

**LAKE WHILLANS CAPITAL PARTNERS LLC**  
**DISCLOSURES & TERMS OF USE**  
**(LAST UPDATED: JULY 15, 2020)**

---

**THIRD-PARTY RANKINGS AND RECOGNITION**

Lake Whillans, as well as individual employees of the firm, have been ranked as top providers in the litigation finance industry over the years. Generally, rankings and recognition are based on information prepared and submitted by the adviser. A description of each award, and the criteria for being included in each ranking, (based in each case on information provided by the ranking/recognizing entity) is described below.

Third-party rankings or recognition by rating services or publications are no guarantee of future investment success. Working with a highly-ranked adviser does not ensure that a client or prospective client will experience a certain level of performance or results. These rankings should not be construed as an endorsement of the adviser by any client nor are they representative of any one client's evaluation. Additional information about the criteria used in making these rankings is available by visiting the ranking organization or publication's website.

**Chambers and Partners Rankings**

For detailed information regarding the methodology used by Chambers and Partners, visit their website at <https://chambers.com/research/methodology>.

The current rankings for Litigation Support providers in the USA can be found here: <https://chambers.com/guide>

Chambers has been performing independent research regarding firms and individual lawyers for nearly 30 years. Firms are required to submit a questionnaire which is reviewed by the London-based team, and 200+ researchers conduct thousands of interviews in 20+ languages. Chambers collects information about entities by phone and email interviews. The process is managed by a cohesive team of editors with in-depth knowledge of the marketplace and research experience.

Individuals are ranked in bands from 1 (highest)-6 (lowest). The qualities on which rankings are assessed include:

- Technical legal ability
- Professional conduct
- Client service
- Commercial astuteness
- Diligence
- Commitment
- Other qualities most valued by the client (for further description of these please see methodology above)

**Lawdragon Recognition**

In 2020, Lawdragon published a list of Global 100 Leaders in Litigation Finance. In prior years, it published an annual list of America's 100 Leading Legal Consultants and Strategists. The individuals named to these lists were selected for the services they provide to the litigation finance industry (in the case of the 2020 list) or the legal industry (in the case of prior years) – with services include litigation funding, marketing, recruiting, technology, legal consulting, e-discovery, and crisis communication. Lawdragon recognitions are rooted in their foundation as journalists. They are a legal media company that writes and publishes news stories as well as information on lawyers and legal professionals. As part of that coverage, they report on the leading lawyers and legal professionals in a variety of specialties, from the 500 Leading Family Lawyers in America, to the 100 Leading Legal Consultants.

Lawdragon's selection for each guide involves: 1) following the industry/practice in question for the professionals who are having the largest impact overall and at that time; 2) discussing the candidates for recognition with their peers in the specialty; 3) vetting of those individuals and their organizations with clients and other industry leaders with an informed basis for an opinion; 4) checking any relevant disciplinary records or other reported activity; 5) assessing the merits of individuals and their organizations vis a vis their current contributions and other factors, including diversity.

With regard to the 100 Leading Legal Consultants particularly, it is comprised of litigation funders, legal recruiters, management consultants, marketing and communication consultants, and technology providers. Lawdragon follows news from each of those disciplines throughout the year and talk to competitors and clients about the quality of services provided and depth of footprint and scope of contributions.

Blogs announcing the publication of the various lists by year can be found here: <http://www.lawdragon.com/>

**Leaders League Rankings**

Leaders League is a media and rating agency for top executives at the international level. They own and distribute Décideurs Magazine internationally. They connect senior business leaders to a dynamic network of business information and people sharing a common passion: excellence in leadership and management. Leaders League delivers up-to-date news, in-depth analysis, and business insights through a range of formats, from Décideurs Magazine, market intelligence

reports, top company rankings and directories to professional events and digital products.

Leaders League publishes two Litigation Funders reports each year - one is regional for the US & Canada ([http://assets.leadersleague.com/guides/USA/GUIDE\\_USA\\_2019.pdf](http://assets.leadersleague.com/guides/USA/GUIDE_USA_2019.pdf)) and the other is on an international basis ([http://assets.leadersleague.com/guides/litigation/2020/Litigation\\_2019-2020.pdf](http://assets.leadersleague.com/guides/litigation/2020/Litigation_2019-2020.pdf)). Lake Whillans did not submit an application nor participate in the review process for Leaders League's annual ratings.

***The criteria reviewed for inclusion are:***

- Recognition & reputation of the firm in its market
- Team size at partner and senior associate level; seniority and track record of partners
- Nature, quality, and volume of matters handled by the firm
- Prestige, diversity, and internationalization of the firm's client base
- Recent team expansions that have proved demonstrably successful

***Leaders League gathers detailed information from diverse sources:***

Law firms: through questionnaires and interviews, their team gets first-hand information about a firm's history, positioning, expertise, and recent activity.

Clients: Leaders League solicits the feedback of several thousand general counsel, CFOs, tax managers and CEOs of domestic and multinational companies through anonymous questionnaires, meetings, and phone interviews.

Qualified Third Parties: Collect the opinion of professionals who are neither clients nor competitors, such as investment bankers, accountants, arbitrators, and expert witnesses

Peer-review: Ask peers for their feedback on their local market and whom they recommend when facing a conflict of interest. They also collect the opinion on peers they have worked with in other jurisdictions.

If you have any questions or concerns about these Terms of Use, please contact Boaz Weinstein via email at [weinstein@lakewhillans.com](mailto:weinstein@lakewhillans.com).

## GENERAL DISCLOSURES

By visiting or using any website of Lake Whillans Capital Partners LLC or its affiliates (collectively, "Lake Whillans" "we," and "our") or the services provided on any Lake Whillans website, the user ("User," "you" and "your") agrees to these Terms of Use.

Lake Whillans Capital Partners LLC is an independent investment adviser registered with the U.S. Securities and Exchange Commission. Please note that any references within this website and its content to an entity being a "registered investment adviser", "registered", or a similar description, merely indicates the registration status of the referenced entity, and does not imply a certain level of skill or training. Our disclosure statement, the Form ADV Part 2A, is available through the SEC website through the Investment Advisor Search page at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Lake Whillans does not provide personalized investment advice through the website and it is limited to providing you with general information on our services. The publication of the website on the Internet should not be construed by any consumer and/or prospective client as a solicitation to effect, or attempt to effect or recommend transactions in securities, or to render personalized investment advice over the Internet.

The information resulting from the use of tools, charts, graphs or other information on the website should not be construed, in any manner whatsoever, as the receipt of, or a substitute for, personalized individual advice. Past performance is not an indication of future returns. There can be no assurance that the investment objectives of any trading program offered by Lake Whillans will be met. An investment in any such trading program is speculative and involves a substantial risk of loss.

ACCESS TO THE WEBSITE IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY AND WITHOUT ANY WARRANTIES, EXPRESSED OR IMPLIED, REGARDING THE ACCURACY, COMPLETENESS, TIMELINESS, OR RESULTS OBTAINED FROM ANY INFORMATION POSTED ON THE WEBSITES OR ANY THIRD-PARTY WEBSITE LINKED TO THE WEBSITES.

Security. The User acknowledges that electronic communications, databases, and websites are subject to errors, malfunctions, tampering, and break-ins, or that use thereof may result in damage to the User's systems or operations. While Lake Whillans will implement reasonable precautions to attempt to prevent such occurrences, the User further acknowledges that Lake Whillans does not guarantee such events will not take place and that Lake Whillans will not be held liable for any such occurrences. The User shall be solely responsible for ensuring that any information or content downloaded from any Lake Whillans website or any other website accessed from any Lake Whillans website does not contain any virus or other computer software code or subroutine designed to disable, erase, impair, or otherwise

damage its systems, software, or data, and the User shall indemnify, defend, and hold Lake Whillans harmless from any liability, claim, cost, or damage arising out of any third-party claim or suit caused by such virus or code or subroutine.

Website Use. This website and the material on this website may not be modified, copied, distributed, republished, downloaded, uploaded, or commercially exploited in any manner without the prior written consent of Lake Whillans, except that Users are permitted to download a copy of any of the materials on this website on a single computer for personal noncommercial use, provided no copyright, trademark, or other proprietary notices are removed. No intellectual property or other rights in or to this website or its contents are transferred to Users. The information on this website is provided solely for illustrative purposes and does not create any business, contractual, or employment relationship between you and Lake Whillans.

Forums, Third-Party Sites, and Content. The Website may contain links to websites operated by parties other than Lake Whillans. You acknowledge that Lake Whillans does not control those websites and is not responsible for their content, their privacy practices, or any other policies provided on those websites.

WARRANTY DISCLAIMERS. THE MATERIAL ON THIS WEBSITE IS PROVIDED "AS IS" AND IS WITHOUT WARRANTY OF ANY KIND. LAKE WHILLANS DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, WITH RESPECT TO THIS WEBSITE AND THE MATERIAL ON THIS WEBSITE. LAKE WHILLANS ALSO MAKES NO REPRESENTATIONS OR WARRANTIES AS TO WHETHER THE INFORMATION ACCESSIBLE ON THIS WEBSITE IS ACCURATE, COMPLETE, OR CURRENT.

LIMITATION OF LIABILITY. TO THE FULLEST EXTENT PERMITTED BY APPLICABLE LAWS, IN NO EVENT SHALL LAKE WHILLANS BE LIABLE FOR ANY DAMAGES OF ANY KIND OR CHARACTER, INCLUDING WITHOUT LIMITATION ANY COMPENSATORY, INCIDENTAL, DIRECT, INDIRECT, SPECIAL, PUNITIVE, OR CONSEQUENTIAL DAMAGES, LOSS OF USE, LOSS OF DATA, LOSS CAUSED BY VIRUS, LOSS OF INCOME OR PROFIT, LOSS OF OR DAMAGE TO PROPERTY, CLAIMS OF THIRD PARTIES, OR OTHER LOSSES OF ANY KIND OR CHARACTER, EVEN IF LAKE WHILLANS HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES OR LOSSES, ARISING OUT OF OR IN CONNECTION WITH THIS WEBSITE OR THE CONTENTS OF THIS WEBSITE.

Indemnification. You agree to indemnify, defend, and hold harmless Lake Whillans and its officers, partners, employees, agents, licensors, and suppliers from and against any claims, causes of action, demands, losses, expenses, damages, penalties, or other costs, including but not limited to reasonable attorneys' fees, brought by third parties as a result of your violation of these Terms of Use, your use of the Website, any Submissions you supply, or your violation of any law or the rights of a third party.

Governing Law. You expressly agree that the Terms of Use and any dispute, claim, action, cause of action, issue, or request for relief between you and Lake Whillans arising out of or relating to Lake Whillans and the Services ("Disputes") will be governed by and construed under the laws of the State of New York, United States, without giving effect to any conflicts of law provisions. You and Lake Whillans irrevocably consent to the exclusive jurisdiction and venue of the state and federal courts in New York for all disputes.

DMCA Notice: Claims of Copyright Infringement. Lake Whillans respects the intellectual property rights of others and is committed to complying with US Copyright laws. Our policy is to respond to notices of alleged infringement that comply with the Digital Millennium Copyright Act of 1998 (DMCA). The DMCA provides recourse for owners of copyrighted material who believe their rights under US copyright law have been infringed on the Internet. If you believe that material available on or through the website infringes a copyright of yours or any third party, please notify our designated agent, listed below. The notice must include the following information as provided by the DMCA, 17 U.S.C. §512(c)(3):

- A physical or electronic signature of a person authorized to act on behalf of the owner of an exclusive right that is allegedly infringed
- Identification of the copyrighted work claimed to have been infringed or, if multiple copyrighted works at a single online site are covered by a single notification, a representative list of such works at that site
- Identification of the material that is claimed to be infringing or to be the subject of infringing activity and that is to be removed or access to which is to be disabled and information reasonably sufficient to permit the service provider to locate the material
- Information reasonably sufficient to permit the service provider to contact the complaining party, such as address, telephone number, and, if available, an electronic mail address at which the complaining party may be contacted
- A statement that the complaining party has a good-faith belief that use of the material in the manner complained of is not authorized by the copyright owner, its agent, or the law
- A statement that the information in the notification is accurate and, under penalty of perjury, that the complaining party is authorized to act on behalf of the owner of an exclusive right that is allegedly infringed

Our designated agent to whom you must address infringement notices under the DMCA is:  
Boaz Weinstein  
Lake Whillans Capital Partners  
1350 Avenue of the Americas, 2<sup>nd</sup> Floor, New York, NY 10019  
Telephone: (646) 389-1032  
Email: weinstein@lakewhillans.com

After receiving notice, Lake Whillans may remove or disable access to any infringing material as provided for in the DMCA.

Amendment. Lake Whillans reserves the right to change these Terms of Use at any time by updating this posting. Use of this website following any such changes shall constitute acceptance of such changes. Lake Whillans may update or modify the information contained on the website at any time and without notice.

Term and Termination: These Terms of Use will remain in full force and effect until such time as Lake Whillans terminates these Terms of Use or terminates, discontinues, or cancels your access to the Services

### **LEGAL NOTICES**

Unless otherwise indicated, this website and its contents, including but not limited to all text, HTML code, scripts, graphics, images, site design, and "look and feel," are the property of Lake Whillans LLC and are protected pursuant to US and foreign copyright and trademark laws.

Lake Whillans and its affiliates only do business in states where registered or exempted from registration. Information on this site is limited to the distribution of information on products and services and is not investment advice or solicitation for purchase or sale of any security, product, or service. Individual responses that involve transactions in securities, or personalized investment advice for compensation, will not be made without registration or exemption. The general information contained on this website should not be acted upon without obtaining specific legal, tax, and/or investment advice from a licensed professional.

### **BUSINESS CONTINUITY STATEMENT**

Securities industry regulations require that advisory firms inform their clients of their plans to address the possibility of a business disruption that potentially results from power outages, natural disasters, or other events. Lake Whillans and its affiliates have a comprehensive business continuity program in place.