

# FORM ADV (Paper Version)

## UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION

### PART 1A

**WARNING:** Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 3.

Check the box that indicates what you would like to do (check all that apply):

- ☒ Submit an initial application to register as an investment adviser with the SEC.
- ☒ Submit an initial application to register as an investment adviser with one or more states.
- ☒ Submit an *annual updating amendment* to your registration for your fiscal year ended \_\_\_\_\_.
- ☐ Submit an other-than-annual amendment to your registration.

### Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you.

- A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):

**Fort Washington Investment Advisors, Inc.**

- B. Name under which you primarily conduct your advisory business, if different from Item 1.A.

\_\_\_\_\_  
*List on Section 1.B. of Schedule D any additional names under which you conduct your advisory business.*

- C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.), enter the new name and specify whether the name change is of ☐ your legal name or ☐ your primary business name:

\_\_\_\_\_

- D. If you are registered with the SEC as an investment adviser, your SEC file number: 801- **37235**\_\_\_\_\_.

- E. If you have a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system, your CRD number: **107126**

*If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.*

Your Name **Fort Washington Investment Advisors,  
Inc.**

CRD Number **107126**

Date  
**April 2, 2008**

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**37235**

F. *Principal Office and Place of Business*

(1) Address (do not use a P.O. Box):

**303 Broadway St. Suite 1200**

(number and street)

**Cincinnati**

(city)

**Ohio / USA**

(state/country)

**45202**

(zip+4/postal code)

If this address is a private residence, check this box:



*List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for registration, or are registered only, with the SEC, list the largest five offices in terms of numbers of employees.*

(2) Days of the week that you normally conduct business at your *principal office and place of business*:

☒ Monday - Friday ☐ Other

Normal business hours at this location:

**8:00 A.M. - 5:00 P.M.**

(3) Telephone number at this location: **(513) 361-7600**

(area code) (telephone number)

(4) Facsimile number at this location: **(513) 361-7689**

(area code) (telephone number)

G. *Mailing address, if different from your principal office and place of business address:*

**P.O. Box 2388**

(number and street)

**Cincinnati**

(city)

**Ohio / USA**

(state/country)

**45201-2388**

(zip+4/postal code)

If this address is a private residence, check this box:



H. *If you are a sole proprietor, state your full residence address, if different from your principal office and place of business address in Item 1.F.:*

(number and street)

(city)

(state/country)

(zip+4/postal code)

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- I. Do you have World Wide Web site addresses? Yes ☐ No ☒

*If "yes" list these addresses on Section 1.I of Schedule D. If a web address serves as a portal through which to access other information you have published on the World Wide Web, you may list the portal without listing addresses for all of the other information. Some advisers may need to list more than one portal address. Do not provide individual electronic mail addresses in response to this Item.*

- J. Contact Employee:

**Michele Hawkins**

(name)

**Chief Compliance Officer**

(title)

**(513) 361-7652**

(area code) (telephone number)

**(513) 361-7689**

(area code) (facsimile number)

**303 Broadway St. Suite 1200**

(number and street)

**Cincinnati**

(city)

**Ohio / USA**

(state/country)

**45202**

(zip+4/postal code)

**michele.hawkins@fortwashington.com**

(electronic mail (e-mail) address, if contact employee has one)

*The contact employee should be an employee whom you have authorized to receive information and respond to questions about this Form ADV.*

- K. Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*?

Yes ☐ No ☒

*If "yes," complete Section 1.K of Schedule D.*

- L. Are you registered with a foreign financial regulatory authority? Yes ☐ No ☒

*Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete Section 1.L of Schedule D.*

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## Item 2 SEC Registration

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2 only if you are applying for SEC registration or submitting an *annual updating amendment* to your SEC registration.

A. To register (or remain registered) with the SEC, you must check at least one of the Items 2.A(1) through 2.A(11), below. If you are submitting an *annual updating amendment* to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A(12). You:

☒ (1) have *assets under management* of \$25 million (in U.S. dollars) or more;

*See Part 1A Instruction 2.a. to determine whether you should check this box.*

☐ (2) have your *principal office and place of business* in Wyoming;

☐ (3) have your *principal office and place of business* outside the United States;

☒ (4) are an investment adviser (or sub-adviser) to an investment company registered under the Investment Company Act of 1940;

*See Part 1A Instruction 2.b. to determine whether you should check this box.*

☐ (5) have been designated as a nationally recognized statistical rating organization;

*See Part 1A Instruction 2.c. to determine whether you should check this box.*

☐ (6) are a pension consultant that qualifies for the exemption in rule 203A-2(b);

*See Part 1A Instruction 2.d. to determine whether you should check this box.*

☐ (7) are relying on rule 203A-2(c) because you are an investment adviser that *controls*, is *controlled* by, or is under common *control* with, an investment adviser that is registered with the SEC, and your *principal office and place of business* is the same as the registered adviser;

*See Part 1A Instruction 2.e. to determine whether you should check this box. If you check this box, complete Section 2.A(7) of Schedule D.*

☐ (8) are a newly formed adviser relying on rule 203A-2(d) because you expect to be eligible for SEC registration within 120 days;

*See Part 1A Instruction 2.f. to determine whether you should check this box. If you check this box, complete Section 2.A(8) of Schedule D.*

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☐ (9) are a multi-state adviser relying on rule 203A-2(e);

*See Part 1A Instruction 2.g. to determine whether you should check this box. If you check this box, complete Section 2.A(9) of Schedule D.*

☐ (10) are an Internet investment adviser relying on rule 203A-2(f);

*See Part 1A Instructions 2.h to determine whether you should check this box.*

☐ (11) have received an SEC order exempting you from the prohibition against registration with the SEC;

*If you check this box, complete Section 2A(11) of Schedule D.*

☐ (12) are no longer eligible to remain registered with the SEC.

*See Part 1A Instructions 2.i to determine whether you should check this box.*

- B. Under state laws, SEC-registered advisers may be required to provide to *state securities authorities* a copy of the Form ADV and any amendments they file with the SEC. These are called *notice filings*. If this is an initial application, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings you submit to the SEC. If this is an amendment to direct you *notice filings* to additional state(s), check and circle the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings you submit to the SEC. If this amendment to your registration to stop you *notice filings* from going to state(s) that currently receive them, circle the unchecked box(es) next to those state(s).

☐ AL ☐ CT ☐ HI ☒ KY ☐ MN ☐ NH ☒ OH ☐ SC ☐ VI  
☐ AK ☐ DE ☐ ID ☒ LA ☐ MS ☐ NJ ☐ OK ☐ SD ☐ VA  
☐ AZ ☐ DC ☒ IL ☐ ME ☐ MO ☒ NM ☐ OR ☐ TN ☐ WA  
☐ AR ☒ FL ☒ IN ☒ MD ☐ MT ☐ NY ☐ PA ☒ TX ☐ WV  
☒ CA ☐ GA ☐ IA ☐ MA ☒ NE ☐ NC ☐ PR ☒ UT ☒ WI  
☐ CO ☐ GU ☐ KS ☐ MI ☐ NV ☐ ND ☐ RI ☐ VT

*If you are amending your registration to stop your notice filings from going to a state that currently receives them and you do not want to pay that state's notice filing fee for the coming year, your amendment must filed before the end of the year (December 31).*

### Item 3 Form of Organization

A. How are you organized?

- ☒ Corporation ☐ Sole Proprietorship ☐ Limited Liability Partnership (LLP)  
☐ Partnership ☐ Limited Liability Company (LLC)  
☐ Other (specify): \_\_\_\_\_

*If you are changing your response to this Item, see Part 1A Instruction 4.*

B. In what month does your fiscal year end each year?

**December**

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C. Under the laws of what state or country are you organized? Ohio

*If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.*

*If you are changing your response to this Item, see Part 1A Instruction 4.*

## Item 4 Successions

A. Are you, at the time of this filing, succeeding to the business of a registered investment adviser?

☐ Yes ☒ No

*If "yes" complete Item 4.B and Section 4 of Schedule D.*

B. Date of  
Succession: \_\_\_\_\_

(mm/dd/yyyy)

*If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4.*

## Item 5 Information About Your Advisory Business

Responses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. Part 1A Instruction 5.a. provides additional guidance to newly-formed advisers for completing this Item 5.

### Employees

A. Approximately how many *employees* do you have? Include full and part-time *employees* but do not include any clerical workers.

☐ 1-5 ☐ 6-10 ☐ 11-50 ☒ 51-250 ☐ 251-500 ☐ 501-1,000 ☐ More than 1,000

If more than 1,000, how many? \_\_\_\_\_ (round to the nearest 1,000)

B.

(1) Approximately how many of these *employees* perform investment advisory functions (including research)?

☐ 0 ☐ 1-5 ☐ 6-10 ☒ 11-50 ☐ 51-250 ☐ 251-500 ☐ 501-1,000

☐ More than 1,000 If more than 1,000, how many? \_\_\_\_\_ (round to the nearest 1,000)

(2) Approximately how many of these *employees* are registered representatives of a broker-dealer?

☒ 0 ☐ 1-5 ☐ 6-10 ☐ 11-50 ☐ 51-250 ☐ 251-500 ☐ 501-1,000

☐ More than 1,000 If more than 1,000, how many? \_\_\_\_\_ (round to the nearest 1,000)

*If you are organized as a sole proprietorship, include yourself as an employee in your responses to Items 5.A(1) and 5.B(2). If an employee performs more than one function, you should count that employee in each of your responses to Item 5.B(1) and 5.B(2).*

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(3) Approximately how many firms or other *persons* solicit advisory *clients* on your behalf?

☐ 0 ☐ 1-5 ☒ 6-10 ☐ 11-50 ☐ 51-250 ☐ 251-500 ☐ 501-1,000  
☐ More than 1,000 If more than 1,000, how many? \_\_\_\_\_ (round to the nearest 1,000)

*In your responses to Item 5.B(3) do not count any of your employees and count a firm only once - do not count each of the firm's employees that solicit on your behalf.*

### Clients

C. To approximately how many *clients* did you provide investment advisory services during your most recently completed fiscal year?

☐ 0 ☐ 1-10 ☐ 11-25 ☐ 26-100 ☐ 101-250 ☒ 251-500  
☐ More than 500 If more than 500, how many? \_\_\_\_\_ (round to the nearest 500)

D. What types of *clients* do you have? Indicate the approximate percentage that each type of *client* comprises of your total number of *clients*.

	None;	Up to 10%;	11-25%;	26-50%;	51-75%;	More than 75%;
(1) Individuals (other than <i>high net worth individuals</i> )	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(2) <i>High net worth individuals</i>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
(3) Banking or thrift institutions	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(4) Investment companies (including mutual funds)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(5) Pension and profit sharing plans (other than plan participants)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(6) Other pooled investment vehicles (e.g., hedge funds)	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(7) Charitable organizations	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(8) Corporations or other businesses not listed above	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(9) State or municipal <i>government entities</i>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(10) Other <b>Insurance Companies</b>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*The category "individuals" includes trusts, estates, 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.*

*Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, check "None" in response to Item 5.D(4).*

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### Compensation Arrangements

E. You are compensated for your investment advisory services by (check all that apply):

- ☒ (1) A percentage of assets under your management
- ☐ (2) Hourly charges
- ☐ (3) Subscription fees (for a newsletter or periodical)
- ☒ (4) Fixed fees (other than subscription fees)
- ☐ (5) Commissions
- ☐ (6) *Performance-based fees*
- ☐ (7) Other (specify): \_\_\_\_\_

### Assets Under Management

F. (1) Do you provide continuous and regular supervisory of management services to securities portfolios? ☒ Yes ☐ No

(2) If yes, what is the amount of your assets under management and total number of accounts?

	U.S. Dollar Amount	Total Number of Accounts
Discretionary:	(a) \$ <u>27,449,207,689</u> .00	(d) <u>225</u>
Non-Discretionary:	(b) \$ <u>27,815,934</u> .00	(e) <u>45</u>
Total:	(c) \$ <u>27,477,023,623</u> .00	(f) <u>270</u>

*Part 1A Instruction 5.b. explains how to calculate your assets under management. You must follow these instructions carefully when completing this Item.*

### Advisory Activities

G. What type(s) of advisory services do you provide? Check all that apply.

- ☐ (1) Financial planning services
- ☒ (2) Portfolio management for individuals and/or small businesses
- ☒ (3) Portfolio management for investment companies
- ☒ (4) Portfolio management for businesses or institutional *clients* (other than investment companies)
- ☐ (5) Pension consulting services
- ☒ (6) *Selection of other advisers*
- ☐ (7) *Publication of periodicals or newsletters*
- ☐ (8) *Security ratings or pricing services*
- ☐ (9) *Market timing services*
- ☒ (10) Other (specify): **Sub-Advisory**

*Do not check Item 5.G(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940.*



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H. If you provide financial planning services, to how many *clients* did you provide these services during your last fiscal year?

- ☐ 0      ☐ 1-10      ☐ 11-25      ☐ 26-50      ☐ 51-100      ☐ 101-250      ☐ 251-500  
☐ More than 500      If more than 500, how many? \_\_\_\_\_ (round to the nearest 500)

I. If you participate in a *wrap fee program*, do you (check all that apply):

- ☐ (1) *sponsor* the *wrap fee program*?  
☐ (2) act as a portfolio manager for the *wrap fee program*?

*If you are a portfolio manager for a wrap fee program, list the names of the programs and their sponsors in Section 5.I(2) of Schedule D.*

*If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered through a wrap fee program, do not check either Item 5.I(1) or 5.I(2).*

## Item 6 Other Business Activities

In this Item, we request information about your other business activities.

A. You are actively engaged in business as a (check all that apply):

- ☐ (1) Broker-dealer  
☐ (2) Registered representative of a broker-dealer  
☐ (3) Futures commission merchant, commodity pool operator, or commodity trading advisor  
☐ (4) Real estate broker, dealer, or agent  
☐ (5) Insurance broker or agent  
☐ (6) Bank (including a separately identifiable department or division of a bank)  
☐ (7) Other financial product salesperson (specify): \_\_\_\_\_

B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)? ☐ Yes ☐ No

(2) If yes, is this other business your primary business? ☐ Yes ☐ No

*If "yes," describe this other business on Section 6.B. of Schedule D.*

(3) Do you sell products or provide services other than investment advice to your advisory *clients*?

☐ Yes ☐ No

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## Item 7 Financial Industry Affiliations

In this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur between you and your *clients*.

Item 7 requires you to provide information about you and your *related persons*. Your *related persons* are all of your advisory affiliates and any *person* that is under common *control* with you.

A. You have a *related person* that is a (check all that apply):

- ☒ (1) broker-dealer, municipal securities dealer, or government securities broker or dealer
- ☒ (2) investment company (including mutual funds)
- ☒ (3) other investment adviser (including financial planners)
- ☐ (4) futures commission merchant, commodity pool operator, or commodity trading advisor
- ☒ (5) banking or thrift institution
- ☐ (6) accountant or accounting firm
- ☒ (7) lawyer or law firm
- ☒ (8) insurance company or agency
- ☐ (9) pension consultant
- ☒ (10) real estate broker or dealer
- ☒ (11) sponsor or syndicator of limited partnerships

*If you checked Item 7.A(3), list on Section 7.A. of Schedule D all your related persons that are investment advisers. If you checked Item 7.A.(1), you may elect to list on Section 7.A. of Schedule D all of your related persons that are broker-dealers. If you choose to list a related broker-dealer, the IARD system will accept a single Form U4 to register an investment adviser representative who also is a broker-dealer agent ("registered rep") of that related broker-dealer.*

B. Are you or any *related person* a general partner in an *investment-related* limited partnership or manager of an *investment-related* limited liability company, or do you advise any other "private fund" as defined under SEC rule 203(b)(3)-2?

☒ Yes ☐ No

*If "yes," for each limited partnership or limited liability company, complete Section 7.B. of Schedule D. If, however, you are an SEC-registered adviser and you have related persons that are SEC-registered advisers who are the general partners of limited partnerships or the managers of limited liability companies, you do not have to complete Section 7.B. of Schedule D with respect to those related advisers' limited partnerships or limited liability companies.*

*To use this alternative procedure, you must state in the Miscellaneous Section of Schedule D:*

- (1) that you have related SEC-registered investment advisers that manage limited partnerships or limited liability companies that are not listed in Section 7.B. of your Schedule D;*
- (2) that complete and accurate information about those limited partnerships or limited liability companies is available in Section 7.B. of Schedule D of the Form ADVs of your related SEC-registered advisers; and*
- (3) whether you clients are solicited to invest in any of those limited partnerships or limited liability companies.*

## Item 8 Participation or Interest in *Client* Transactions

In this Item, we request information about your participation and interest in your *clients'* transactions. Like Item 7, this information identifies areas in which conflicts of interest may occur between you and your *clients*.

Like Item 7, Item 8 requires you to provide information about you and your *related persons*.

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### Proprietary Interest in *Client* Transactions

- | A. Do you or any <i>related person</i> :  | <u>Yes</u>            | <u>No</u>             |
|---|-----------------------|-----------------------|
| (1) buy securities for yourself from advisory <i>clients</i> , or sell securities you own to advisory <i>clients</i> (principal transactions)?  | <input type="radio"/> | <input type="radio"/> |
| (2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory <i>clients</i> ?  | <input type="radio"/> | <input type="radio"/> |
| (3) recommend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary (ownership) interest (other than those mentioned in Items 8.A(1) or (2))? | <input type="radio"/> | <input type="radio"/> |

### Sales Interest in *Client* Transactions

- | B. Do you or any <i>related person</i> :   | <u>Yes</u>            | <u>No</u>             |
|--|-----------------------|-----------------------|
| (1) as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory <i>client</i> securities are sold to or bought from the brokerage customer (agency cross transactions)?        | <input type="radio"/> | <input type="radio"/> |
| (2) recommend purchase of securities to advisory <i>clients</i> for which you or any <i>related person</i> serves as underwriter, general or managing partner, or purchaser representative?  | <input type="radio"/> | <input type="radio"/> |
| (3) recommend purchase or sale of securities to advisory <i>clients</i> for which you or any <i>related person</i> has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)? | <input type="radio"/> | <input type="radio"/> |

### Investment or Brokerage Discretion

- | C. Do you or any <i>related person</i> have <i>discretionary authority</i> to determine the:         | <u>Yes</u>            | <u>No</u>             |
|--|-----------------------|-----------------------|
| (1) securities to be bought or sold for a <i>client's</i> account?                                   | <input type="radio"/> | <input type="radio"/> |
| (2) amount of securities to be bought or sold for a <i>client's</i> account?                         | <input type="radio"/> | <input type="radio"/> |
| (3) broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account?  | <input type="radio"/> | <input type="radio"/> |
| (4) commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions? | <input type="radio"/> | <input type="radio"/> |

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Yes No

- D. Do you or any *related person* recommend brokers or dealers to *clients*? ☒ Yes ☐ No
- E. Do you or any *related person* receive research or other products or services other than execution from a broker-dealer or a third party in connection with *client* securities transactions? ☒ Yes ☐ No
- F. Do you or any *related person*, directly or indirectly, compensate any *person* for *client* referrals? ☒ Yes ☐ No

*In responding to this Item 8.F., consider in your response all cash and non-cash compensation that you or a related person gave any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.*

## Item 9 Custody

In this Item, we ask you whether you or a *related person* has *custody* of *client* assets. If you are registering or registered with the SEC and you deduct your advisory fees directly from your *clients'* accounts but do not otherwise have *custody* of your *clients'* funds or securities, you may answer "no" to Item 9A.(1) and 9A.(2).

- A. Do you have *custody* of any advisory *clients'*: Yes No
- (1) cash or bank accounts? ☒ Yes ☐ No
- (2) securities? ☒ Yes ☐ No
- B. Do any of your *related persons* have *custody* of any of your advisory *clients'*:
- (1) cash or bank accounts? ☐ Yes ☒ No
- (2) securities? ☐ Yes ☒ No
- C. If you answered "yes" to either Item 9.B(1) or 9.B(2), is that *related person* a broker-dealer registered under Section 15 of the Securities Exchange Act of 1934? ☐ Yes ☒ No

## Item 10 Control Persons

In this Item, we ask you to identify every *person* that, directly or indirectly, *controls* you.

If you are submitting an initial application, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application, you must complete Schedule C.

Does any *person* not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, *control* your management or policies? ☐ Yes ☒ No

*If yes, complete Section 10 of Schedule D.*

<b>FORM ADV</b> <b>Part 1A</b> <b>Page 13 of 16</b>	Your Name <b>Fort Washington Investment Advisors, Inc.</b>	CRD Number <b>107126</b>
	Date <b>April 2, 2008</b>	SEC 801-Number <b>801-37235</b>

## Item 11 Disclosure Information

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your *advisory affiliates*. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in “yes” answers to more than one of the questions below.

Your *advisory affiliates* are: (1) all of your current *employees* (other than *employees* performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any *person* performing similar functions); and (3) all *persons* directly or indirectly *controlling* you or *controlled* by you. If you are a “separately identifiable department or division” (SID) of a bank, see the Glossary of Terms to determine who your *advisory affiliates* are.

*If you are registered or registering with the SEC, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A(1), 11.A(2), 11.B(1), 11.B(2), 11.D(4), and 11.H(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.*

For “yes” answers to the following questions, complete a Criminal Action DRP:

	<u>Yes</u>	<u>No</u>
A. In the past ten years, have you or any <i>advisory affiliate</i> :		
(1) been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign, or military court to any <i>felony</i> ?	€	Ⓟ
(2) been <i>charged</i> with any <i>felony</i> ?	€	Ⓟ
<i>If you are registered or registering with the SEC, you may limit your response to Item 11.A(2) to charges that are currently pending.</i>		
B. In the past ten years, have you or any <i>advisory affiliate</i> :		
(1) been convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	€	Ⓟ
(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B(1)?	€	Ⓟ

*If you are registered or registering with the SEC, you may limit your response to Item 11.B(2) to charges that are currently pending.*

<b>FORM ADV</b> <b>Part 1A</b> <b>Page 14 of 16</b>	Your Name <b>Fort Washington Investment Advisors, Inc.</b>	CRD Number <b>107126</b>
	Date <b>April 2, 2008</b>	SEC 801-Number <b>801-37235</b>

For “yes” answers to the following questions, complete a Regulatory Action DRP:

- |   | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:   |            |           |
| (1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?   | €          | b         |
| (2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of SEC or CFTC regulations or statutes?   | €          | b         |
| (3) <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?  | €          | b         |
| (4) entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with <i>investment-related</i> activity?   | €          | b         |
| (5) imposed a civil money penalty on you or any <i>advisory affiliate</i> , or <i>ordered</i> you or any <i>advisory affiliate</i> to cease and desist from any activity?   | €          | b         |
| D. Has any other federal regulatory agency, any state regulatory agency, or any <i>foreign financial regulatory authority</i> :   |            |           |
| (1) ever <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission, or been dishonest, unfair, or unethical?   | €          | b         |
| (2) ever <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of <i>investment-related</i> regulations or statutes?  | €          | b         |
| (3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?   | €          | b         |
| (4) in the past ten years, entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with an <i>investment-related</i> activity?   | €          | b         |
| (5) ever denied, suspended, or revoked your or any <i>advisory affiliate's</i> registration or license, or otherwise prevented you or any <i>advisory affiliate</i> , by <i>order</i> , from associating with an <i>investment-related</i> business or restricted your or any <i>advisory affiliate's</i> activity? | €          | b         |
| E. Has any <i>self-regulatory organization</i> or commodities exchange ever:  |            |           |
| (1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?   | €          | b         |
| (2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of its rules (other than a violation designated as a “ <i>minor rule violation</i> ” under a plan approved by the SEC)?   | €          | b         |

<b>FORM ADV</b> <b>Part 1A</b> <b>Page 15 of 16</b>	Your Name <b>Fort Washington Investment Advisors, Inc.</b>	CRD Number <b>107126</b>
	Date <b>April 2, 2008</b>	SEC 801-Number 801- <b>37235</b>

- |  | <u>Yes</u>            | <u>No</u>             |
|--|-----------------------|-----------------------|
| (3) <i>found</i> you or any <i>advisory affiliate</i> to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?   | <input type="radio"/> | <input type="radio"/> |
| (4) disciplined you or any <i>advisory affiliate</i> by expelling or suspending you or the <i>advisory affiliate</i> from membership, barring or suspending you or the <i>advisory affiliate</i> from association with other members, or otherwise restricting your or the <i>advisory affiliate's</i> activities? | <input type="radio"/> | <input type="radio"/> |
| F. Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any <i>advisory affiliate</i> ever been revoked or suspended?   | <input type="radio"/> | <input type="radio"/> |
| G. Are you or any <i>advisory affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?  | <input type="radio"/> | <input type="radio"/> |

For "yes" answers to the following questions, complete a Civil Judicial Action DRP:

- |  | <u>Yes</u>            | <u>No</u>             |
|--|-----------------------|-----------------------|
| H. (1) Has any domestic or foreign court:  |                       |                       |
| (a) in the past ten years, <i>enjoined</i> you or any <i>advisory affiliate</i> in connection with any <i>investment-related</i> activity?   | <input type="radio"/> | <input type="radio"/> |
| (b) ever <i>found</i> that you or any <i>advisory affiliate</i> were <i>involved</i> in a violation of <i>investment-related</i> statutes or regulations?  | <input type="radio"/> | <input type="radio"/> |
| (c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by a state or <i>foreign financial regulatory authority</i> ? | <input type="radio"/> | <input type="radio"/> |
| (2) Are you or any <i>advisory affiliate</i> now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H(1)?  | <input type="radio"/> | <input type="radio"/> |

## Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F(2)(c) that you have assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

<b>FORM ADV</b> <b>Part 1A</b> <b>Page 16 of 16</b>	Your Name <b>Fort Washington Investment Advisors, Inc.</b>	CRD Number <b>107126</b>
	Date <b>April 2, 2008</b>	SEC 801-Number 801- <b>37235</b>

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a *person*, whether through ownership of securities, by contract, or otherwise. Any *person* that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another *person* is presumed to control the other *person*.

	<u>Yes</u>	<u>No</u>
A. Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	€	€

If "yes," you do not need to answer Items 12.B. and 12.C.

B. Do you:		
(1) <i>control</i> another investment adviser that had assets under management of \$25 million or more on the last day of its most recent fiscal year?	€	€
(2) <i>control</i> another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	€	€
C. Are you:		
(1) <i>controlled</i> by or under common <i>control</i> with another investment adviser that had assets under management of \$25 million or more on the last day of its most recent fiscal year?	€	€
(2) <i>controlled</i> by or under common <i>control</i> with another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	€	€



## Uniform Application for Investment Adviser Registration

## Part II - Page 1

OMB APPROVAL

OMB Number: 3235-0049

Expires: July 31, 2008

Estimated average burden hours per  
response . . . 9.402

Name of Investment Adviser:

**Fort Washington Investment Advisors, Inc.**

Address: (Number and Street)

(City)

(State)

(Zip Code)

Area Code Telephone Number

**303 Broadway Suite 1200****Cincinnati****Ohio****45202-  
2235****513 361-7600**

This part of Form ADV gives information about the investment adviser and its business for the use of clients.  
The information has not been approved or verified by any governmental authority.

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential Persons who are not to respond to the collection of information contained in this form are not  
required to respond unless the form displays a currently valid OMB control number.

**1. A. Advisory Services and Fees.** (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

**Applicant:**

- |   |              |
|---|--------------|
| <input checked="" type="checkbox"/> (1) Provides investment supervisory services  | <b>100</b> % |
| <input type="checkbox"/> (2) Manages investment advisory accounts not involving investment supervisory services   | _____ %      |
| <input type="checkbox"/> (3) Furnishes investment advice through consultations not included in either service described above   | _____ %      |
| <input type="checkbox"/> (4) Issues periodicals about securities by subscription  | _____ %      |
| <input type="checkbox"/> (5) Issues special reports about securities not included in any service described above  | _____ %      |
| <input type="checkbox"/> (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which client may use to evaluate securities | _____ %      |
| <input type="checkbox"/> (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities  | _____ %      |
| <input type="checkbox"/> (8) Provides a timing service  | _____ %      |
| <input type="checkbox"/> (9) Furnishes advice about securities in any manner not described above  | _____ %      |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

Yes No

B. Does applicant call any of the services it checked above financial planning or some similar term?

☐ Yes ☒ No

C. Applicant offers investment advisory services for: (check all that apply)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management      | <input type="checkbox"/> (4) Subscription fees |
| <input type="checkbox"/> (2) Hourly charges  | <input type="checkbox"/> (5) Commissions       |
| <input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input checked="" type="checkbox"/> (6) Other  |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

**2. Types of Clients** -- Applicant generally provides investment advice to: (check those that apply)

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> A. Individuals                      | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations                    |
| <input checked="" type="checkbox"/> B. Banks or thrift institutions     | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input checked="" type="checkbox"/> C. Investment companies             | <input checked="" type="checkbox"/> G. Other (describe on Schedule F)                                  |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans |  |

**3. Types of Investments** Applicant offers advice on the following: (check those that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> A. Equity securities                   | <input type="checkbox"/> H. United States governmental securities   |
| <input type="checkbox"/> (1) exchange-listed securities         |   |
| <input type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> I. Options contracts on:                   |
| <input type="checkbox"/> (3) foreign issuers                    | <input type="checkbox"/> (1) securities                             |
|   | <input type="checkbox"/> (2) commodities                            |
| <input type="checkbox"/> B. Warrants                            |   |
| <input type="checkbox"/> C. Corporate debt securities           | <input type="checkbox"/> J. Futures contracts on:                   |
| (other than commercial paper)                                   | <input type="checkbox"/> (1) tangibles                              |
| <input type="checkbox"/> D. Commercial paper                    | <input type="checkbox"/> (2) intangibles                            |
| <input type="checkbox"/> E. Certificates of deposit             |   |
| <input type="checkbox"/> F. Municipal securities                | <input type="checkbox"/> K. Interests in partnerships investing in: |
|   | <input type="checkbox"/> (1) real estate                            |
| <input type="checkbox"/> G. Investment company securities:      | <input type="checkbox"/> (2) oil and gas interests                  |
| <input type="checkbox"/> (1) variable life insurance            | <input type="checkbox"/> (3) other (explain on Schedule F)          |
| <input type="checkbox"/> (2) variable annuities                 |   |
| <input type="checkbox"/> (3) mutual fund shares                 | <input type="checkbox"/> L. Other (explain on Schedule F)           |

**4. Methods of Analysis, Sources of Information, and Investment Strategies.**

A. Applicant's security analysis methods include: (check those that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Charting    | <input type="checkbox"/> (4) <input type="checkbox"/> Cyclical                      |
| <input type="checkbox"/> (2) <input type="checkbox"/> Fundamental | <input type="checkbox"/> (5) <input type="checkbox"/> Other (explain on Schedule F) |
| <input type="checkbox"/> (3) <input type="checkbox"/> Technical   |   |

B. The main sources of information applicant uses include: (check those that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Financial newspapers and magazines    | <input type="checkbox"/> (5) <input type="checkbox"/> Timing services   |
| <input type="checkbox"/> (2) <input type="checkbox"/> Inspections of corporate activities   | <input type="checkbox"/> (6) <input type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| <input type="checkbox"/> (3) <input type="checkbox"/> Research materials prepared by others | <input type="checkbox"/> (7) <input type="checkbox"/> Company press releases  |
| <input type="checkbox"/> (4) <input type="checkbox"/> Corporate rating services             | <input type="checkbox"/> (8) <input type="checkbox"/> Other (explain on Schedule F)   |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Long term purchases (securities held at least a year) | <input type="checkbox"/> (5) <input type="checkbox"/> Margin transactions   |
| <input type="checkbox"/> (2) <input type="checkbox"/> Short term purchases (securities sold within a year)  | <input type="checkbox"/> (6) <input type="checkbox"/> Option writing, including covered options, uncovered options, or spreading strategies |
| <input type="checkbox"/> (3) <input type="checkbox"/> Trading (securities sold within 30 days)              | <input type="checkbox"/> (7) <input type="checkbox"/> Other (explain on Schedule F)   |
| <input type="checkbox"/> (4) <input type="checkbox"/> Short sales   |   |

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

**5. Education and Business Standards.**

Yes No

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?.....

☒ ☐

(If yes, describe these standards on Schedule F.)

**6. Education and Business Background.**

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- |                 |  |
|-----------------|--|
| • name          | • formal education after high school               |
| • year of birth | • business background for the preceding five years |

**7. Other Business Activities.** (check those that apply)

- ☐ A. Applicant is actively engaged in a business other than giving investment advice.
- ☒ B. Applicant sells products or services other than investment advice to clients.
- ☒ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

**8. Other Financial Industry Activities or Affiliations.** (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- |   |  |
|---|--|
| <input checked="" type="radio"/> (1) broker-dealer  | <input type="radio"/> (7) accounting firm  |
| <input checked="" type="radio"/> (2) investment company   | <input type="radio"/> (8) law firm   |
| <input checked="" type="radio"/> (3) other investment adviser   | <input checked="" type="radio"/> (9) insurance company or agency                           |
| <input type="radio"/> (4) financial planning firm   | <input type="radio"/> (10) pension consultant  |
| <input type="radio"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input checked="" type="radio"/> (11) real estate broker or dealer                         |
| <input checked="" type="radio"/> (6) banking or thrift institution  | <input checked="" type="radio"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

Yes No

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?...

☒ ☐

(If yes, describe on Schedule F the partnerships and what they invest in.)

**9. Participation of Interest in Client Transactions.**

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☒ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☐ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

**10. Conditions for Managing Accounts.** Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account?

Yes No

☐ ☒

(If yes, describe on Schedule F.)

**11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggers factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

**See Schedule F**

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

**See Schedule F**

**12. Investment or Brokerage Discretion.**

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- |  |                                  |                       |
|--|----------------------------------|-----------------------|
| (1) securities to be bought or sold? .....               | Yes                              | No                    |
|  | <input checked="" type="radio"/> | <input type="radio"/> |
| (2) amount of the securities to be bought or sold? ..... | Yes                              | No                    |
|  | <input checked="" type="radio"/> | <input type="radio"/> |
| (3) broker or dealer to be used? .....                   | Yes                              | No                    |
|  | <input checked="" type="radio"/> | <input type="radio"/> |
| (4) commission rates paid? .....                         | Yes                              | No                    |
|  | <input checked="" type="radio"/> | <input type="radio"/> |

B. Does applicant or a related person suggest brokers to clients? ..... ☒ Yes ☐ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commission higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

**13. Additional Compensation.**

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- |   |                                  |                       |
|---|----------------------------------|-----------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? ..... | Yes                              | No                    |
|   | <input checked="" type="radio"/> | <input type="radio"/> |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes                              | No                    |
|   | <input checked="" type="radio"/> | <input type="radio"/> |

(For each yes, describe the arrangements on Schedule F.)

**14. Balance Sheet.** Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
  - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- |  |                       |                                  |
|--|-----------------------|----------------------------------|
| Has applicant provided a Schedule G balance sheet? ..... | Yes                   | No                               |
|  | <input type="radio"/> | <input checked="" type="radio"/> |

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

<b>FORM ADV</b> Schedule A	Your Name: <b>Fort Washington Investment Advisors, Inc.</b> Date: <b>April 2, 2008</b>	SEC File No: 801- <b>37235</b> CRD No: <b>107126</b>
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### Direct Owners and Executive Officers

1. Complete Schedule A only if you are submitting an initial application. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
2. Direct Owners and Executive Officers. List below the names of:
  - (a) each Chief Executive officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer, director, and individuals with similar status or functions;
  - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);  
 Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
  - (c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or has contributed, 5% or more of your capital;
  - (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of you capital, the trust and each trustee; and
  - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or has contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
3. Do you have any indirect owners to be reported on Schedule B?    ☒ Yes    ☐ No
4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
6. Ownership codes are:      NA - less than 5%      B - 10% but less than 25%    D - 50% but less than 75%  
    A - 5% but less than 10%    C - 25% but less than 50%    E - 75% or more
7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.  
 (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.  
 (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Title or Status	Date Title or Status Acquired MM YYYY	Owner- ship Code	Control Person  PR	CRD No.  If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
Rahe, Maribeth Sembach	I	President	11    2003	NA	Y    N	4357217
Sargen, Nicholas Peter	I	Chief Investment Officer	06    2003	NA	Y    N	1605778
Barrett, John Finn	I	Director	01    2000	NA	Y    N	2066172
W&S Operating Holdings, LLC	DE	Parent	12    2006	E	Y    N	06-1804434
Wuebbling, Donald Joseph	I	Secretary	06    1990	NA	Y    N	473438

FORM ADV Schedule A	Your Name: <b>Fort Washington Investment Advisors, Inc.</b>					SEC File No: 801- <b>37235</b>		
	Date: <b>April 2, 2008</b>					CRD No: <b>107126</b>		
<b>Direct Owners and Executive Officers</b>								
FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Title or Status	Date Title or Status Acquired MM YYYY		Owner- ship Code	Control Person  PR		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
Walker, Robert Lewis	I	Director	01	2004	NA	Y	N	1137614
Vance, James	I	Treasurer	06	1997	NA	Y	N	3235324
Wiedenheft, Terrie Ann	I	Asst. Treasurer	06	2000	NA	Y	N	2619213
Hawkins, Michele	I	VP, Chief Compliance Officer	07	2004	NA	Y	I	1317079
Bell, Margaret Gregor	I	VP, Managing Director, Business Development	07	2004	NA	Y	I	4338568
Frietch, Mark Andrew	I	VP, Investment Operations, Client Services & Marketing	01	2002	NA	Y	I	1840739



<b>FORM ADV</b> Schedule B	Your Name: <b>Fort Washington Investment Advisors, Inc.</b> Date: <b>April 2, 2008</b>	SEC File No: 801- <b>37235</b> CRD No: <b>107126</b>
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### Indirect Owners

1. Complete Schedule B only if you are submitting an initial application. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;  
 For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
  - (b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
  - (c) in the case of an owner that is a trust, the trust and each trustee; and
  - (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or has contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
6. Ownership codes      C - 25% but less than      D - 50% but less than      E - 75% or more      F - Other (general partner, trustee, are:                      50%                      75%                      or elected manager)
7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.  
 (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.  
 (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned	Status	Date Status Acquired MM YYYY	Owner- ship Code  PR	Control Person	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No., or Employer ID No.
Western-Southern Mutual Holding Company	DE	Western Southern Financial Group, Inc.	Parent	09    2000	E       Y	N	31-1732405
Western Southern Financial Group	DE	Western Southern Life	Parent	09    2000	E       Y	N	31-1732402
The Western and Southern Life Insurance Company	DE	W&S Operating Holdings, LLC	Parent	12    2006	E       Y	N	31-0487145

[illegible]

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Certain items in Part 1A of Form ADV require additional information on Schedule D. Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 1.

**SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name \_\_\_\_\_

Jurisdictions \_\_\_\_\_

**SECTION 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

Check only one box: ☒ Add ☐ Delete

**310 S. Main Street, Suite 1310**

(number and street)

**Salt Lake City**

**Utah / USA**

**84101**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(801) 524-0066**

**(801) 524-2012**

(area code) (telephone number)

(area code) (facsimile number)

**SECTION 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

Check only one box: ☒ Add ☐ Delete

World Wide Web Site Address: **www.fortwashington.com**

**SECTION 1.K. Location of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of entity where books and records are kept: **The Western And Southern Life Insurance Company**

**400 Broadway**

(number and street)

**Cincinnati**

**Ohio / USA**

**45202**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(513) 629-1077**

**(513) 629-1871**

(area code) (telephone number)

(area code) (facsimile number)

This is (check one):  
☒ one of your branch offices or affiliates.  
☐ a third-party unaffiliated recordkeeper.  
☐ other.

Briefly describe the books and records kept at this location:

**Research, Board Reports, Legal Documents**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Certain items in Part 1A of Form ADV require additional information on Schedule D. Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 1.

**SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name \_\_\_\_\_

Jurisdictions \_\_\_\_\_

**SECTION 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

Check only one box: ☒ Add ☐ Delete

**263 Staab Street**

(number and street)

**Santa Fe**

**New Mexico / USA 87501**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(505)986-1552**

**(505) 986-1591**

(area code) (telephone number)

(area code) (facsimile number)

**SECTION 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

Check only one box: ☐ Add ☐ Delete

World Wide Web Site Address: \_\_\_\_\_

**SECTION 1.K. Location of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of entity where books and records are kept: **IFS Financial Services, Inc.**

**303 Broadway, Suite 1100**

(number and street)

**Cincinnati**

**Ohio/USA**

**45202**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(513) 362-8000**

**(513) 362-8317**

(area code) (telephone number)

(area code) (facsimile number)

This is (check one): ☒ one of your branch offices or affiliates.  
☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location:

**Financial Reports**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Certain items in Part 1A of Form ADV require additional information on Schedule D. Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 1.

**SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name \_\_\_\_\_

Jurisdictions \_\_\_\_\_

**SECTION 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

Check only one box: ☒ Add ☐ Delete

**Huntington Center, 41 South High Street, Suite 2495**

(number and street)

**Columbus**

**Ohio / USA**

**43215**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(614) 222-6500**

**(614) 222-6535**

(area code) (telephone number)

(area code) (facsimile number)

**SECTION 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

Check only one box: ☐ Add ☐ Delete

World Wide Web Site Address: \_\_\_\_\_

**SECTION 1.K. Location of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of entity where books and records are kept: **Fort Washington Investment Advisors, Inc.**

**Huntington Center, 41 South High Street, Suite 2495**

(number and street)

**Columbus**

**Ohio / USA**

**43215**

(city)

(state/country)

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(614) 222-6500**

**(614) 222-6535**

(area code) (telephone number)

(area code) (facsimile number)

This is (check one): ☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location:

**Duplicate copies of books and records maintained by principal office (i.e. research, correspondence, etc.)**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Certain items in Part 1A of Form ADV require additional information on Schedule D. Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 1.

**SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name \_\_\_\_\_

Jurisdictions \_\_\_\_\_

**SECTION 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

Check only one box: ☐ Add ☐ Delete

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city)

\_\_\_\_\_  
(state/country)

\_\_\_\_\_  
(zip+4/postal code)

If this address is a private residence, check this box: ☐

\_\_\_\_\_  
(area code) (telephone number)

\_\_\_\_\_  
(area code) (facsimile number)

**SECTION 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

Check only one box: ☐ Add ☐ Delete

World Wide Web Site Address: \_\_\_\_\_

**SECTION 1.K. Location of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of entity where books and records are kept: **Fort Washington Investment Advisors, Inc.**

**301 S. Main St., Suite 1310**

\_\_\_\_\_  
(number and street)

**Salt Lake City**

\_\_\_\_\_  
(city)

**Utah / USA**

\_\_\_\_\_  
(state/country)

**84101**

\_\_\_\_\_  
(zip+4/postal code)

If this address is a private residence, check this box: ☐

**(801) 524-0066**

\_\_\_\_\_  
(area code) (telephone number)

**(801) 524-2012**

\_\_\_\_\_  
(area code) (facsimile number)

This is (check one): ☒ one of your branch offices or affiliates.  
☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location:

Due Diligence Reports

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Certain items in Part 1A of Form ADV require additional information on Schedule D. Use this Schedule D Page 1 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 1.

**SECTION 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name \_\_\_\_\_

Jurisdictions \_\_\_\_\_

**SECTION 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

Check only one box: ☐ Add ☐ Delete

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city)

\_\_\_\_\_  
(state/country)

\_\_\_\_\_  
(zip+4/postal code)

If this address is a private residence, check this box: ☐

\_\_\_\_\_  
(area code) (telephone number)

\_\_\_\_\_  
(area code) (facsimile number)

**SECTION 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

Check only one box: ☐ Add ☐ Delete

World Wide Web Site Address: \_\_\_\_\_

**SECTION 1.K. Location of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of entity where books and records are kept: **Fort Washington Investment Advisors, Inc.**

**263 Staab Street**

(number and street)

**Santa Fe**

(city)

**NM**

(state/country)

**87501**

(zip+4/postal code)

If this address is a private residence, check this box: ☐

**505-986-1552**

(area code) (telephone number)

**505-986-1591**

(area code) (facsimile number)

This is (check one): ☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location:

**Due Diligence Reports**

Your Name: Fort Washington Investment Advisors, Inc.  
Date: April 2, 2008

SEC File No: 37235  
CRD No: 107126

Use this Schedule D Page 2 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 2.

SECTION 1.L. Registration with *Foreign Financial Regulatory Authorities*

List the name, in English, of each *foreign financial regulatory authority* and country with which you are registered. You must complete a separate Schedule D Page 2 for each *foreign financial regulatory authority* with whom you are registered.

Check only one box: ☐ Add ☒ Delete

English Name of *Foreign Financial Regulatory Authority* \_\_\_\_\_

Name of Country \_\_\_\_\_

SECTION 2.A(7) Affiliated Adviser

If you are relying on the exemption in rule 203A-2(c) from the prohibition on registration because you *control*, are *controlled by*, or are under common *control* with an investment adviser that is registered with the SEC and your *principal office and place of business* is the same as that of the registered adviser, provide the following information:

Name of Registered Investment Adviser \_\_\_\_\_

CRD Number of Registered Investment Adviser (if any) \_\_\_\_\_

SEC Number of Registered Investment Adviser 801- \_\_\_\_\_

SECTION 2.A(8). Newly Formed Adviser

If you are relying on rule 203A-2(d), the newly formed adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:

- ☒ I am not registered or required to be registered with the SEC or a *state securities authority* and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
- ☒ I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.

SECTION 2.A(9) Multi-State Adviser

If you are relying on rule 203A-2(e), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.

If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:

- ☒ I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 30 or more states to register as an investment adviser with the securities authorities in those states.
- ☒ I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 25 states to register as an investment adviser with the securities authorities of those states.

If you are submitting your *annual updating amendment*, you must make this representation:

- ☒ Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 25 states to register as an investment adviser with the securities authorities in those states.



Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* \_\_\_\_\_

Name of *Sponsor* \_\_\_\_\_

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Legal Name of Affiliate: **Todd Investment Advisors, Inc.** \_\_\_\_\_

Primary Business Name of Affiliate: **Todd Investment Advisors, Inc.** \_\_\_\_\_

Affiliate is (check only one box): ☐ Investment Adviser ☐ Broker-Dealer ☐ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- **14700** Affiliate's CRD Number (if any): **105200**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* **Stifel, Nicolaus & Co** \_\_\_\_\_

Name of *Sponsor* **Stifel, Nicolaus & Co** \_\_\_\_\_

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☐ Add ☐ Delete ☒ Amend

Legal Name of Affiliate: **Capital Analysts, Inc.** \_\_\_\_\_

Primary Business Name of Affiliate: **Capital Analysts, Inc.** \_\_\_\_\_

Affiliate is (check only one box): ☐ Investment Adviser ☐ Broker-Dealer ☒ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- **9678** Affiliate's CRD Number (if any): **1221720**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* \_\_\_\_\_

Name of *Sponsor* \_\_\_\_\_

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Legal Name of Affiliate: **Touchstone Advisors, Inc.** \_\_\_\_\_

Primary Business Name of Affiliate: **Touchstone Advisors, Inc.** \_\_\_\_\_

Affiliate is (check only one box): ☐ Investment Adviser ☐ Broker-Dealer ☐ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- **45963** Affiliate's CRD Number (if any): **107028**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* **CAAMS Select Managers Program**

Name of *Sponsor* **Capital Analysts Inc.**

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Legal Name of Affiliate: **Touchstone Securities, Inc.**

Primary Business Name of Affiliate: **Touchstone Securities, Inc.**

Affiliate is (check only one box): ☐ Investment Adviser ☒ Broker-Dealer ☐ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- **45243** Affiliate's CRD Number (if any): **1526**

Your Name: Fort Washington Investment Advisors, Inc.  
Date: April 2, 2008

SEC File No: 37235  
CRD No: 107126

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* \_\_\_\_\_

Name of *Sponsor* \_\_\_\_\_

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Legal Name of Affiliate: W & S Brokerage Services, Inc.

Primary Business Name of Affiliate: W & S Brokerage Services, Inc.

Affiliate is (check only one box): ☒ Investment Adviser ☐ Broker-Dealer ☐ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- 24674 Affiliate's CRD Number (if any): 8099

Your Name: Fort Washington Investment Advisors, Inc.  
Date: April 2, 2008

SEC File No: 37235  
CRD No: 107126

Use this Schedule D Page 3 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 3.

**SECTION 2.A(11) SEC Exemptive Order**

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number: 803- \_\_\_\_\_ Date of order: \_\_\_\_\_  
(mm/dd/yyyy)

**SECTION 4 Successions**

Complete the following information if you are succeeding to the business of a currently-registered investment adviser. If you acquired more than one firm in the succession you are reporting on this Form ADV, you must complete a separate Schedule D Page 3 for each acquired firm. See Part 1A Instruction 4.

Name of Acquired Firm \_\_\_\_\_

Acquired Firm's SEC File No. (if any) 801- \_\_\_\_\_ Acquired Firm's CRD Number (if any) \_\_\_\_\_

**SECTION 5.I(2) Wrap Fee Programs**

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its sponsor. You must complete a separate Schedule D Page 3 for each wrap fee *program* for which you are a portfolio manager.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name of *Wrap Fee Program* \_\_\_\_\_

Name of *Sponsor* \_\_\_\_\_

**SECTION 6.B. Description of Primary Business**

Describe your primary business (not your investment advisory business):  
  
\_\_\_\_\_  
  
\_\_\_\_\_

**SECTION 7.A. Affiliated Investment Advisers and Broker-Dealers**

You **MUST** complete the following information for each investment adviser with whom you are affiliated. You **MAY** complete the following information for each broker-dealer with whom you are affiliated. You must complete a separate Schedule D Page 3 for each listed affiliate.

Check only one box: ☒ Add ☐ Delete ☐ Amend

Legal Name of Affiliate: IFS Fund Distributors, Inc.

Primary Business Name of Affiliate: IFS Fund Distributors, Inc.

Affiliate is (check only one box): ☐ Investment Adviser ☒ Broker-Dealer ☐ Dual (Investment Adviser and Broker-Dealer)

Affiliated Investment Adviser's SEC File Number (if any) 801- \_\_\_\_\_ Affiliate's CRD Number (if any): 24075

**FORM ADV**  
**Schedule D**  
**Page 4 of 5**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 4.

**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington Private Equity Investors**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC, L.P.**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **16**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **500,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **111,652,151**

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☒ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Tri-State Growth Capital Fund I, L.P.**

Name of General Partner or Manager: **Tri-State Ventures, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **2**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **250,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **29,067,665**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_



Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington Private Equity Investors III, L.P.**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **4**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **500,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **92,571,726**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington High Yield**

Name of General Partner or Manager: **Fort Washington Capital Partners, LEO Investors LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **2**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **500,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **121,927,586**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **New Mexico Co-Investments**

Name of General Partner or Manager: **Fort Washington Capital Partners, L.P.**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☐ yes ☒ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **30,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **22,949,365**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Kentucky Co-Investment Partners,**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☐ yes ☒ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **2,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **1,982,373**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **WSL Partners L.P.**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☐ yes ☒ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **3**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **500,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **35,112,940**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

**FORM ADV**  
**Schedule D**  
**Page 4 of 5**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☒ INITIAL or ☐ AMENDED Schedule D Page 4.

**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington High**

Name of General Partner or Manager: **Fort Washington Investment Advisors, Inc.**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1%**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **500,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **26,406,144**

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington Private Equity Investors IV, LP**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **6**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **3,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **52,197,502**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

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**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington Private Equity**

Name of General Partner or Manager: **FWPEI V GP, LLC** **Investors V, L.P.**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **2**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **3,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **16,593,551**

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_



Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 4.

SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Tri-State Growth Capital Fund II,**

Name of General Partner or Manager: **Tri-State Ventures II, LLC** **L.P.**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **3,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **1,595,323**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

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**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Utah Fund of Funds**

Name of General Partner or Manager: **Fort Washington Capital Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☐ yes ☒ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? <sup>1</sup> \_\_\_\_\_

Minimum investment commitment required of a limited partner, member, or other investor: \$ **50,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **19,663,501**

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

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SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☐ Add ☐ Delete ☒ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **The Ohio Capital Fund LLC**

Name of General Partner or Manager: **Buckeye Venture Partners, LLC**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☐ yes ☒ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **50,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **8,540,897**

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

**FORM ADV**  
**Schedule D**  
**Page 4 of 5**

Your Name: Fort Washington Investment Advisors, Inc.  
Date: April 2, 2008

SEC File No: 37235  
CRD No: 107126

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☒ AMENDED Schedule D Page 4.

**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: Fort Washington Fixed Income Alpha LLC

Name of General Partner or Manager: Fort Washington Fixed Income LLC

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? 1

Minimum investment commitment required of a limited partner, member, or other investor: \$ 1,000,000

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ 206,136,012

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

**FORM ADV**  
**Schedule D**  
**Page 4 of 5**

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: **April 2, 2008**

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

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**SECTION 7.B. Limited Partnership or Other Private Fund Participation**

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: **Fort Washington Active Fixed Income**

Name of General Partner or Manager: **Fort Washington Fixed Income LLC<sup>LLC</sup>**

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? **1**

Minimum investment commitment required of a limited partner, member, or other investor: \$ **1,000,000**

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ **91,551,423**

**SECTION 10 Control Persons**

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ (mm/dd/yyyy) Termination Date \_\_\_\_\_ (mm/dd/yyyy)

Business Address:

\_\_\_\_\_ (number and street)

\_\_\_\_\_ (city) \_\_\_\_\_ (state/country) \_\_\_\_\_ (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: Fort Washington Investment Advisors, Inc.  
Date: April 2, 2008

SEC File No: 37235  
CRD No: 107126

Use this Schedule D Page 4 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

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SECTION 7.B. Limited Partnership or Other Private Fund Participation

You must complete a separate Schedule D Page 4 for each limited partnership in which you or a *related person* is a general partner, each limited liability company for which you or a *related person* is a manager, and each other private fund that you advise:

Check only one box: ☒ Add ☐ Delete ☐ Amend

Name of Limited Partnership, Limited Liability Company, or other Private Fund: Fort Washington Private Equity Investors VI, L.P.

Name of General Partner or Manager: FWPEI VI GP, LLC

If you are registered or registering with the SEC, is this a "private fund" as defined under SEC rule 203(b)(3)-1? ☒ yes ☐ no

Are your *clients* solicited to invest in the limited partnership, limited liability company, or other private fund? ☒ yes ☐ no

Approximately what percentage of your *clients* have invested in this limited partnership, limited liability company, or other private fund? 1

Minimum investment commitment required of a limited partner, member, or other investor: \$ 3,000,000

Current value of the total assets of the limited partnership, limited liability company, or other private fund: \$ 45,200,000

SECTION 10 *Control Persons*

You must complete a separate Schedule D Page 4 for each *control person* not named in Item 1.A. or Schedules A, B, or C that directly or indirectly *controls* your management or policies.

Check only one box: ☐ Add ☐ Delete ☐ Amend

Firm or Organization Name \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Individual Name (if applicable) (Last, First, Middle) \_\_\_\_\_

CRD Number (if any) \_\_\_\_\_ Effective Date \_\_\_\_\_ Termination Date \_\_\_\_\_  
(mm/dd/yyyy) (mm/dd/yyyy)

Business Address:

\_\_\_\_\_  
(number and street)

\_\_\_\_\_  
(city) (state/country) (zip+4/postal code)

If this address is a private residence, check this box: ☐

Briefly describe the nature of the *control*:

\_\_\_\_\_

Your Name: **Fort Washington Investment Advisors, Inc.**  
Date: April 2, 2008

SEC File No: **37235**  
CRD No: **107126**

Use this Schedule D Page 5 to report details for items listed below. Report only new information or changes/updates to previously submitted information. Do not repeat previously submitted information.

This is an ☐ INITIAL or ☐ AMENDED Schedule D Page 5.

Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
---	--

Item of Form (identify)	Answer
Item 1(A)	<p><b><u>ADVISORY SERVICES AND FEES</u></b></p> <p>Fort Washington Investment Advisors, Inc. ("Fort Washington") is a wholly owned subsidiary, and the primary investment arm of The Western and Southern Life Insurance Company ("Western &amp; Southern Life"), and is registered with the Securities and Exchange Commission pursuant to Section 203 of the Investment Advisers Act of 1940, as amended (the Act). Fort Washington was incorporated in 1990 under the laws of the State of Ohio.</p> <p>The primary investment strategies offered by Fort Washington are:</p> <ul style="list-style-type: none"> <li>* Public Equity: Small Cap Growth</li> <li>* Private Equity: national Funds of Funds</li> <li>* Guided Architecture (through Wealth Management Group)</li> <li>* Primary Fixed Income: High Yield, Active Fixed Income, Core Fixed Income</li> <li>* Other Fixed Income: Ultra Short, Opportunity Fixed Income, Cash Management</li> </ul> <p>Fort Washington has a complete list of composites and corresponding fee schedules available upon request.</p> <p>Fort Washington furnishes its clients with investment supervisory services.</p> <p>The basic fee schedules and bases of computation are given below. While it is the general policy of Fort Washington to charge fees to clients in accordance with the fee schedule in effect at the time of the charge, such fees are subject to negotiation, including a waiver of minimum fee requirements. In certain cases, Fort Washington may provide services on a performance fee basis.</p> <p>All fees are normally payable quarterly in advance. However, Fort Washington may execute client contracts that specify that fees are paid in arrears.</p> <p>In the event of termination of an investment advisory agreement, investment advisory fees are prorated to the date of termination. To the extent that fees have been paid in advance of the date of termination, they are refunded on a pro rata basis.</p>



**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer																
Item 1 (A), (C) and (D)	<p><b><u>BASIC FEE SCHEDULE FOR WEALTH MANAGEMENT ADVISORY SERVICES</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p><b>Discretionary Accounts</b></p> <table> <tr> <td>Principal Amount Annual Fee</td><td></td></tr> <tr> <td>First \$ 1,000,000 - \$ 2,000,000</td><td>1.00%</td></tr> <tr> <td>Next \$ 2,000,001 - \$ 5,000,000</td><td>.90%</td></tr> <tr> <td>Next \$ 5,000,001 &amp; over</td><td>.80%</td></tr> </table> <p>Minimum account size: \$1,000,000 or \$10,000 in fees Client accounts may be aggregated for fee arrangement purposes in order to achieve above break points.</p> <p><b>Non Discretionary Accounts</b></p> <p>Non-discretionary accounts of our Wealth Management Division incur a charge of \$500 annually, billed quarterly in advance.</p> <p><b><u>BASIC FEE SCHEDULE FOR CORE FIXED INCOME</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <table> <tr> <td>Principal Amount Annual Fee</td><td></td></tr> <tr> <td>First \$ 10,000,000</td><td>.40%</td></tr> <tr> <td>Next \$ 15,000,000</td><td>.35%</td></tr> <tr> <td>Next \$ 25,000,000 &amp; over</td><td>.30%</td></tr> </table> <p>Minimum account size: \$3,000,000 or \$12,000 in fees.</p> <p><b><u>BASIC FEE SCHEDULE FOR ACTIVE FIXED INCOME</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule</p>	Principal Amount Annual Fee		First \$ 1,000,000 - \$ 2,000,000	1.00%	Next \$ 2,000,001 - \$ 5,000,000	.90%	Next \$ 5,000,001 & over	.80%	Principal Amount Annual Fee		First \$ 10,000,000	.40%	Next \$ 15,000,000	.35%	Next \$ 25,000,000 & over	.30%
Principal Amount Annual Fee																	
First \$ 1,000,000 - \$ 2,000,000	1.00%																
Next \$ 2,000,001 - \$ 5,000,000	.90%																
Next \$ 5,000,001 & over	.80%																
Principal Amount Annual Fee																	
First \$ 10,000,000	.40%																
Next \$ 15,000,000	.35%																
Next \$ 25,000,000 & over	.30%																

**Schedule F of  
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Part II**

Applicant:  <b>Fort Washington Investment Advisors, Inc.</b>	SEC File Number:  801- <b>37235</b>	Date:  April 2, 2008
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Item of Form (identify)	Answer																		
	<p>is as follows:</p> <p>Principal Amount Annual Fee</p> <table> <tr> <td>First \$ 10,000,000</td><td>.45%</td></tr> <tr> <td>Next \$ 15,000,000</td><td>.40%</td></tr> <tr> <td>Next \$ 25,000,000 &amp; over</td><td>.35%</td></tr> </table> <p>Minimum account size: \$5,000,000 or \$22,500 in fees</p> <p><b><u>BASIC FEE SCHEDULE FOR INSTITUTIONAL EQUITY AND FIXED INCOME BALANCED ACCOUNTS</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee</p> <table> <tr> <td>First \$ 10,000,000</td><td>.55%</td></tr> <tr> <td>Next \$ 15,000,000</td><td>.45%</td></tr> <tr> <td>Next \$ 25,000,000 &amp; over</td><td>.35%</td></tr> </table> <p>Minimum account size: \$5,000,000 or \$27,500 in fees</p> <p><b><u>BASIC FEE SCHEDULE FOR INSTITUTIONAL SMALL CAP GROWTH EQUITY</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee</p> <table> <tr> <td>First \$ 25,000,000</td><td>1.00%</td></tr> <tr> <td>Next \$ 25,000,000</td><td>.90%</td></tr> <tr> <td>Next \$ 50,000,000 &amp; over</td><td>.80%</td></tr> </table> <p>Minimum account size: \$ 5,000,000 or \$50,000 in fees</p> <p><b><u>BASIC FEE SCHEDULE FOR ULTRA SHORT</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly.</p>	First \$ 10,000,000	.45%	Next \$ 15,000,000	.40%	Next \$ 25,000,000 & over	.35%	First \$ 10,000,000	.55%	Next \$ 15,000,000	.45%	Next \$ 25,000,000 & over	.35%	First \$ 25,000,000	1.00%	Next \$ 25,000,000	.90%	Next \$ 50,000,000 & over	.80%
First \$ 10,000,000	.45%																		
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Next \$ 15,000,000	.45%																		
Next \$ 25,000,000 & over	.35%																		
First \$ 25,000,000	1.00%																		
Next \$ 25,000,000	.90%																		
Next \$ 50,000,000 & over	.80%																		

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<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

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Item of Form (identify)	Answer														
	<p>Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee</p> <table> <tr> <td>First \$ 10,000,000</td><td>.30%</td></tr> <tr> <td>Next \$ 15,000,000</td><td>.2750%</td></tr> <tr> <td>Next \$ 25,000,000 &amp; over</td><td>.25%</td></tr> </table> <p>Minimum account size: \$3,000,000 or \$9,000 in fees</p> <p><b><u>BASIC FEE SCHEDULE FOR HIGH YIELD FIXED INCOME</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee</p> <table> <tr> <td>First \$ 50,000,000</td><td>.50%</td></tr> <tr> <td>Next \$ 50,000,000</td><td>.45%</td></tr> <tr> <td>Next \$100,000,000 &amp; over</td><td>.40%</td></tr> </table> <p>Minimum account size: \$20,000,000 or \$100,000 in fees</p> <p>Clients, subject to certain investment thresholds, may also invest in commingled funds, High Yield, LLC and High Yield II, LLC. A complete overview of these funds is described in the Private Placement Memorandum ("PPM") for each.</p> <p>Principal Amount Annual Fee (commingled funds)</p> <table> <tr> <td>\$500,000 to \$20,000,000</td><td>.55%</td></tr> </table> <p><b><u>BASIC FEE SCHEDULE FOR CASH MANAGEMENT</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee</p>	First \$ 10,000,000	.30%	Next \$ 15,000,000	.2750%	Next \$ 25,000,000 & over	.25%	First \$ 50,000,000	.50%	Next \$ 50,000,000	.45%	Next \$100,000,000 & over	.40%	\$500,000 to \$20,000,000	.55%
First \$ 10,000,000	.30%														
Next \$ 15,000,000	.2750%														
Next \$ 25,000,000 & over	.25%														
First \$ 50,000,000	.50%														
Next \$ 50,000,000	.45%														
Next \$100,000,000 & over	.40%														
\$500,000 to \$20,000,000	.55%														

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	<p>First \$ 10,000,000 .2250%</p> <p>Next \$ 15,000,000 .20%</p> <p>Next \$ 25,000,000 &amp; over .1750%</p> <p>Minimum account size: \$1,000,000 or \$2,250 in fees</p> <p><b><u>BASIC FEE SCHEDULE FOR OPPORTUNITY FIXED INCOME STRATEGY*</u></b></p> <p>Client accounts are generally appraised for fee purposes quarterly. Expressed on an annual basis and assuming that securities will be held in custody with a bank, trust company or broker-dealer, the fee schedule is as follows:</p> <p>Principal Amount Annual Fee for Commingled Accounts:</p> <p>Active Fund* .45%</p> <p>Alpha Fund* .65%</p> <p>Minimum account size: \$1,000,000 per fund</p> <p>* The Opportunity Fixed Income Strategy is comprised of two separate LLC's, "Active Fund" &amp; "Alpha Fund", which can be invested in by clients, subject to certain investment thresholds, in a customized allocation and manner. A complete overview of these funds is described in the PPM for each. Clients, upon specific request, may also invest assets in Opportunity Fixed Income strategy funds through Separate Account(s). Fee schedules in those circumstances are subject to negotiation.</p> <p><b><u>BASIC FEE SCHEDULE FOR PRIVATE EQUITY FUNDS OF FUNDS</u></b></p> <p>Clients invest in Fort Washington-managed private equity funds of funds by subscribing to limited partnership interests in these partnerships ("Funds of Funds"). Management fees and performance fees ("Carried Interest") are charged on committed capital and profits, respectively, according to the partnerships' limited partnership agreement. Fort Washington also manages and advises on customized private equity</p> <p>partnerships that may have unique characteristics and objectives. For these partnerships, Fort Washington may charge different fees based on the objectives, size of investment, and scope of the partnerships.</p>

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	<p>Fees charged to manage and operate its various private equity partnerships are as follows:</p> <p>Management fee: 0.40% - 2.0% of committed capital during investment period; reduced by 10% per year thereafter</p> <p>Carried Interest**:</p> <p>5% of profits on fund investments 10%-15% of profits on secondary fund investments 15%-20% of profits on direct investments</p> <p>** In some Funds there is a preferred return which is paid to the client prior to the collection of the Carried Interest.</p> <p><b><u>WEALTH MANAGEMENT ADVISORY SERVICES</u></b></p> <p>Fort Washington may provide investment management services to clients in connection with its Wealth Management Group. The Wealth Management Group provides investment management and advisory services, targeting individuals, family offices, and smaller institutional clients.</p> <p>The Wealth Management Group draws on its experience in servicing smaller institutions and competently delivers services that relate to matters such as allocation of assets among different investment categories, portfolio diversification, managing portfolio risk, security and manager selection, and other general economic and financial topics.</p> <p>Once engaged, the Wealth Management Group will undertake a thorough review of the client's current asset allocation plan and investment portfolio. After detailed analysis, we will reach an opinion as to whether the client's current allocation and investment portfolio is likely to meet the client's investment objectives, risk tolerances, and other client specified criteria. In addition, we will compare the investment performance of the client's portfolio to benchmarks and/or peer groups agreed upon with the client. Recommendations are prepared and an implementation plan is developed for the purpose of designing a new portfolio that appropriately addresses the client's needs.</p> <p>Any investment advice provided by the Wealth Management Group to</p>

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Item of Form (identify)	Answer
	<p>clients is based on a number of factors, including but not necessarily limited to, the client's investment objectives, risk tolerances, asset class preferences, time horizons, liquidity needs, and anticipated returns. Advice and views are based on an assessment of current economic and market views expressed by our investment professionals and analysts as well as those expressed by independent investment firms. This investment advice is generally aimed at constructing highly diversified portfolios centered around low correlation asset classes with the goal of generating maximum investment return with the lowest allowable risk exposure.</p> <p>Our services may also include formulation of an investment strategy, development of an investment policy statement, periodic review of the strategy, including detailed comparisons of the client's portfolio against selected benchmarks and peer groups, an analysis of the estimated annual income and current yield of the client's portfolio and an analysis of the client's realized and unrealized gains and losses.</p> <p>While executing the client's investment plan, the Wealth Management Group will have access to Fort Washington's array of proprietary investment strategies as well as access to any number of outside, independent money managers. Investment decisions are made solely on the basis of what is appropriate and in the client's best interest based on the facts as we know them including, but not limited to, the decision to employ proprietary or outside investment products, active or passive strategies, and mutual funds or separate accounts, including strategies and products offered by affiliated companies. The Wealth Management Group has entered into a third party consulting agreement with an independent firm to provide information on outside, independent money managers including the ability to access a large database of historic investment returns. The consulting agreement also provides the firm with manager books detailing information such as performance track records, risk assessment, style fit and deviation, ownership, and firm statistics. Any independent money manager or mutual fund recommendation will be based upon the following factors: absolute and relative performance, risk, cost efficiency, consistency of objectives and management, fund size, and tax efficiency. Information may also be utilized and obtained from rating and tracking organizations, business publications, fund prospectuses and other sources.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 7

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Item of Form (identify)	Answer
Item 2(C)	<p>Clients will have the opportunity for direct meetings with their portfolio manager on a frequency they collectively deem appropriate. Delivered on a quarterly basis, a specially prepared Client Report aggregates information pertaining to the investor's portfolio(s) and presents it in a format that conveniently discusses total market values, actual asset allocation, a target asset allocation, detailed investment performance measurement, and portfolio holdings. Other important reports may also be provided, such as Realized Gain/Loss, Purchase and Sales, and Income and Expenses.</p> <p><b><u>PRIVATE EQUITY ADVISORY SERVICES</u></b></p> <p>Fort Washington, through its Fort Washington Capital Partners Group ("FWCPG") division, provides private equity advisory services and, through affiliates it forms from time to time, serves as the general partner of various partnerships organized to make primary fund, secondary fund, and direct company investments.</p> <p>FWCPG draws on Fort Washington's experience with making investments in private equity partnerships and directly in private companies. For partnerships for which Fort Washington affiliates serve as the general partner, FWCPG has discretion on investments based on the strategy and constraints as stated in each partnership's limited partnership agreement and private placement memorandum.</p> <p>Fort Washington has designated an investment committee for each private equity partnership that must unanimously consent to each partnership investment decision.</p> <p>Occasionally, Fort Washington, as general partner either directly or indirectly through its affiliates, will enter into side letter arrangements with one or more limited partners of a private equity partnership to address terms in addition to or specific only to that limited partner.</p> <p><b><u>TYPES OF CLIENTS</u></b></p> <p>Fort Washington provides investment advisory and sub-advisory services to a variety of entities, including registered investment companies, some of which may be affiliated entities and/or affiliated individuals. Sub-advisory fees are subject to negotiation.</p>

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Item of Form (identify)	Answer
	<p><b><u>SMA / WRAP FEE PROGRAMS</u></b></p> <p>Fort Washington may provide advisory services to individual clients in connection with wrap fee programs. Fort Washington participates in wrap fee programs sponsored by Capital Analysts, Inc. and Stifel, Nicolaus &amp; Company, Inc. Fort Washington provides the same advisory services under wrap fee programs as those advisory services provided to its other separate account clients except that Fort Washington generally does not communicate directly with an advisory client without the participation of the sponsoring firm.</p> <p><b>Stifel, Nicolaus &amp; Company, Inc.</b></p> <p>The portion of the fee payable to Fort Washington under the Stifel, Nicolaus &amp; Company, Incorporated program is equal to an annual rate of .50% of average net assets under management.</p> <p><b>Capital Analysts Inc.</b></p> <p>The portion of the fee payable to Fort Washington under the Capital Analysts Asset Management Services ("CAAMS") Select Program is equal to an annual rate of .35% of assets under management for Taxable Core Fixed and Municipal Bond.</p> <p><b>Charitable clients</b></p> <p>Fort Washington provides investment advisory services to charitable organizations, and reserves the right from both the corporate and associate level to make charitable donations or contributions to those clients.</p>
Item 2(E)	
Item 2(F)	Fort Washington provides investment advice to insurance companies.
Item 2(F)	<p>Fort Washington has entered into advisory agreements with Fort Washington Capital Partners, LLC ("FWCP"), a wholly owned subsidiary of Fort Washington, to provide private equity advisory services. FWCP serves as the General Partner to the following partnerships:</p> <p>Fort Washington Private Equity Investors II, L.P. ("FWPEII")  Fort Washington Private Equity Investors III, L.P. ("FWPEIII")  Fort Washington Private Equity Investors IV, L.P. ("FWPEIV")</p>



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Item of Form (identify)	Answer
	<p>WSL Partners, L.P. ("WSLP")  Kentucky Co-Investment Partners, L.P. ("KYCIP")  New Mexico Co-Investment Partners, L.P. ("NMCIP")  Fort Washington High Yield Investors LLC ("High Yield")  Fort Washington High Yield Investors II, LLC ("High Yield II")</p> <p>The investment objectives of FWPEII, FWPEIII and FWPEIV are to operate as investment funds principally for the purpose of (i) investing in a diversified portfolio of pooled investment vehicles or managed private equity investment funds, organized as limited partnerships, limited liability companies or corporations, including venture capital, buyout and distressed securities funds ("Underlying Funds"); and (ii) investing in a diversified portfolio of secondary market interests in Underlying Funds ("Secondary Investments"); and (iii) co-investment opportunities offered primarily by the partners or members of the Underlying Funds or other sources, and, at the discretion of FWCPG, in direct co-investments offered by other funds to affiliates of FWCPG, in each case designated by FWCPG as a direct investment ("Direct Co-Investments").</p> <p>WSLP was formed for the primary purpose of purchasing Secondary Investments that are typically purchased at a discount to the reported net asset value. The investment objective for WSLP is long-term growth and total return.</p> <p>KYCIP makes investments in a diversified portfolio of Direct Co-Investments with an emphasis on companies in and around the Commonwealth of Kentucky.</p> <p>NMCIP makes investments in a diversified portfolio of Direct Co-Investments in companies located in New Mexico. The investment objective for NMCIP is long-term growth and total return.</p> <p>The investment objectives of High Yield and High Yield II are to maximize risk-adjusted returns on invested funds through exposure to higher quality, less volatile high yield debt securities.</p> <p>Fort Washington also provides private equity advisory services to the Utah Capital Investment Corporation and the Commonwealth of</p>

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	<p>Kentucky for public sector investment in certain of their respective in-state programs.</p> <p>Fort Washington has entered into an advisory agreement with Tri-State Ventures LLC ("TSV"), a wholly owned subsidiary of Fort Washington to provide private equity advisory services. TSV serves as the general partner to the Tri-State Growth Capital Fund I, L.P. ("Tri-State I"). The investment objective of Tri-State I is to operate an investment fund principally for the purpose of being a source of seed and early stage venture capital in the tri-state region as defined in Tri-State's PPM.</p> <p>Fort Washington has entered into an advisory agreement with Tri-State Ventures II LLC ("TSVII"), a wholly owned subsidiary of Fort Washington to provide private equity advisory services. TSVII serves as the general partner to the Tri-State Growth Capital Fund II, L.P. ("Tri-State II"). The investment objective of Tri-State II is to operate an investment fund principally for the purpose of being a source of growth capital in the tri-state region as defined in Tri-State II's PPM.</p> <p>Fort Washington has entered into an advisory agreement with FWPEI V GP, LLC ("FWPEIV GP") to provide private equity advisory services. FWPEIV GP serves as the general partner to the following related funds:</p> <p style="padding-left: 40px;">Fort Washington Private Equity Investors V, L.P. ("Fund V")</p> <p style="padding-left: 40px;">Fort Washington Private Equity Investors V-VC, L.P. ("Fund V-VC")</p> <p style="padding-left: 40px;">Fort Washington Private Equity Investors V-B, L.P. ("Fund V-B" (and together with Fund V and Fund V -VC, collectively the "Fund V Funds"))).</p> <p>The investment objectives of the Fund V Funds are to operate as investment funds for the purposes of investing in Underlying Funds, Secondary Investments, and Direct Co-Investments as described in the Fund V Fund's PPM.</p> <p>Fort Washington has entered into an advisory agreement with FWPEI VI GP, LLC ("FWPEI VI GP") to provide private equity advisory services. FWPEIVI GP serves as the general partner to the following related funds:</p> <p style="padding-left: 40px;">Fort Washington Private Equity Investors VI, L.P. ("Fund VI")</p>

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	<p>Fort Washington Private Equity Investors VI-VC, L.P. ("Fund VI-VC")</p> <p>Fort Washington Private Equity Investors VI-B, L.P. ("Fund VI-B" (and together with Fund VI and Fund VI-VC, collectively the "Fund VI Funds"))).</p> <p>The investment objectives of the Fund VI Funds are to operate as investment funds for the purposes of investing in Underlying Funds, Secondary Investments, and Direct Co-Investments as described in the Fund VI Fund's PPM.</p> <p>Fort Washington serves as Co-Manager with the Cincinnati USA Regional Chamber ("Cincinnati Chamber") of the Cincy Tech Fund ("Cincy Fund"). The Cincy Fund was formed with \$6 million in grant money from the State of Ohio as part of its Third Frontier Entrepreneurial Signature Program. Tri-State I and Tri-State II are both investors in Cincy Fund (8.2% and 20.44%, respectively). Certain employees of Fort Washington serve on the Investment Committee for the Cincy Fund. The purpose of the Fund is to invest in Ohio based pre-seed and early stage companies pursuant to the terms of the Grant Agreement established by and between the State of Ohio, Department of Development, and the Cincinnati Chamber.</p> <p>Fort Washington has formed Buckeye Venture Partners, LLC ("BVP") in partnership with Peppertree Partners, LLC ("Peppertree"), an unaffiliated organization. Fort Washington owns 60% of BVP. Fort Washington and Peppertree have each entered into advisory agreements with BVP. BVP was hired by the Ohio Venture Capital Authority to serve as the general partner and program administrator of The Ohio Capital Fund LLC ("TOCF"), an Ohio limited liability company formed to invest primarily in Ohio-based venture capital funds.</p> <p>Fort Washington has entered into an advisory agreement with Fort Washington Fixed Income LLC ("FW Fixed") to provide investment advisory services. FW Fixed serves as the General Partner to the following related funds:</p> <p style="padding-left: 40px;">Fort Washington Active Fixed Income LLC ("Active Fund")</p> <p style="padding-left: 40px;">Fort Washington Fixed Income Alpha LLC ("Alpha Fund")</p>

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Item of Form (identify)	Answer
Item 3 (K)	<p>The investment objectives of the Active Fund are to maximize risk-adjusted returns on invested funds through exposure to a broad spectrum of investments, as described in the Active Fund's private placement memorandum.</p> <p>The investment objectives of the Alpha Fund are to maximize total return on invested funds through exposure to fixed income securities, fixed income derivatives, and foreign currency, as described in the Alpha Fund's private placement memorandum.</p> <p>Derivatives are traded in both funds to produce absolute return, although the Alpha Fund has a greater component of derivatives than the Active Fund. Exchange and over-the-counter ("OTC") derivatives may be used in different markets, including but not limited to: interest rates, currency, and credit. In each market, futures (exchange) or forwards (OTC) may be used as well as options on the same. Derivatives may be combined with cash or other derivatives to attempt to profit from mispricing (arbitrage). Each derivative trade will have a limit on risk, as expressed in dollar terms. This limit is a function of the absolute risk (standard deviation) and position size. There are certain risks associated with investments in derivative products.</p> <p>Together, the Active Fund and Alpha Fund comprise Fort Washington's Opportunity Fixed Income Strategy, whose overall objective is to give a wide range of investors access to both traditional and non-traditional fixed income strategies, and to spread risk more evenly across a wider range of investments, compared with traditional fixed income strategies.</p> <p>Interests in the above funds have not been registered under the Securities Act of 1933 in reliance on the exemption provided by section 4 (2) thereof. These interests will not be registered under the securities laws of any state or other jurisdiction.</p> <p>Fort Washington may provide investment advice to non-profit associations, investment clubs or other non-corporate investors. Fort Washington provides investment advice on investments in limited partnerships involving private equity and mezzanine financing to its parent company, Western &amp; Southern Life, and certain affiliated companies pursuant to an investment advisory agreement. Fort</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 13

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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
Item 3 (L)	Washington may also provide investment advice regarding investments in limited partnerships to its unaffiliated clients. See Item 2 (F) above.
Item 4 (A) (5)	<p>In addition to the types of securities listed in this Item 3, Fort Washington may provide investment advice concerning securities with warrants or options attached, subscription rights, repurchase agreements, reverse repurchase agreements, covered call options on portfolio securities, collateralized mortgage obligations, securities lending, and guaranteed investment contracts.</p> <p>The process of security analysis by Fort Washington includes economic analysis, as well as industry and company analysis. A credit analysis is performed on municipal issuers by taking into account such factors as credit rating, balance sheet strength, debt ratios, interest expense coverage, revenues, etc. Also, the general creditworthiness of financial institutions entering into repurchase agreements is evaluated. Fort Washington also utilizes quantitative analysis methods. For example, computerized analysis of corporate data is performed.</p> <p>Principal sources of information for Fort Washington also include: published reports of companies offering circulars, contacts by Fort Washington Portfolio Managers and Analysts with companies and their suppliers and customers, general economic data, regulatory filings, and third-party reports. Such reports and studies by third-parties are analyzed, weighed and reviewed by Fort Washington, and are supplemented by Fort Washington's own internal research efforts. In conducting its independent analyses, Fort Washington subscribes to a variety of analytical tools and data services, including but not limited to, Eagle Pace, H.O.L.T., Factset, Reuters, Bloomberg, S&amp;P, Moody's, Trepp Analytics, Private Eye, among others. Any information obtained during research efforts that may be considered material and/or inside information will be subject to Fort Washington's Insider Trading policy and procedure, and all applicable laws and regulations.</p> <p><b>PROXY VOTING</b></p> <p>Effective March 10, 2003, the Securities and Exchange Commission adopted Rule 206(4)-6 under the Investment Advisers Act of 1940. The new rule requires an investment adviser that exercises voting authority over client proxies to adopt policies and procedures reasonably</p>

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Item of Form (identify)	Answer
Item 4 (C) (7)	<p>designed to ensure that the adviser votes proxies in the best interest of clients, to disclose to clients information about those policies and procedures, and to disclose to clients how they may obtain information on how the adviser has voted their proxies.</p> <p>Fort Washington has adopted and implemented procedures that we believe are reasonably designed to ensure that proxies are voted in the best interests of clients, in accordance with our fiduciary duties and SEC Rule 206(4)-6 under the Investment Advisers Act of 1940. We believe our policy integrates corporate governance and corporate social responsibility. Our authority to vote proxies of our clients is established by our advisory contract or comparable documents.</p> <p>In addition to SEC requirements governing advisers, our proxy voting guidelines reflect the long standing fiduciary standards and responsibilities for ERISA accounts set out in the Department of Labor Bulletin 94-2.</p> <p>Our guidelines address issues involving board of directors, proxy contests, auditors, tender offers, and executive and director compensation, in addition to many other issues.</p> <p>Fort Washington has adopted guidelines for voting proxies with respect to what we define as routine issues. Non-routine issues and proxies that may involve material conflicts of interest in voting client proxies will be voted according to recommendations received from our Proxy Voting Committee.</p> <p>The goal of Fort Washington is to systematically identify and analyze the conditions and basic trends of economies, industries, and companies. Fort Washington continually makes decisions regarding fundamental value and current market prices to determine what is appropriate for client portfolios.</p> <p>Effective portfolio management requires an understanding and analysis of each client's circumstances to identify long-term objectives, to determine priorities and to assess risk-bearing ability. Reflecting the analysis of client needs and of investment conclusions, Fort Washington seeks to achieve on a long-term basis the specific</p>

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Item of Form (identify)	Answer
Item 5	<p>objectives of each client by using various investment alternatives and active portfolio management.</p> <p>Equities, long-term bonds, and short-term investments have different characteristics, and the contributions of each to an investment portfolio is a function of its expected risk and return in relation to the objectives of the client.</p> <p>Professional members of the organization hold at least a Bachelor's degree or have an equivalent level of business experience. Some investment professionals hold advanced degrees.</p> <p>Fort Washington personnel are encouraged to continue their job related education. Programs of study include those leading to qualifications as a Chartered Financial Analyst (CFA), Certified Public Accountant (CPA), and other industry certifications and designations.</p>
Item 6	<p><b>PRINCIPAL EXECUTIVE OFFICERS, SUPERVISORS OF INDIVIDUALS WHO DETERMINE GENERAL INVESTMENT ADVICE TO BE GIVEN TO CLIENTS, AND INDIVIDUALS WHO DETERMINE GENERAL INVESTMENT ADVICE TO BE GIVEN TO CLIENTS:</b></p> <p><b><u>EXECUTIVE OFFICERS/DIRECTORS</u></b></p> <p><b>Maribeth Sembach Rahe</b>, President and Chief Executive Officer  Born: 1948  Education: Bowling Green, BA-1970  Thunderbird School of Global Management, MBA-1974  Ohio State University, PhD Candidate-1972  5-Year Business Background:  11/03 to Present: Fort Washington, President &amp; CEO  6/97 to 10/02 - United States Trust Company of New York, President</p> <p><b>Nicholas Peter Sargen</b>, Chief Investment Officer  Born: 1944  Education: University of California-Berkley, BA, Economics-1966  Stanford University, MA, Economics-1968  Stanford University, PhD, Economics-1975  5-Year Business Background:</p>

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Item of Form (identify)	Answer
	<p>6/03 to Present - Fort Washington, Chief Investment Officer 6/03 to Present - Western &amp; Southern Financial Group, Chief Investment Officer 01/95 to 04/03 - J.P. Morgan Securities, Managing Director, Global Market Strategist</p> <p><b>John Finn Barrett</b>, Director Born:1949 Education: University of Cincinnati, BA, 1971 5-Year Business Background: 3/94 to Present - Western &amp; Southern Financial Group, President, CEO &amp; Chairman of the Board</p> <p><b>Robert Lewis Walker</b>, Director Born: 1950 Education: Transylvania University, BA-1972 University of Kentucky, JD-1974 5-Year Business Background: 07/98 to Present - Western &amp; Southern Financial Group, Senior Vice President &amp; Chief Financial Officer</p> <p><b>Donald Joseph Wuebbeling</b>, Director, Secretary Born: 1945 Education: University of Cincinnati, BA, MA/Economics-1967 University of Michigan Law School, JD- 1971 Ohio Bar Examination, Board of Bar Examiners- 1974 5-Year Business Background: 7/74 to Present - Western and Southern Life Insurance Co., Senior Vice President and General Counsel</p> <p><b>OFFICERS</b> <b>James Joseph Vance</b>, Vice President, Treasurer Born 1961 Education: Wittenberg University, BA, Business Administration-1983 University of Cincinnati, JD-1986</p> <hr/> <p>Indiana University, MBA, Finance-1988 Ohio Bar Examination, Board of Bar Examiners-1986 5-Year Business Background:</p>



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Item of Form (identify)	Answer
	<p>1/94 To Present -The Western Southern Life Insurance Co., Vice President, Treasurer</p> <p><b>Terrie Ann Wiedenheft</b>, Assistant Treasurer  Born: 1962  Education: University of Cincinnati-1989  Wilmington College, BA, Accounting-1990  Certified Public Accountant (1991)  NASD Series 6, 27  5-Year Business Background:  6/00 to Present - Fort Washington, Assistant Treasurer  5/00 to Present - Touchstone Advisors, Inc., Chief Financial Officer  5/00 to Present - Touchstone Securities, Chief Financial Officer  12/97 to Present - IFS Fund Distributors, Inc. Chief Financial Officer, Treasurer  9/97 to Present - Integrated Fund Services, Inc., Chief Financial Officer, Treasurer  7/95 to Present - W-S Brokerage Services, Inc., Chief Financial Officer, Treasurer  4/95 to Present - IFS Holdings, Inc., Chief Financial Officer, Treasurer</p> <p><b>Timothy Donald Speed</b>, Assistant Treasurer  Born: 1957  Education: University of Cincinnati, BS, Education-1976  Certified Public Accountant (1987)  5-Year Business Background:  6/87 to Present -The Western and Southern Life Insurance Co., Assistant Treasurer</p> <p><b>Richard Kelley Taulbee</b>, Assistant Treasurer  Born: 1951  Education: University of Cincinnati, BS, Business Administration-1974  Certified Public Accountant (1976)  5-Year Business Background:  2/89 to Present - The Western and Southern Life Insurance Co., Vice</p> <hr/> <p>President</p> <p><b>Jonathan David Niemeyer</b>, Assistant Secretary</p>

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Item of Form (identify)	Answer
	<p>Born: 1968 Education: University of Kentucky, BA with Distinction, Political Science - 1990 University of Kentucky College of Law, JD- 1993 5-Year Business Background: 2001 to Present - Western &amp; Southern Financial Group, Inc., Vice President and Associate General Counsel</p> <p><b><u>FINANCE:</u></b> <b>Jeffrey D. Meek</b>, CPA, Vice President, Senior Finance Officer Born: 1969 Education: Miami University, BS, Finance and Accounting - 1990 University of Cincinnati, MBA - 1996 5-Year Business Background: 2007 to Present - Fort Washington, Vice President, Senior Finance Officer 2005 to 2007 - Formica Corporation, Assistant Treasurer 2002 to 2004 - Western &amp; Southern Financial Group, Assistant Vice President &amp; Treasurer</p> <p><b><u>MARKETING/BUSINESS DEVELOPMENT:</u></b> <b>Margaret C. Bell</b>, Managing Director, Marketing, Business Development, and Client Services Born 1958 Education: Hollins College, BA, Psychology-1980 5-Year Business Background: 07/04 to Present - Fort Washington, Vice President &amp; Managing Director, Business Development and Client Service 09/93 to 7/04 -Todd Investment Advisors, Inc., Director of Marketing</p> <p><b>Mark A. Frietch</b>, Vice President, Investment Operations, Marketing &amp; Client Service <i>Please see complete biography information under "Operations" (below)</i></p> <p><b>Kenneth J. Ryan</b>, Assistant Vice President, Client Service</p> <hr/> <p>Born: 1961 Education: University of Dayton, BS, Accounting- 1983 Xavier University, MBA, Finance- 1991</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 19

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Item of Form (identify)	Answer
	<p>Certified Public Accountant (1992) 5- Year Business Background: 1996 to Present - Fort Washington, Assistant Vice President &amp; Director, Client Service</p> <p><b>Stephen E. Ball</b>, Vice President, Regional Business Director Born: 1957 Education: William &amp; Mary College, BA, History- 1979 United States Naval Aviation Training- 1979 to 1980 5-Year Business Background: 2001 to Present - Fort Washington, Regional Business Director</p> <p><b>Martin W. Flesher</b>, Vice, President, Regional Business Director Born: 1962 Education: Miami University, BS, Marketing- 1984 Xavier University, MBA, Finance- 1990 5-Year Business Background: 2004 to Present - Fort Washington, Regional Business Director 1999 to 2004 - Dean Investment Associates, Vice President &amp; Director, Institutional Marketing</p> <p><b>EQUITY:</b> <b>Richard Robert Jandrain III</b>, Vice President &amp; Managing Director Born: 1953 Education: Crieghton University, B.S./B.A., Finance- 1975 University of Nebraska, M.B.A. Finance-1976 5 Year Business Background: 11/04 to Present - Fort Washington, Vice President &amp; Managing Director 9/92 to 11/04 - Bank One Investment Advisors, Chief Equity Strategist, Chief Investment Officer of Equities</p> <p><b>Daniel John Kapusta</b>, Vice President, Senior Portfolio Manager Born: 1963 Education: University of Wisconsin (Madison), B.S., Business Management- 1985 Michigan State University (East Lansing), M.B.A.- 1986</p> <hr/> <p>5-Year Business Background 11/04 to Present - Fort Washington, Vice President, Senior Portfolio</p>

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Item of Form (identify)	Answer
	<p><b>Manager</b> 9/92 to 9/04 - Bank One Investment Advisors, Portfolio Manager, Analyst</p> <p><b>Bihag Narendra Patel</b>, Vice President, Senior Portfolio Manager Born: 1967 Education: University of Minnesota, B.A., Mathematics-1991 5 Year Business Background: 11/2004 to Present - Fort Washington, Vice President, Senior Portfolio Manager 2/98 to 10/2004 - Bank One Investment Advisors, Portfolio Manager, Equity Analyst</p> <p><b>David Keith Robinson</b>, Vice President, Senior Portfolio Manager Born: 1963 Education: Ohio University, B.S., Business Administration, 1985 University of Dayton, M.B.A., Business Administration, 1994 Chartered Financial Analyst (1991) 5 Year Business Background 11/04 to Present - Fort Washington, Vice President, Senior Portfolio Manager 12/94 to 9/04 - Bank One Investment Advisors, Portfolio Manager</p> <p><b>Justin Stone</b>, Assistant Vice President, Equity Research Analyst Born: 1974 Education: Union College, B.A. Summa Cum Laude, Economics, 1997 Cornell University, Johnson Graduate School of Management, MBA, 2004 5 Year Business Background: 2007 to Present - Fort Washington, Assistant Vice President, Equity Research Manager 2004 to 2007 - Western &amp; Southern Financial Group, Leadership Development Program Associate 2003 to 2004 - Harley-Davidson Motor Company, Finance and Operations Intern</p> <p><b>John Andrew Wieging</b>, Assistant Vice President, Portfolio Manager Born: 1971</p> <hr/> <p>Education: University of Cincinnati, BBA, Finance and Accounting-1993</p>

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Item of Form (identify)	Answer
	<p>Xavier University, MBA, Finance-1999 Chartered Financial Analyst (2000) 5 Year Buisness Background: 1/99 to Present - Fort Washington, Portfolio Manager</p> <p><b>James Edward Wilhelm, Jr.</b>, Assistant Vice President, Head Portfolio Manager Born: 1971 Education: Wingate University, BS, Business Administration-1993 John Hopkins, MBA-2003 5 Year Business Background: 5/02 to Present - Fort Washington, Portfolio Manager, Senior Research Manager</p> <p><b>John D. Helton</b>, Senior Equity Trader Born: 1960 Education: Adelphi University, BBA - 1982 5-Year Business Background: 2000 to Present - Fort Washington, Senior Equity Trader</p> <p><b>Kevin J. Wittich</b>, Equity Trader Born: 1965 Education: Xavier University, BA, Business- 1995 5-Year Business Background: 1999 to Present - Fort Washington, Equity Trader</p> <p><b><u>FIXED INCOME</u></b> <b>William Holt Bunn III</b>, Assistant Vice President, Senior Credit Analyst Born: 1951 Education: Bowling Green University, BS, Environmental Administration-1973 University of Virginia, MBA-1979 Chartered Financial Analyst (1990) 5-Year Business Background: 7/94 to Present - Fort Washington, Assistant Vice President, Senior Credit Analyst</p> <p><b>Daniel Joseph Carter</b>, Assitant Vice President, Portfolio Manager</p>

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Item of Form (identify)	Answer
	<p><b>Born: 1973</b>  <b>Education: Miami University, BS, Business-1996</b>  <b>Chartered Financial Analyst (1999)</b>  <b>5-Year Business Background:</b>  <b>5/00 to Present - Fort Washington, Assistant Portfolio Manager</b></p> <p><b>Jay Michael Raffle-Devine, Portfolio Manager</b>  <b>Born: 1976</b>  <b>Education: Ohio University-BS-Finance-1998</b>  <b>5-Year Business Background:</b>  <b>7/00 to Present - Fort Washington, Portfolio Manager</b></p> <p><b>Rance Gary Duke, Vice President &amp; Senior Portfolio Manager</b>  <b>Born: 1950</b>  <b>Education: Fisk University, BA -1972</b>  <b>University of Connecticut Law School, JD, Economics &amp; History,</b>  <b>Corporate Law-1976</b>  <b>Wharton School, MBA, Finance-1978</b>  <b>5-Year Business Background:</b>  <b>7/94 to Present - Fort Washington, Vice President &amp; Senior Portfolio Manager</b></p> <p><b>Richard A. Ellensohn, Money Market Analyst</b>  <b>Born: 1975</b>  <b>Education: Ohio University, BS, Accounting &amp; Business Law- 1997</b>  <b>5-Year Business Background:</b>  <b>2000 to Present - Fort Washington, Money Market Analyst</b></p> <p><b>John Joseph Goetz, Vice President, Senior Portfolio Manager</b>  <b>Born: 1960</b>  <b>Education: University of Cincinnati, BS, Finance-1984</b>  <b>Chartered Financial Analyst (1992)</b>  <b>5-Year Business Background:</b>  <b>11/99 to Present - Fort Washington, Vice President &amp; Senior Portfolio Manager</b></p> <p><b>Timothy J. Jossart, Assistant Vice President, Senior Credit Analyst</b>  <b>Born: 1967</b></p>

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Item of Form (identify)	Answer
	<p>Education: University of Wisconsin-Madison, BBA, Finance- 1990</p> <hr/> <p>Chartered Financial Analyst (1996) 5-Year Business Background: 11/96 to Present - Fort Washington, Assistant Vice President, Senior Credit Analyst</p> <p><b>Jessica L. Kupper</b>, Fixed Income Analyst Born: 1982 Education: Xavier University, BS/BA, Finance -2005 5 Year Business Background: 2006 to Present - Fort Washington, Fixed Income Analyst 2006 to 2006 - IFS Financial Services, Corporate Staff Accountant</p> <p><b>Roger Michael Lanham</b>, Managing Director &amp; Senior Portfolio Manager Born: 1957 Education: University of Cincinnati, BS, Finance-1979 Xavier University, MBA, Finance-1985 Chartered Financial Analyst (1988) 5-Year Business Background: 7/94 to Present - Fort Washington, Vice President &amp; Managing Director/Senior Portfolio Manager</p> <p><b>Howard Rinehart Lodge</b>, Vice President &amp; Senior Portfolio Manager Born: 1944 Education: Franklin and Marshall College, BA, Psychology-1966 Indiana University, PhD-1971 University of Pennsylvania, 1971-1973, Post Doctoral Fellowship 5 Year Business Background: 8/04 to Present - Fort Washington, Vice President &amp; Senior Portfolio Manager 6/03 to 6/04 - Ohio National, Head of Derivatives</p> <p><b>Anthony L. Longi, Jr.</b>, Senior Credit Analyst Born: 1965 Education: Indiana University, BS, Finance - 1987 5-Year Business Background: 2004 to Present - Fort Washington, Senior Credit Analyst</p>

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Item of Form (identify)	Answer
	<p>2000 to 2004 - Trivantis Corporation, Chief Financial Officer</p> <hr/> <p><b>Brent Allen Miller</b>, Assistant Portfolio Manager  Born 1974  Education: University of Evansville, BS, Magna Cum Laude, Mathematics-1997  5 Year Business Background:  4/01 to Present - Fort Washington, Asst. Portfolio Manager &amp; Portfolio Analyst</p> <p><b>Timothy J. Policinski</b>, Managing Director &amp; Senior Portfolio Manager  Born: 1953  Education: Indiana University, BS, Economics-1977  Indiana University, MS, Business Administration-1981  Chartered Financial Analyst (1998)  5-Year Business Background:  6/01 to Present - Fort Washington, Vice President &amp; Managing Director / Senior Portfolio Manager.</p> <p><b>Daniel J. Saylor</b>, Fixed Income Analyst  Born: 1984  Education: Xavier University, BS, Business Administration - 2007  Attended United States Military Academy West Point  5 Year Business Background:  2007 to Present - Fort Washington, Fixed Income Analyst  2006 to 2007 - Procter &amp; Gamble, Research Assistant  2006 to 2007 - Xavier Student Investment Fund, Student Director</p> <p><b>J. Kevin Seagraves</b>, Senior Credit Analyst  Born: 1974  Education: Miami University, BS, Finance - 1996  Chartered Financial Analyst  5-Year Business Background:  2003 to Present - Fort Washington, Senior Credit Analyst  1998 to 2003 - Summit Investment Partners, Senior Analyst</p> <p><b>Paul A. Tomich</b>, Portfolio Analyst  Born: 1982</p>

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Item of Form (identify)	Answer
	<p>Education: Xavier University, BS/BA Magna Cum Laude, Finance-2005 5-Year Business Background: 2005 to Present - Fort Washington, Portfolio Analyst</p> <hr/> <p>2004 to 2005 - Xavier University Student Investment Fund, Student Director</p> <p><b>David Wesley Walters</b>, Assistant Vice President &amp; Portfolio Manager Born: 1965 Education: University of Kentucky, BA, Finance-1989 Xavier University, MBA-1991 Chartered Financial Analyst (1993) Certified Financial Planner (1994) 5-Year Business Background: 1/02 to Present - Fort Washington, Assistant Vice President &amp; Portfolio Manager</p> <p><b>Scott Donald Weston</b>, Vice President, Senior Portfolio Manager Born: 1965 Education: University of Utah, BS, Political Science-1987 University of Cincinnati, MBA, Finance-1996 5-Year Business Background: 5/00 to Present - Fort Washington, Vice President &amp; Senior Portfolio Manager</p> <p><b>Brendan Matthew White</b>, Managing Director, Senior Portfolio Manager, &amp; Head of Credit Research Born: 1965 Education: Ohio State University, BS, BA, Finance-1987 Xavier University, MBA-1993 Chartered Financial Analyst (1990) 5-Year Business Background: 7/93 to Present - Fort Washington, Managing Director, Senior Portfolio Manager, &amp; Head of Credit Research</p> <p><b>PRIVATE EQUITY</b> <b>Stephen Andrew Baker</b>, Managing Director, Fort Washington Capital Partners Group Born: 1964</p>

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Item of Form (identify)	Answer
	<p>Education: University of Cincinnati, BA, History-1985 New York University, MBA, Finance-1993 5-Year Business Background: 6/00 to Present - Fort Washington, Managing Director (FWCPG)</p> <hr/> <p><b>Christopher Lee Baucom</b>, Managing Director, Fort Washington Capital Partners Group Born: 1967 Education: North Carolina State University, BS, Industrial Engineering-1990 University of Chicago, MBA-1995 5-Year Business Background: 9/2001 to Present - Fort Washington, Vice President (FWCPG)</p> <p><b>John Joseph O'Connor</b>, Managing Director, Investments and Equity Strategist, Fort Washington Capital Partners Group Born: 1955 Education: Lawrence University, BA, Economics- 1977 Northwestern University, MM, Finance/Economics-1979 Certified Public Accountant (1993) Chartered Financial Analyst (1991) 5-Year Business Background: 7/94 to Present- Fort Washington, Managing Director (FWCPG)</p> <p><b>John P. Bessone</b>, Vice President and Regional Director, Fort Washington Capital Partners Group Born: 1954 Education: Williams College, BA, American Studies 5-Year Business Background: 2006 to Present - Fort Washington, Vice President &amp; Regional Director (FWCPG) 1991 to 2006 - Stevenson &amp; Company, Senior Vice President</p> <p><b>Paul D. Cohn</b>, Vice President, Investment Management, Fort Washington Capital Partners Group Born: 1962 Education: Carnegie Mellon University, BS, Administration &amp; Management Services- 1985</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 27

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<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
	<p>Carnegie Mellon University, MBA, Business Administration - 1985 5-Year Business Background: 2006 to Present - Fort Washington, Vice President (FWCPG) 2004 to 2006 - Navigation Capital Partners, LLC, Chief Investment Officer</p> <hr/> <p>2003 to 2004 - G4 Venture Partners, Partner / Venture Capitalist 1995 to 2003 - Mellon Ventures, Inc., Partner / Investment Professional</p> <p><b>Kristin A. DePlatchett</b>, Investment Analyst, Fort Washington Capital Partners Group Born: 1980 Education: University of North Carolina (Chapel Hill), BA, Economics - 2002 5-Year Business Background: 2006 to Present - Fort Washington, Investment Analyst (FWCPG) 2004 to 2006 - Schaefer's Investment Research Co., Financial Analyst 2003 to 2004 - Birinyi Associates, Inc., Financial Analyst</p> <p><b>Mary Ann Griffin</b>, Investment Manager, Fort Washington Capital Partners Group Born: 1976 Education: University of Virginia, BA, Economics- 1998 5-Year Business Background: 2003 to Present - Fort Washington, Investment Manager (FWCPG) 2000-2003: Credit Suisse First Boston, Equity Research Associate Analyst</p> <p><b>Peter O. Jarman</b>, Assistant Vice President, Investment Manager, Regional Director - Utah Fund of Funds Program, Fort Washington Capital Partners Group Born: 1971 Education: University of Utah, BA, Spanish - 1994 Northwestern University, Kellogg School of Management, MBA, Finance &amp; Marketing- 1999 5-Year Business Background: 2006 to Present - Fort Washington, Regional Director (FWCPG) 2004 to 2006 - Roundy, Inc., Vice President, Product Development, Marketing, and Channel Development</p>

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Item of Form (identify)	Answer
	<p>2003 to 2004 - Parametric Technology Corp., Senior Director, Global Channel Development</p> <p><b>M. Robert Maeder, CFA</b>, Investment Manager, Fort Washington Capital Partners Group Born: 1974</p> <hr/> <p>Education: Northwestern University, BA, Economics - 1996 Northwestern University, Kellogg School of Management, MBA - 2003 5 Year Business Background: 2007 to Present - Fort Washington Capital Partners Group, Investment Manager 2003 to 2007 - L.E.K. Consulting, Manager</p> <p><b>Julia Ossipov-Grodsky</b>, Investment Manager, Fort Washington Capital Partners Group Born: 1976 Education: Wharton School of the University of Pennsylvania, BS, Economics- 1998 5-Year Business Background: 2005 to Present - Fort Washington, Investment Manager (FWCPG) 1998 to 2003 - Morgan Stanley, Equity Research Associate in Financial Services, Food, and Computer Services Industries</p> <p><b>Vishal Y. Shah</b>, Investment Analyst, Fort Washington Capital Partners Group Born: 1981 Education: College of William &amp; Mary, BA, Economics - 2003 Virginia Tech University, MA, Economics - 2005 5-Year Business Background: 2006 to Present - Fort Washington, Investment Analyst (FWCPG) 2005 to 2006 - Comter Systems, Inc., Business Development Intern 2003 to 2004 - Advanced Development &amp; Investment, Inc., Financial Analyst</p> <p><b>WEALTH MANAGEMENT:</b> <b>Thomas Lewis Finn</b>, Vice President, Business Development/Client Services, Wealth Management Born: 1955</p>

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Item of Form (identify)	Answer
	<p>Education: Georgetown University, BA, Economics-1977 Xavier University, MBA-1987 Chartered Financial Analyst (1996) 5 Year Business Background: 6/02 to Present - Fort Washington, Vice President Business Development / Client Services, Wealth Management</p> <hr/> <p><b>James Arch Markley</b>, Managing Director, Senior Relationship Manager Born: 1921 Education: Michigan State University, BA Cum Laude, Economics-1949 American Graduate School International Management, BA, International Trade- 1950 Xavier University, MBA, Business Administration-1967 Rutgers University, American Banker Association, Certificate in Commercial Lending-1968 5-Year Business Background: 11/99 to Present - Fort Washington, Managing Director</p> <p><b>Charles Allen Ulbricht</b>, Vice President &amp; Senior Portfolio Manager Born: 1958 Education: DePauw University, BA, Economics-1980 Indiana University, MBA, Business-1982 Chartered Financial Analyst (1991) 5-Year Business Background: 4/95 to Present - Fort Washington, Vice President &amp; Senior Portfolio Manager</p> <p><b>Connie Louise Krebs</b>, Assistant Vice President, Senior Relationship Manager Born: 1957 Education: Thomas More College, BA Cumma Sum Laude - 1979 Northern Kentucky University, MBA - 1983 5-Year Business Background: 2003 to Present - Fort Washington Investment Advisors, Inc., Senior Relationship Manager 1982 to 2003 - Western &amp; Southern Financial Group</p> <p><b><u>COMPLIANCE:</u></b></p>

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Item of Form (identify)	Answer
	<p><b>Michele Hawkins</b>, Vice President, Chief Compliance Officer  Born: 1958  Education: University of Cincinnati, Xavier University  Certified Regulatory and Compliance Professional (2002) (NASD Institute/Wharton Certificate Program)  5-Year Business Background:  9/00 to Present - Fort Washington, Assistant Vice President, Chief Compliance Officer</p> <hr/> <p>10/04 To Present -Todd Investment Advisors, Inc., Chief Compliance Officer</p> <p><b>Laura Flowers</b>, Compliance Officer  Born: 1970  Education: Butler University, BA, International Studies/Business Administration - 1992  Drake University Law School, JD with honors- 1996  5-Year Business Background:  2006 to Present - Fort Washington, Compliance Specialist / Compliance Officer  2001 to 2006 - Alderwoods Group, Inc., Compliance Attorney</p> <p><b>OPERATIONS:</b>  <b>Mark Andrew Frietch</b>, Vice President, Investment Operations  Born: 1958  Education: University of Dayton, BS Cum Laude, Accounting-1980  Certified Public Accountant (1983)  5 Year Business Background:  1/02 to Present - Fort Washington, Vice President, Investment Operations</p> <p><b>Eric John Walzer</b>, Assistant Vice President, Investment Operations  Born: 1970  Education: University of Cincinnati, BA Magna Cum Laude, Accounting &amp; Finance  Certified Public Accountant (1993)  5-Year Business Background:  2002 to Present - Fort Washington, Assistant Vice President Investment Operations</p>



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Item of Form (identify)	Answer
Item 7 (B)	<p>Fort Washington High Yield Investors LLC, Fort Washington Private Equity Investors II, L.P. ("FWPEII"), Fort Washington Private Equity Investors, III, L.P. ("FWPEIII"), Fort Washington Private Equity Investors, IV, L.P. and WSL Partners, LLC are limited partnerships formed by Fort Washington Capital Partners, LLC ("FWCP"), a wholly-owned subsidiary of Fort Washington, offering limited partnership interests to investors, some of whom may be clients of Fort Washington. The</p> <hr/> <p>officers and members of the Investment Committee of FWCP are also officers of Fort Washington. See Item 2 (F) above.</p> <p>Fort Washington Investment Advisors, Inc. has partnered with Peppertree Partners, LLC ("Peppertree"), also a registered investment advisor, to form Buckeye Venture Partners, LLC (BVP), an Ohio limited liability company. Fort Washington owns 60% of the membership interests of BVP and Peppertree owns 40% of such interests. Fort Washington is the Manager of BVP. BVP has executed a Program Administrator Agreement with the Ohio Venture Capital Authority to manage and fund The Ohio Capital Fund ("TOCF"), an Ohio venture capital program backed by state tax credits. BVP serves as the Manager of TOCF, and both Fort Washington and Peppertree have executed investment advisory agreements with BVP and TOCF. Interests in TOCF will not be registered under the Securities Act of 1933 in reliance on the exemption provided by section 4 (2) thereof.</p> <p>These interests will not be registered under the securities laws of any state or other jurisdiction.</p>
Item 7 (C)	<p>Some of Fort Washington's Officers hold the same or similar positions with affiliated entities. These Officers devote the appropriate amount of time to their responsibilities with respect to Fort Washington as to not disadvantage Fort Washington's clients.</p> <p>Certain associated persons of Fort Washington will serve on advisory boards of clients of the firm. In this capacity, these individuals may be asked to consult with leadership of those clients on business planning and strategies, among other things.</p>

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Item of Form (identify)	Answer
Item 8 (C)	<p>Fort Washington is a wholly-owned subsidiary of The Western and Southern Life Insurance Company. Fort Washington supervises the securities investments of Western &amp; Southern and its subsidiaries.</p> <p>In December 2006, a single member holding company, W&amp;S Operating Holdings, LLC (W&amp;S Operating) was formed Western &amp; Southern, and Western &amp; Southern transferred its 100% ownership interest in Fort Washington to W&amp;S Operating. Fort Washington remains a wholly owned subsidiary of Western &amp; Southern, as Western &amp; Southern is the sole member of W&amp;S Operating.</p> <p>The Western and Southern Life Insurance Company, a mutual life insurance company originally organized under the laws of the State of Ohio on February 23, 1888, is wholly owned by an Ohio domiciled intermediate holding company, Western Southern Financial Group, Inc., which is wholly owned by an Ohio domiciled mutual insurance holding company, Western &amp; Southern Life Mutual Holding Company. All of the above are located at 400 Broadway, Cincinnati, Ohio 45202.</p> <p>The Western and Southern Life Insurance Company, through its wholly-owned subsidiary, Western &amp; Southern Life Life Assurance Company, a stock life insurance company organized under the laws of the State of Ohio on December 1, 1980, owns 100% of IFS Financial Services, Inc., which in turn owns 100% of Touchstone Advisors, Inc., an SEC registered investment adviser, Touchstone Securities, Inc., a registered broker-dealer, W-S Brokerage Services, Inc., a registered broker-dealer, IFS Fund Distributors, Inc., a registered broker-dealer. All of the above (with the exception of The Western and Southern Life Insurance Company and Western &amp; Southern Life Life Assurance Company) are located at 303 Broadway, Cincinnati, Ohio 45202.</p> <p>Touchstone Advisors, Inc., 303 Broadway, Suite 1100, Cincinnati, Ohio 45202, serves as the investment adviser to Touchstone Strategic Trust, Touchstone Investment Trust and Touchstone Tax Free Trust, each an open-end diversified management investment company, comprising the Touchstone Family of Funds. Touchstone Advisors, Inc. also serves as adviser to Touchstone Variable Series Trust, an open-end diversified management investment company, the series of which serve as underlying investment portfolios for the variable annuity contracts issued</p>



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Item of Form (identify)	Answer
	<p>through Separate Accounts 1 and 2 of the Western &amp; Southern Life Assurance Company and the Variable Universal Life Insurance contracts issued through Separate Account 1 of Columbus Life Insurance Company, also a wholly-owned subsidiary of The Western and Southern Life Insurance Company. Touchstone Securities serves as distributor for the Touchstone Family of Funds, as well as for these variable annuity and variable life contracts.</p> <p>Fort Washington has entered into an investment advisory agreement</p> <hr/> <p>with Touchstone Advisors, Inc., pursuant to which Fort Washington serves as sub-adviser to certain of the separate investment series or portfolios of the Touchstone Family of Funds and the Variable Series Trust.</p> <p>Fort Washington owns 100% of the common stock of Todd Investment Advisors, Inc. ("Todd"), 101 S. 5th Street, Suite 3160, Louisville, KY 40202, an investment adviser registered with the U.S. Securities and Exchange Commission. Fort Washington and Todd combine certain aspects of research and marketing. In addition, some Directors and/or Officers of Todd are also Directors and/or Officers of Fort Washington. Fort Washington may provide some investment advisory services to certain Todd advisory clients, and Todd may also provide some investment advisory services to certain Fort Washington clients.</p> <p>Fort Washington Capital Partners Group, LLC ("FWCPG") is an institutional private equity fund of funds manager based in Cincinnati, Ohio, and is the continuation of the 22-year private equity investment program of Western &amp; Southern.</p> <p>FWCPG was initially formed in 1999 to professionally manage, invest and administer private equity funds of funds for FWCP clients as well as Western &amp; Southern Life. FWCP is a wholly owned subsidiary of Fort Washington. FWCP serves as the General Partner for Fort Washington Private Equity Investors II, LP (Fund II), Fort Washington Private Equity Investors III, LP (Fund III) and Fort Washington Private Equity Investors IV, LP (Fund IV) fund of funds series.</p> <p>Tri-State Ventures, LLC ("TSV") and Tri-State Ventures II, LLC ("TSVII"),</p>

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Item of Form (identify)	Answer
	<p>both Delaware limited liability companies based in Cincinnati, Ohio, were formed in 2001 and 2006, respectively, by FWCPG to be the equity funds of funds with early stage, regional, venture capital focus.</p> <p>Western &amp; Southern, through its wholly-owned subsidiary Columbus Life Insurance Company, owns 100% of Capital Analysts, Inc., 303 Broadway, Suite 1500, Cincinnati, Ohio. Capital Analysts, Inc. is a registered broker-dealer and investment adviser which offers, among other things, financial planning services. W&amp;S Financial Group Distributors, Inc., is located at 303 Broadway Street, Suite 1100, Cincinnati, Ohio 45202. It is a wholly owned subsidiary of IFS Financial Services, Inc., the immediate parent company of Touchstone Advisors, Inc. W&amp;S Financial Group Distributors, Inc., may earn commissions on the sale of variable products containing sub-accounts advised by Touchstone Investment Advisors, Inc.</p> <p>IFS Agency Services, Inc., is located at 318 Tavistock Drive, Royersford, PA 19468. It is a wholly owned subsidiary of IFS Financial Services, Inc., the immediate parent of Touchstone Advisors, Inc. IFS Agency Services, Inc., may earn commissions on the sale of variable products containing sub-accounts advised by Touchstone Investment Advisors, Inc.</p> <p>IFS Agency, Inc., is located at 3009 Persimmon Place, Rowlett, TX 75088. It is owned by Charles White and its day to day business affairs are under common control with Touchstone Advisors, Inc. IFS Agency, Inc., may earn commissions on the sale of variable products containing sub-accounts advised by Touchstone Investment Advisors, Inc.</p> <p>Integrity Life Insurance Company ("Integrity") and National Integrity Life Insurance Company ("National Integrity") are located at 400 Broadway, Cincinnati, OH 45202, and 15 Matthews Street, Goshen, NY 10924, respectively. These two insurance companies are underwriters of variable products that use sub-accounts advised by Touchstone Advisors, Inc. Integrity and National Integrity are both wholly owned subsidiaries of Western - Southern.</p> <p>Eagle Realty Group, Inc., is located at 421 East Fourth Street, Cincinnati, Ohio 45202. Eagle Realty Group, Inc., provides, brokerage</p>

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Item of Form (identify)	Answer
Item 9 (D)	<p>services, commercial property management, residential property management, real estate investment management and real estate investment advisory services.</p> <p>Fort Washington Savings Bank, 400 Broadway, Cincinnati, Ohio 45202, a savings and loan association, organized under the laws of the State of Ohio on June 2, 2003, is a wholly-owned subsidiary of Western &amp; Southern Life.</p> <p>Also see Item 2 (F) above for a description of Fort Washington's relationship to an affiliated limited partnership.</p> <p>Fort Washington may recommend to its clients shares of The Touchstone Family of Funds ("Touchstone Funds"). Fort Washington and related parties will receive fees from Touchstone Funds for providing services to such investment companies, and may at the same time receive fees from a separate account client on assets invested in such companies. To the extent that a client or prospective client of Fort Washington invests in an investment company, such client or prospective client, as a shareholder or investor in such fund, may bear its proportionate share of fees and expenses paid to the investment company or their affiliated parties.</p> <p>Fort Washington may invest client assets or recommend that clients invest in shares of affiliated funds to which Fort Washington serves as sub-adviser. Fort Washington may, depending on the agreement with the client, waive investment advisory fees on that portion of the client's assets invested in such investment companies. Alternatively, Fort Washington may receive fees in its capacities as sub-adviser to the investment company and as adviser to the separate account to the extent permitted by applicable law.</p> <p>Fort Washington may invest cash balances in affiliated money market funds. If Fort Washington is the sub-adviser to the affiliated money market fund, it will receive fees from the management company and from the separate account client, on that portion of the client's assets.</p> <p>Pursuant to Rule 17A-7 under the Investment Company Act of 1940, Fort Washington may recommend portfolio transactions between</p>

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Item of Form (identify)	Answer
Item 9(B)	<p>investment companies for which it serves as investment or sub-adviser.</p> <p>The purchase and sale transactions are effected according to certain procedures adopted by the Touchstone Board of Trustees in the investment companies.</p> <p>Fort Washington may effect portfolio transactions for affiliated investment companies' clients pursuant to Section 17 (3) (2) of the Investment Company Act of 1940, which permits brokers who are affiliates of an investment company to receive compensation for effecting portfolio transactions for such company only under certain circumstances. Fort Washington may also effect portfolio transactions for its affiliated investment company clients with banks, bank holding companies and their affiliates which are affiliates of the investment company's clients, solely because they own, hold or control 5% or more of the outstanding securities of an investment company client.</p> <p>Touchstone has received an Order of Exemption from the Securities and Exchange Commission, permitting Fort Washington to engage in such transactions under certain conditions.</p> <p>Securities purchase or sale orders for clients of Fort Washington may be placed through Fort Washington's affiliated broker/dealers so long as, in Fort Washington's reasonable judgment, the client will not be disadvantaged as a result.</p> <p>Fort Washington may engage in principal and/or agency cross transactions; however, any such transactions may only be effected with proper authorization and consent from and disclosure to those clients.</p>
Item 9(D), (E)	<p>From time to time, Fort Washington may recommend to clients that they buy or sell securities or investment products in which Fort Washington or a related party serves as investment adviser or sub-adviser, holds an interest, or serves as director for the issuer. Fort Washington or related parties of Fort Washington may buy or sell for themselves securities that Fort Washington also recommends to clients.</p> <p>Certain securities traded for clients may be appropriate for one client and not for another. Frequently, a particular security may be bought or</p>

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Item of Form (identify)	Answer
Item 9	<p>sold for only one client or in different amounts and at different times for more than one but less than all clients. Likewise a particular security may be bought for one or more clients when one or more clients are</p> <p>selling the security. In addition, purchases or sales of the same security may be made for two or more clients on the same day. If such purchases or sales are made on the secondary market, a pro rata allocation is generally made when Fort Washington is unable to buy or sell the full number of shares desired. If such purchases are in an initial public offering, and Fort Washington is unable to buy the full number of shares desired (as is generally the case in an initial public offering), the shares purchased will be allocated on an equitable rotational basis among those client accounts for which the security is appropriate, subject to certain guidelines (e.g., a de minimus number of shares per account). Those eligible accounts excluded from participating in a particular initial public offering (as a result of the de minimus guidelines, or otherwise) generally will receive priority in the allocation of subsequent transactions in initial public offerings suitable for those accounts. Fort Washington believes this rotational allocation among client accounts is fair and equitable and is applied consistently. In some cases, however, this procedure could have an adverse affect on the price or amount of the securities purchased or sold by one or more of the clients in question.</p> <p><b><u>Code of Ethics</u></b></p> <p>Effective February 1, 2005, Fort Washington adopted a revised Code of Ethics ("Code") to meet the requirements of Rule 204A-1 and 17j-1. Directors, officers and other employees deemed to be Access Persons shall have the fiduciary duty, at all times, to place the interests of the investment companies and other clients for which Fort Washington acts as investment adviser or sub-adviser ahead of their own interests.</p> <p>Accordingly, Access Persons must avoid activities, ownership interests, and business relationships that might interfere or appear to interfere with making decisions in the best interest of our clients. All personal securities transactions must be conducted in compliance with the Code and in a manner that avoids any actual or potential conflict of interest or any abuse of the individual's position of trust and responsibility to Fort Washington and its clients. All activities of personnel associated with</p>

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Item 10	<p>Fort Washington shall be conducted in accordance with the fundamental standard that they shall not take any inappropriate advantage of their positions with Fort Washington, and in accordance with Fort Washington's Code. This Code prohibits or restricts personal securities transactions by Access Persons under circumstances which may present an actual or potential conflict of interest with Fort Washington's clients. A copy of the Code is available upon request.</p> <p>As indicated in the fee schedules previously stated, Fort Washington generally requires a minimum account size, which varies among the different strategies. Accounts valued at less than such minimums, however, may be accepted or maintained under certain conditions as negotiated between Fort Washington and the client.</p> <p>Fort Washington's Wealth Management Division generally requires accounts to have a minimum account size of \$1,000,000. However, accounts valued at less than such minimums may be accepted or maintained under certain conditions as negotiated between Fort Washington and the client.</p> <p><b>Privacy Policy</b>  <u>Our pledge to our clients</u></p> <ul style="list-style-type: none"> <li>· We collect only the information we need to service your account and administer our business.</li> <li>· We are committed to keeping your information confidential and we place strict limits and controls on the use and sharing of your information.</li> <li>· We make every effort to ensure the accuracy of your information.</li> </ul> <p>We collect the following non-public personal information about you:</p> <ul style="list-style-type: none"> <li>-Information we receive from you on or in applications or other forms, correspondence, or conversations, including, but not limited to, your name, address, phone number, social security number, assets, income and date of birth; and</li> <li>-Information about your transactions with us, our affiliates, or others, including, but not limited to, your account number and balance, payment history, parties to transactions, cost basis information, and other financial information.</li> </ul>

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Item of Form (identify)	Answer
Item 11 (B)	<p><u><b>Categories of Information We Disclose and Parties to Whom We Disclose</b></u></p> <p>We do not disclose any non-public personal information about our current or former clients to non-affiliated third parties, except as required or permitted by law.</p> <p>We place strict limits and controls on the use and sharing of your information.</p> <ul style="list-style-type: none"> <li>· We restrict access to non-public personal information about you to authorized employees who need the information to administer your business.</li> <li>· We maintain physical, electronic and procedural safeguards that comply with federal standards to protect this information.</li> </ul> <p><u><b>We May Provide Information to Service Your Account</b></u></p> <p>Sometimes it is necessary to provide information about you to a service company to facilitate the servicing of your account. These organizations have a legitimate business need to see some of your personal information in order for us to provide service to you. We may disclose to these service providers the information that we collect as described above. We require that these companies, including our own subsidiaries and affiliates, strictly maintain the confidentiality of this information and abide by all applicable laws. Companies within our corporate family that may receive this information are financial service providers and insurance companies. We do not permit these associated companies to sell the information for their own purposes, and we never sell our customer information.</p> <p><u><b>Review of Accounts</b></u></p> <p>Client account records are generated by computer recordkeeping systems, and produce standard reports, usually on a monthly basis, which are used by portfolio managers and can be sent to clients upon request. In addition, clients receive regular statements from custodians, and confirmation statements from brokers, reflecting investment changes in investment positions within their portfolios. Fort Washington provides to clients, on a monthly or quarterly basis, a written update</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 40

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
Item 11 (A)	describing the performance of the client's account(s).  Portfolio managers provide continuous supervision of client accounts. No specific limits are pre-determined as to the number of accounts assigned to any counselor. The number of accounts reflect such factors as: time demands of the particular accounts; experience and efficiency of each counselor; number of persons assigned to the supervision of the respective accounts; and the other management and administrative responsibilities of the counselor.  The implementation by portfolio managers of their responsibilities is monitored as follows: A periodic account review system, supervised by a senior member of Fort Washington's investment staff, covers each client's objectives and policy, as well as investment position, performance, and relationship with Fort Washington.
Item 12 (A) (1), (2) and 12 (B)	<b>Investment or Brokerage Discretion</b> Fort Washington generally determines the broker with whom securities transactions are to be affected. Fort Washington considers a number of factors when selecting a broker-dealer. In selecting brokers for portfolio transactions, we consider the overall direct net economic results, including both price paid or received and any commissions or other associated costs, the nature of the security traded, the efficiency with which the transaction is executed, the ability to execute the transaction at all where a large block is involved, the availability of the broker to stand ready to execute possibly difficult transactions in the future, the clearance and settlement capabilities of the broker-dealer, responsiveness to Fort Washington and the financial strength and stability of the broker. Taking into account these factors, Fort Washington may elect to pay a brokerage commission in excess of that which another broker-dealer might charge for effecting the same transaction.  It is Fort Washington's policy to seek best execution available with respect to each transaction, in light of the overall quality of brokerage and research services provided to it or its clients. Best execution is not limited to obtaining the lowest commissions, but involves seeking the most reasonably favorable terms for a transaction under the circumstances.



**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:  <b>Fort Washington Investment Advisors, Inc.</b>	SEC File Number:  801- <b>37235</b>	Date:  April 2, 2008
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
Item 12 (A) (3), (4) and 12 (B)	<p>Should a trading error occur, Fort Washington's policy is that clients will not suffer any loss from such an error. In order to address this possible problem, Fort Washington has established a custody account solely for a trading errors.</p> <p>Fort Washington routinely reviews commission rates and execution and settlement services performed by various broker-dealers in order to determine their competitiveness.</p> <p>Consistent with the rules of the National Association of Securities Dealers, Inc., and subject to seeking best qualitative execution, Fort Washington may give consideration to sales of shares of the investment companies for which it serves as sub-advisor as a factor in the selection of broker-dealers to execute portfolio transactions.</p> <p>Fort Washington maintains a list of approved broker-dealers.</p> <p>Fort Washington may aggregate orders for simultaneous multiple transactions in the same security when possible and when advantageous to clients. Accounts which participate in aggregated orders will receive an average share price, and transaction costs will be shared equally and on a pro-rata basis.</p> <p>Fort Washington, in an attempt to establish fair and equitable treatment to all accounts, uses an alternating method for trade executions.</p> <p><b><u>CLIENT-DIRECTED BROKERAGE ARRANGEMENTS</u></b></p> <p>Fort Washington will accept direction from clients regarding the brokers to be used for that client. Clients may have existing arrangements permitting them to offset certain administration, accounting, custody, consulting or other fees in relation to the amount of brokerage transactions handled by a specific broker. At the same time, Fort Washington and/or related entities may have arrangements to receive products or services provided by the same intermediary, which are separate from the arrangement negotiated by the client. Nevertheless, in following the client's direction to use a particular broker to execute either all or part of the brokerage transactions for their accounts, clients must be aware that, in doing so, they may adversely affect our ability, among</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 42

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:  <b>Fort Washington Investment Advisors, Inc.</b>	SEC File Number:  801- <b>37235</b>	Date:  April 2, 2008
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
---	--

Item of Form (identify)	Answer
Item 13(A)	<p>other things, to obtain volume discounts on bunched orders and/or achieve best execution. Under these circumstances, the client authorizes Fort Washington to effect all portfolio transactions charged at a rate agreed upon between the client and the broker-dealer. Fort Washington will not generally negotiate commission rates on individual or batched transactions, including volume commission discounts, on behalf of the client unless expressly requested to do so, and as a result, in some transactions, clients may pay materially disparate commissions depending on their commission arrangement with the directed broker-dealer.</p> <p>From time to time, certain broker-dealers may provide referrals to Fort Washington. As to any referral where Fort Washington is directed by the client to effect brokerage transactions through the referring broker-dealer, Fort Washington may have a conflict of interest between its duty to the client to obtain the most favorable brokerage commission rates and from receiving future referrals from that broker-dealer.</p> <p>A client who directs Fort Washington to use a particular broker-dealer, including a client who directs use of a broker-dealer as custodian of the client's assets, should consider whether such a designation may result in certain costs or disadvantages to the client. The client may pay higher commissions than they would if the client had not directed brokerage and may not receive best execution. Accordingly, the client should satisfy itself that the broker-dealer can provide adequate price and execution of most transactions. A client who directs the use of a broker-dealer may also be subject to certain disadvantages regarding allocation of new issues and aggregation of orders. Clients directing the use of a particular broker-dealer may be disadvantaged in batched transactions by incurring materially different commission charges when batched transactions are allocated to client accounts held by the directed broker-dealer. In some situations, the Adviser may be in a better position to negotiate commissions if the brokerage was not directed. In determining whether to establish a custodial account with a broker-dealer or directing Fort Washington to use a particular broker-dealer, the client may wish to consider the possible costs or disadvantages of such an arrangement.</p> <p><b><u>COMMISSION RECAPTURE BROKER/DEALER ARRANGEMENTS</u></b></p>

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
---	--

Item of Form (identify)	Answer
	<p>Under a client directed commission recapture program, the client will establish a trading relationship with a broker-dealer. In this situation the client authorizes Fort Washington to execute either a portion or all transactions with their designated broker-dealer. The commission rate is established by the client and their broker-dealer, Fort Washington will not negotiate commission rates, and, as a result, the client may or may not pay materially disparate commissions depending on their arrangement with the broker-dealer.</p> <p>Clients who direct Fort Washington to use a particular broker-dealer should consider whether such a designation might result in certain costs or disadvantages to the client. The client may pay higher commissions than they would if the client had not directed their transactions and may not receive best execution. Accordingly, the client should satisfy itself that the broker-dealer can provide adequate price and execution.</p> <p><b><u>SOFT DOLLAR ARRANGEMENTS</u></b></p> <p>Where more than one broker-dealer is reasonably believed to be capable of providing the best combination of price and execution with respect to a particular transaction, it is the policy of Fort Washington to select a broker-dealer who can be helpful to Fort Washington's clients by furnishing research products or other investment services. These research products and investment services are used to service all of the firm's accounts, and not just those accounts paying for it. Fort Washington has no binding agreement or obligation requiring the use of any broker-dealer in order for Fort Washington to receive research or investment services. Such products and services are made available to Fort Washington in connection with its investment decision-making responsibilities, and enhance Fort Washington's capability to discharge those responsibilities. Products and services may include information in the form of written and oral reports, reports accessed by computers, statistical collations, appraisals and analyses relating to markets, companies, industries, business and economic factors, market trends, portfolio strategy, and trading insight and intelligence. Also included are certain quotation and information gathering equipment. These products and services are generally useful in servicing client accounts.</p>

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
	<p>Selected services provided by broker-dealers to Fort Washington may have administrative, marketing or other uses which do not constitute research or brokerage services within the meaning of Section 28(e) of the Securities and Exchange Act. Such services are generally known as "mixed use" services. Fort Washington evaluates the use within the firm of any "mixed-use" services, allocating the cost of such services between research/brokerage and non-research/brokerage uses based on the number of people, the purpose used, and the time that different associates utilize the service. In making such an allocation, a conflict of interest may arise in determining the cost allocation of mixed-use items between research and non-research portions of the products. Fort Washington pays hard dollars for any portion of the mixed-use services that is allocated to the non-research / brokerage portion.</p> <p>Fort Washington and its clients currently receive the benefit of the following equipment and services, which are paid for by broker-dealer commissions and/or selling concessions on securities purchased or sold in client accounts: AMEX, NYSE, Russell Equity Index, Bloomberg, Dow Jones News Service, Zacks Research Digest, Reuters, FactSet, S&amp;P - Compustat, S&amp;P - Index Data, BCA Research, Rimes.</p> <p>Commissions generated by securities trades in client accounts to pay for the above investment research services are sometimes referred to as "soft dollar" trades. Equity soft dollar trades are made through broker-dealers who pay for research or investment services generally through a base execution commission rate plus an additional research commission rate, per share ("cost plus pricing".) In instances where Fort Washington has cost-plus pricing arrangements with broker-dealers, Fort Washington uses a an established base commission rate for execution, with the remainder of the total commission rate being allocated to the research and investment services described above.</p> <p>The investment information obtained through the use of the equipment and investment services is vital in Fort Washington's investment decision making and generally benefits all of its clients.</p> <p>Fort Washington's parent company, Western &amp; Southern Life (also a client of Fort Washington) has directed Fort Washington to use soft dollars generated by Western &amp; Southern Life trades to pay for certain</p>

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
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Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
Item 13(B)	<p>equipment, investment services and investment information for the benefit of clients of Fort Washington and Todd Investment Advisors, Inc. ("Todd"), which is a wholly-owned subsidiary of Fort Washington.</p> <p><b><u>Referral Programs</u></b></p> <p>Fort Washington has entered into an agreement, "Advisor Direct" with TD Waterhouse Investor Services, Inc. ("TD Waterhouse"), an independent and unaffiliated broker-dealer. The Advisor Direct program is a referral program offered to discount brokerage customers and other investors of TD Waterhouse that provides client referrals to independent investment advisors. Participation in the Advisor Direct program does not alleviate Fort Washington from its duty of best execution. This relationship may cause a conflict of interest for Fort Washington.</p> <p>All independent contractors' client referral/solicitation arrangements are made pursuant to a written agreement between the solicitor and Fort Washington consistent with Rule 206-4(3) under the Advisers Act. Fort Washington will, from time to time, make inquiries of some or all clients referred by solicitors to determine whether the solicitor has complied with Rule 206-4(3) and any applicable state requirements. Fort Washington will not utilize the services of any solicitor who is subject to a statutory disqualification under Section 203 of the Advisers Act.</p> <p>Fort Washington has entered into a sub-advisory agreement with Sierra Investment Partners (Sierra) to provide High Yield investment management services to Sierra's Taft-Hartley clients. As part of this agreement, any other potential Taft-Hartley advisory agreements that Fort Washington enters into, must be approved, in advance, by Sierra.</p> <p><b><u>Officers, Directors and Employees</u></b></p> <p>Officers, directors and employees of Fort Washington and its affiliated companies are encouraged to help achieve increases in assets under management. Incentive compensation in the form of a referral fee may be paid to any officer, director, or employee who refers a new client or who makes a significant contribution in obtaining a new client. Fort Washington requires that these solicitors disclose their status as an officer, director, or employee and their affiliation with Fort Washington to the prospective client at the time of the solicitation or referral. Fort Washington may pay a percentage of the client's advisory fee to the</p>

**Schedule F of  
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Continuation Sheet for Form ADV  
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Applicant:	SEC File Number:	Date:
<b>Fort Washington Investment Advisors, Inc.</b>	801- <b>37235</b>	April 2, 2008

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
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Item of Form (identify)	Answer
	<p>solicitor for his/her services. Fort Washington does not charge clients any additional amounts or higher advisory fees due to the solicitation arrangement.</p> <p><b>Independent Contractors of Affiliated Companies</b>            Certain affiliated companies of Fort Washington engage in independent contractor relationships rather than employment relationships. These independent contractors of affiliated companies are also paid a referral fee by Fort Washington for referring a client.</p> <p>Fort Washington requires that these solicitation arrangements be made pursuant to a written agreement between the solicitor and Fort Washington which describes the solicitation activities, the compensation to be received for such activities, and contains provisions requiring the solicitor to provide prospective clients with a copy of Fort Washington's ADV Form Part II and with a separate written disclosure document. This written disclosure document contains the following information as required by Rule 206-4(3): (1) the name of the solicitor, (2) the name of the adviser, (3) the nature of the relationship between solicitor and adviser, (4) a statement that the solicitor will be compensated by the adviser including a description of the compensation aid, and (5) the cost, if any, charged to the client because of the solicitation arrangement. Fort Washington pays a percentage of the client's advisory fee to the solicitor for his/her services. Fort Washington does not charge clients any additional amounts or higher advisory fees due to this solicitation arrangement. Fort Washington requires that the client acknowledge in writing that he/she has received a copy of Fort Washington's ADV Part II and the separate disclosure document described in this paragraph prior to entering into an advisory agreement with Fort Washington.</p> <p><b>Non-Affiliated Independent Contractors</b>            Solicitors who are not affiliated with Fort Washington are also paid a referral fee for referring business. Fort Washington requires that these non-affiliated independent contractors/ third-party solicitors enter into a written solicitation agreement with Fort Washington containing the same information and disclosures as those described above for independent contractors of affiliated companies. Fort Washington also requires that a third-party solicitor provide Fort Washington's ADV Part II and written</p>

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:  <b>Fort Washington Investment Advisors, Inc.</b>	SEC File Number:  801- <b>37235</b>	Date:  April 2, 2008
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: <b>Fort Washington Investment Advisors, Inc.</b>	IRS Empl. Ident. No.: <b>31-1301863</b>
---	--

Item of Form (identify)	Answer
	<p>disclosure statement to the prospective client containing the same information as described above for independent contractors of affiliated companies. Fort Washington also requires a client acknowledgment of such disclosures prior to entering into an advisory agreement with a prospective client.</p> <p>Fort Washington pays a percentage of the client's advisory fee to the olicitor for his/her services. Fort Washington does not charge clients any additional amounts or higher advisory fees due to this solicitation arrangement.</p> <p><b>Wrap Fee Programs</b> Fort Washington may provide advisory services to investment company clients in connection with wrap fee programs sponsored by various broker-dealers ("Sponsors"). Under such programs, shares of Fort Washington's affiliated registered investment company (Touchstone) products are made available to the Sponsors for use in their wrap fee gram(s).</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 48

# CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to Item 11.H. of Part 1A and Item 2.F. of Part 1B of Form ADV.

Check Part 1A item(s) being responded to: ☐ 11.H(1)(a) ☐ 11.H(1)(b) ☐ 11.H(1)(c) ☒ 11.H(2)

Check Part 1B item(s) being responded to: ☐ 2.F(1) ☐ 2.F(2) ☐ 2.F(3) ☐ 2.F(4) ☐ 2.F(5)

Use a separate DRP for each event or *proceeding*. The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Item 11.H. or Part 1A or Item 2.F. of Part 1B. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.

## PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

- ☐ You (the advisory firm)  
☐ You and one or more *advisory affiliates*  
☒ One or more of your *advisory affiliates*

If this DRP is being filed for an *advisory affiliate*, give the full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name).

If the *advisory affiliate* has a *CRD* number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

Your Name <b>Fort Washington Investment Advisors, Inc</b>	Your <i>CRD</i> Number <b>107126</b>
--	---

### ADV DRP - ADVISORY AFFILIATE

<i>CRD</i> Number <b>2277579</b>	This <i>advisory affiliate</i> is <input type="radio"/> a firm <input checked="" type="radio"/> an individual Registered: <input checked="" type="radio"/> Yes <input type="radio"/> No
-------------------------------------	--

Name (For individuals, Last, First,  
Middle) **Richard Robert Jandrain**

- ☐ This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser.  
☐ This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If item\_1a\_firm are registered or registering with a *state securities authority*, item\_1a\_firm may remove a DRP for an event item\_1a\_firm reported only in response to Item 11.H(1)(a), and only if that event occurred more than ten years ago. If item\_1a\_firm are registered or registering with the SEC, item\_1a\_firm may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

B. If the *advisory affiliate* is registered through the IARD system or *CRD* system, has the *advisory affiliate* submitted a DRP (with Form ADV, BD or U-4) to the IARD or *CRD* for the event? If the answer is "Yes", no other information on this DRP must be provided.

- ☒ Yes ☐ No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its IARD or *CRD* records.

(continued)



**CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)**  
**(continuation)**

**PART II**

1. Court Action initiated by: (Name of regulator, *foreign financial regulatory authority*, SRO, commodities exchange, agency, firm, private plaintiff, etc.)

**Private Plaintiff/Class Action**

2. Principal Relief Sought (check appropriate item):

<input type="checkbox"/> Cease and Desist	<input type="checkbox"/> Disgorgement	<input checked="" type="checkbox"/> Money Damages (Private/Civil Complaint)	<input type="checkbox"/> Restraining Order
<input type="checkbox"/> Civil Penalty(ies)/Fine(s)	<input type="checkbox"/> Injunction	<input type="checkbox"/> Restitution	<input type="checkbox"/> Other _____

Other Relief Sought:

3. Filing Date of Court Action (MM/DD/YYYY): 09/10/2003      ☒ Exact      ☐ Explanation

If not exact, provide explanation:

4. Principal Product Type (check appropriate item):

<input type="checkbox"/> Annuity(ies) - Fixed	<input type="checkbox"/> Derivatives	<input type="checkbox"/> Investment Contract(s)
<input type="checkbox"/> Annuity(ies) - Variable	<input type="checkbox"/> Direct Investment(s) - DPP & LP Interest(s)	<input type="checkbox"/> Money Market Fund(s)
<input type="checkbox"/> CD(s)	<input type="checkbox"/> Equity - OTC	<input checked="" type="checkbox"/> Mutual Fund(s)
<input type="checkbox"/> Commodity Option(s)	<input type="checkbox"/> Equity Listed (Common & Preferred Stock)	<input type="checkbox"/> No Product
<input type="checkbox"/> Debt - Asset Backed	<input type="checkbox"/> Futures - Commodity	<input type="checkbox"/> Options
<input type="checkbox"/> Debt - Corporate	<input type="checkbox"/> Futures - Financial	<input type="checkbox"/> Penny Stock(s)
<input type="checkbox"/> Debt - Government	<input type="checkbox"/> Index Option(s)	<input type="checkbox"/> Unit Investment Trust(s)
<input type="checkbox"/> Debt - Municipal	<input type="checkbox"/> Insurance	<input type="checkbox"/> Other _____

Other Product Types:

5. Formal Action was brought in (include name of Federal, State or Foreign Court, Location of Court - City or County and State or Country. Docket/Case Number):

**United States Court For The Southern District of Ohio**

6. *Advisory Affiliate* Employing Firm when activity occurred which led to the civil judicial action (if applicable):

**Bank One Investment Advisors, Inc.**

(continued)

**CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)**  
**(continuation)**

7. Describe the allegations related to this civil action (your response must fit within the space provided):

**The suits allege that among other things, that the defendants breached their fiduciary duties to plaintiffs in violation of Sections 36(a) and (b) of the 1940 Act.**

8. Current Status?    ☒ Pending    ☐ On Appeal    ☐ Final

9. If on appeal, action appealed to (provide name of court) and Date Appeal Filed (MM/DD/YYYY):

10. If pending, date notice/process was served (MM/DD/YYYY)    **09/10/2003**    ☒ Exact    ☐ Explanation

If not exact, provide explanation:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.

11. How was matter resolved (check appropriate item):

☐ Consent                      ☐ Judgment Rendered                      ☐ Settled  
☐ Dismissed                      ☐ Opinion                      ☐ Withdrawn                      ☐ Other \_\_\_\_\_

12. Resolution Date (MM/DD/YYYY)                      ☐ Exact    ☐ Explanation

If not exact, provide explanation:

13. Resolution Detail:

A. Were any of the following Sanctions *Ordered* or Relief Granted (check appropriate items)?

☐ Monetary/Fine                      ☐ Revocation/Expulsion/Denial                      ☐ Disgorgement/Restitution  
Amount: \$                      ☐ Censure                      ☐ Cease and Desist/Injunction                      ☐ Bar                      ☐ Suspension

B. Other Sanctions:

(continued)

**CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)**  
**(continuation)**

C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:

14. Provide a brief summary of circumstances related to the action(s), allegation(s), disposition(s) and/or finding(s) disclosed above (your response must fit within the space provided).

**In late 2003 while employed at Bank One Investment Advisors, Richard R. Jandrain III, Vice President & Managing Director, Growth Equity, who is now an advisory affiliate in Fort Washington's Columbus office, was named as a defendant in three purported class action lawsuits that were filed against Bank One Corporation (together with BOIA, "One Group") and dozens of other individuals and other entities by shareholders of One Group. These purported class action lawsuits arise out of alleged conduct which is also the subject of settlement agreements that One Group entered into with the Securities and Exchange Commission (the "SEC") and the New York Attorney General ("NYAG") in June 2004 resolving investigations conducted by the SEC and the NYAG into market timing and possible late trading of certain One Group Mutual Funds. Mr. Jandrain was not a party to the SEC order or the NYAG settlement agreement and denies any wrongdoing alleged to have occurred in all of such actions. In addition, on August 30, 2005, the Commissioner of West Virginia Securities Division entered a Summary Cease and Desist Order and Notice of Right to Hearing with respect to JP Morgan Investment Advisors Inc. and JP Morgan & Co. arising out of such allegations.**

**On June 14, 2006, all claims against One Group Mutual Funds and its current and former trustees, and certain claims against BOIA and its affiliates, including Mr. Jandrain, were dismissed by the United States District Court in Maryland. In addition, a settlement in principle has been reached for the purpose of resolving all remaining claims in the litigation in Maryland. The settlement is subject to court approval.**

## CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

### GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an ☐ INITIAL **OR** ☐ AMENDED response used to report details for affirmative responses to Item 11.A. or 11.B of Form ADV.

Check item(s) being responded to: ☐ 11.A(1) ☐ 11.A(2) ☐ 11.B(1) ☐ 11.B(2)

Use a separate DRP for each event or *proceeding*. The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

Multiple counts of the same charge arising out of the same event(s) should be reported on the same DRP. Unrelated criminal actions, including separate cases arising out of the same event, must be reported on separate DRPs. Use this DRP to report all charges arising out of the same event. One event may result in more than one affirmative answer to the items listed above.

### PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

- ☐ You (the advisory firm)
- ☐ You and one or more *advisory affiliates*
- ☐ One or more of your *advisory affiliates*

If this DRP is being filed for an *advisory affiliate*, give the full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name).

If the *advisory affiliate* has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

Your Name	Your CRD Number
<b>Fort Washington Investment Advisors,</b>	<b>107126</b>

**Inc.**

ADV DRP - ADVISORY AFFILIATE

CRD Number
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This *advisory affiliate* is ☐ a firm ☐ an individual  
Registered: ☐ Yes ☐ No

Name (For individuals, Last, First, Middle)

- ☐ This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser.
- ☐ This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

B. If the *advisory affiliate* is registered through the IARD system or CRD system, has the *advisory affiliate* submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided.

☐ Yes ☐ No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its IARD or CRD records.

(continued)