior Loan Fund Nuveen Global All Cap Fund Nuveen International Equity Fund CIBC SMA Platform

CALAMOS INVESTMENTS INC.	2007-2008
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Dublin Registered	Calamos Global Funds plc Calamos U.S Growth Fund Calamos U.S. Convertible Opportunities Fund Calamos Global Convertible Opportunities Fund Calamos Global Equity Fund
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CALAMOS INVESTMENTS INC.		2023
Luxe Registered	Calamos Antetokounmpo US Sustainable Equities Fund	
US Registered	Calamos Convertible Equity Alternative ETF (CVRT) Calamos CEF Income & Arbitrage ETF (CCEF)	
GUGGENHEIM PARTNERS LLC		2010-2012
Dublin Registered	Guggenheim/Transparent Value Dow Jones RBP Index Funds plc Transparent Value Dow Jones RBP US Large Cap Aggressive Index Fund Transparent Value Dow Jones RBP US Large Cap Defensive Index Fund Transparent Value Dow Jones RBP US Large Cap Market Index Fund	
US Registered	GIAS Commodity Arbitrage Fund LLC GIAS Strategy Funds GIAS Fixed Income: Opportunistic Tax-Exempt Fund LLC GIAS Fixed Income: US Core LLC GIAS Fixed Income: Opportunistic Non-US Fund LLC GIAS Equity: Unconstrained US Fund LLC GIAS Global Equity: Unconstrained Non-US Developed Markets Fund LLC GIAS Equity: Unconstrained Developing and Emerging Markets Fund LLC GIAS Real Assets: Diversified Real Assets Funds LLC GIAS Hedge: Global Equity Long/Short Fund LLC GIAS Hedge: Multi-Strategy Fund LLC	
WHITE, WELD & CO		2012
Dublin Registered	White, Weld & Co. Asset Management (Ireland) Ltd. White, Weld & Co., Private Equity Opportunity Fund-due 1st quarter 2013	
GRIFFIN PHILLIPS LLC		2009-current
US Registered	Millington Securities Inc. The Ativo ESG Mid-Cap Series I Elkhorn Securities LLC <i>Elkhorn Securities LLC's - Created and registered ESL SEC broker dealer with UIT exemptions</i> Elkhorn Sector Neutral DWA ETF Fund Elkhorn Foundation Pure Water Fund Elkhorn Cap-Ex Achievers Fund Amplify Investments LLC Amplify Online Retail ETF (IBUY, 2016) Amplify Yieldshares CWP Dividend & Options Income ETF (DIVO, 2017) Amplify Yieldshare Prime Five Income ETF (PFV, 2017) Amplify Yieldshares Oil Hedged ETF (AMLX, 2017) Amplify Yieldshares Senior Loan and Income ETF (YESR, 2017) Amplify Transformational Data Sharing ETF (BLOK, 2018) Amplify Advanced Battery Metals and Materials ETF (BATT, 2018)	

<p>US Registered</p>	<p>Amplify EASI Tactical Growth ETF (EASI, 2018) Amplify ARG1 Black Swan Growth and Treasury Core ETF (SWAN, 2018) Amplify International Online Retail ETF (XBUY, 2019) Amplify Seymour Cannabis ETF (CNBS, 2019) Amplify High Income ETF (YYY, 2019) Amplify International BlackSwan Core ETF (ISWN, 2020) Amplify Pure Junior Gold Miners ETF (JGLD, 2020) Amplify Cleaner Living ETF (DTON, 2021) Amplify Thematic All-Stars ETF (MVPS, 2021) Amplify Digital & Online Trading ETF (BIDS, 2021) Amplify Emerging Market FinTech ETF (EMFQ, 2022) Amplify Inflation Fighters ETF (IWIN, 2022) Amplify International Enhanced Dividend Income ETF (IDVO, 2023) Amplify Natural Resources Dividend Income ETF (NDIV, 2023) Amplify Cash Flow Dividend Leaders ETF (COWS, 2023) Amplify Cash Flow High Income ETF (HCOW, 2023) Amplify Samsung SOFR ETF (SOF, 2023) Amplify AI Powered Equity ETF (AIEQ, 2024) Amplify Travel Tech ETF (AWAY, 2024) Amplify Treatments, Testing and Advancements ETF (GERM, 2024) Amplify U.S. Alternative Harvest ETF (MJUS, 2024) Amplify Video Game Tech ETF (GAMR, 2024) Amplify Global Cloud Technology ETF (IVES, 2024) Amplify Junior Silver Miners ETF (SILJ, 2024) Amplify Cybersecurity ETF (HACK, 2024) Amplify Mobile Payments ETF (IPAY, 2024) Amplify Alternative Harvest ETF (MJ, 2024) Amplify BlueStar Israel Technology ETF (ITEQ, 2024) Amplify Etho Climate Leadership U.S. ETF (ETHO, 2024)</p> <p>Tortoise Capital Advisors Tortoise Essential Energy ETF (TPZ, 2024, converted 3 CEFs into one ETF) Tortoise MLP ETF (TMLP, 2025, 351 private fund conversion to ETF) Tortoise Energy ETF (TNGY, 2025, MF conversion to ETF)</p> <p>Diffuse Digital LLC Diffuse Digital 30 LP</p> <p>Stand Up Enterprises Inc Neue Cannabis Finance LP</p>
<p>Incidental Dublin Registered</p>	<p>Lothbury Investment Management plc Lothbury Select UK and Ireland Real Estate Fund</p> <p>Dana Investments Inc Dana US Small Cap Core Fund (On Aliier Global Platform)</p>
<p>New Products Designed</p>	<p>ACES - IP for an ETF incubator (US patent # US 10,719,877 B2) ExPat Notes (Dublin registered TRS Note)</p>

