



# U.S. Listed Closed-End Funds and BDCs Activist and Key Corporate Actions *August 2020*

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# Activist & Key Corporate Actions

Filed Date	Type	Filing	Investor	Shares Beneficially Owned	% Owned	Ownership
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## Adams Natural Resources Fund, Inc. (PEO)

8/10/2020 TENDER OFFER SC TO -I

### Keywords: TENDER OFFER

The Fund's Board of Directors has determined to commence an offer to purchase up to 20%, or 5,955,676 Shares of the Fund's issued and outstanding Common Stock. The offer is for cash at a price equal to 95% of the Fund's net asset value per share ("NAV") as of the close of ordinary trading on the New York Stock Exchange on September 4, 2020, or the day which the offer is extended, upon the terms and subject to the conditions set forth in the enclosed Offer to Purchase and the related Letter of Transmittal (which together constitute the "Offer"). A copy of the Offer to Purchase and the Letter of Transmittal is attached hereto as Exhibit (a)(1)(i) and Exhibit (a)(1)(ii), respectively, each of which is incorporated herein by reference. For more information on the type and amount of consideration offered to shareholders, the scheduled termination date, extending the Offer and the Fund's intentions in the event of oversubscription, see Section 1, "Price; Number of Shares" and Section 15, "Extension of Tender Period; Termination; Amendments" of the Offer to Purchase. For information on the dates relating to the withdrawal of tendered Shares, the procedures for tendering Shares and withdrawing Shares tendered, and the manner in which Shares will be accepted for payment, see Section 2, "Procedures for Tendering Shares," Section 3, "Withdrawal Rights," and Section 4, "Payment for Shares" in the Offer to Purchase. For information on the federal income tax consequences of the Offer, see Section 2, "Procedures for Tendering Shares," Section 10, "Certain Effects of the Offer," and Section 14, "Certain Federal Income Tax Consequences," in the Offer to Purchase. The Fund has been informed that no Directors or officers of the Fund intend to tender Shares pursuant to the Offer to Purchase and, therefore, the Fund does not intend to purchase Shares from any officer or Director of the Fund pursuant to the Offer to Purchase. For more information, see Section 9, "Interest of Directors and Executive Officers; Transactions and Arrangements Concerning the Shares" of the Offer to Purchase.

## BLACKROCK FLOATING RATE INCOME TRUST (BGT)

8/21/2020 OWNERSHIP 13G Saba Capital Management, L.P. 1,312,263 5.7 Increase

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Entries in RED indicate a Dissident Action. Entries in BLUE indicate an institutional position over 10%



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## BrandywineGLOBAL – Global Income Opportunities Fund Inc. (BWG)

8/14/2020	TENDER OFFER	SC TO -C				
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### Keywords: TENDER OFFER

BrandywineGLOBAL – Global Income Opportunities Fund Inc. announced in an August 14th press release, "additional details concerning its previously announced cash tender offer for up to 20% of the Fund's outstanding shares of common stock (the "Shares") at a price per Share equal to 99.5% of the Fund's net asset value per Share as of the business day immediately following the expiration date of the tender offer (the "Offer"). The Fund currently intends to commence the Offer on or about August 25, 2020 with an expiration time of 11:59 p.m., New York City time, on or about September 22, 2020, unless extended. If the Offer expires on September 22, 2020, the net asset value per Share for purposes of the Offer would be calculated as of the close of regular trading session on the New York Stock Exchange on September 23, 2020 (or if the Offer is extended, as of the close of the next trading day after the day to which the Offer is extended). The Fund will repurchase Shares tendered and accepted in the Offer in exchange for cash. In the event the Offer is oversubscribed, Shares will be repurchased on a pro rata basis."

8/14/2020	ANNOUNCEMENT					
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Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

8/25/2020	TENDER OFFER	SC TO -I				
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This Issuer Tender Offer Statement on Schedule TO relates to an offer to purchase for cash up to 20% of its issued and outstanding shares of common stock, par value \$0.001 per share, for cash at a price per share equal to 99.5% of the Fund's net asset value per share as of the close of regular trading session on the New York Stock Exchange ("NYSE") on September 23, 2020 (or if the Offer is extended, on the next trading day after the day to which the Offer is extended), upon the terms and subject to the conditions contained in the Offer to Purchase dated August 25, 2020 and the related Letter of Transmittal, which are filed as exhibits to this Schedule TO. The information set forth in the Offer to Purchase and the related Letter of Transmittal is incorporated herein by reference with respect to Items 1 through 9 and Item 11 of this Schedule TO.

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## ClearBridge Energy Midstream Opportunity Fund Inc. (EMO)

8/14/2020 ANNOUNCEMENT

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## ClearBridge MLP and Midstream Fund Inc. (CEM)

8/14/2020 ANNOUNCEMENT

Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

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## ClearBridge MLP and Midstream Total Return Fund Inc. (CTR)

8/14/2020 ANNOUNCEMENT

Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

## CORNERSTONE STRATEGIC VALUE FUND INC. (CLM)

8/10/2020	OWNERSHIP	13G/A	SIT INVESTMENT ASSOCIATES INC	3,421,554	4.48	Decrease
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## DELAWARE ENHANCED GLOBAL DIVIDEND & INCOME FUND (DEX)

8/7/2020	OWNERSHIP	13D	<i>Saba Capital Management, L.P.</i>	1,279,070	<i>10.7</i>	Increase
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## DoubleLine Opportunistic Credit Fund (DBL)

8/10/2020	OWNERSHIP	13G	<i>SIT INVESTMENT ASSOCIATES INC</i>	1,565,983	<i>10.47</i>	Increase
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## EATON VANCE LIMITED DURATION INCOME FUND (EVV)

8/28/2020	OWNERSHIP	SC 13D/A	Saba Capital Management, L.P.	4,778,079	4.1	Decrease
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<b>EATON VANCE SENIOR INCOME TRUST (EVF)</b>						
8/6/2020	OWNERSHIP	SC 13D/A	<i>Saba Capital Management, L.P.</i>	7,361,882	<i>19.4</i>	Increase
8/20/2020	OWNERSHIP	13D/A	<i>Saba Capital Management, L.P.</i>	7,864,642	<i>20.8</i>	Increase
<b>First Trust Senior Floating Rate Income Fund II (FCT)</b>						
8/27/2020	OWNERSHIP	SC 13D/A	Saba Capital Management, L.P.	1,758,044	6.6	Decrease
<b>FRANKLIN LIMITED DURATION INCOME TRUST (FTF)</b>						
8/10/2020	OWNERSHIP	13G/A	<i>SIT INVESTMENT ASSOCIATES INC</i>	6,287,735	<i>20.86%</i>	Increase
<b>LMP CAPITAL &amp; INCOME FUND INC. (SCD)</b>						
8/14/2020	ANNOUNCEMENT					
<p>Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."</p>						
<b>MVC CAPITAL, INC. (MVC)</b>						
8/14/2020	OWNERSHIP	SC 13D/A	WYNNEFIELD PARTNERS SMALL CAP VALUE LP	1,559,270	8.8	Not Indicated

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## Nuveen AMT-Free Municipal Value Fund (NUW)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen AMT-Free Quality Municipal Income Fund (NEA)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen California Municipal Value Fund 2 (NCB)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

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## Nuveen California Municipal Value Fund, Inc. (NCA)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen Maryland Quality Municipal Income Fund (NMY)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen Michigan Quality Municipal Income Fund (NUM)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

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## Nuveen New Jersey Municipal Value Fund (NJV)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen New York Municipal Value Fund 2 (NYV)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## NUVEEN NEW YORK MUNICIPAL VALUE FUND INC (NNY)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

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## Nuveen Pennsylvania Municipal Value Fund (NPN)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## Nuveen Quality Municipal Income Fund (NAD)

8/7/2020 ANNOUNCEMENT

**Keywords:** REORGANIZATION

In a press release dated August 7th, "The Board of Trustees for eleven Nuveen municipal closed-end funds approved five reorganization proposals. The reorganizations are subject to customary conditions, including shareholder approval. The reorganizations are intended to create larger funds with lower operating expenses and increased trading volume on the exchange for common shares."

## PIONEER FLOATING RATE TRUST (PHD)

8/31/2020 ANNOUNCEMENT

**Keywords:** TENDER OFFER

Pioneer Floating Rate Trust announced in an August 31st press release, "The Fund's Board of Trustees has authorized (subject to certain conditions) a cash tender offer for up to 50% of the Fund's outstanding shares of common stock (the "Shares") at a price per Share equal to 98.5% of the Fund's net asset value per Share as of the business day immediately following the expiration date of the tender offer. The commencement of the tender offer will be announced at a later date. The tender offer will not expire prior to December 20, 2020. The Fund will pay for any Common Shares tendered in the Tender Offer prior to December 31, 2020. The Fund will repurchase Shares tendered and accepted in the tender offer in exchange for cash. In the event the tender offer is oversubscribed, Shares will be repurchased on a pro rata basis. Amundi Pioneer Asset Management, Inc., the Fund's investment adviser, has agreed with the Board of the Fund to limit ordinary operating expenses of the Fund for the benefit of the Fund's remaining shareholders."

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## PROSPECT CAPITAL CORP (PSEC)

8/8/2020	TENDER OFFER	SC TO-I/A
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### Keywords: TENDER RESULTS

The Tender Offer expired at 12:00 midnight, New York City time, on August 20, 2020 (one minute after 11:59 p.m., New York City time, on August 19, 2020). As of the expiration of the Tender Offer, \$29,420,000 aggregate principal amount of the Notes, representing approximately 11.39% of the outstanding Notes, were validly tendered and not validly withdrawn pursuant to the Tender Offer. The Company has accepted for purchase all Notes that were validly tendered and not validly withdrawn pursuant to the Tender Offer at the expiration of such Tender Offer at the Purchase Price (plus accrued and unpaid interest on such Notes, if any, from July 15, 2020, up to but not including the Settlement Date). Following settlement of the Tender Offers, approximately \$228,820,000 aggregate principal amount of the Notes will remain outstanding.

## WESTERN ASSET EMERGING MARKETS DEBT FUND (EMD)

8/14/2020	ANNOUNCEMENT
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Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

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## WESTERN ASSET GLOBAL CORPORATE DEFINED OPPORTUNITY FUND (GDO)

8/14/2020 ANNOUNCEMENT

Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

## WESTERN ASSET GLOBAL HIGH INCOME FUND (EHI)

8/14/2020 TENDER OFFER SC TO -C

**Keywords:** TENDER OFFER

8/14/2020 ANNOUNCEMENT

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8/14/2020 TENDER OFFER SC TO -C

**Keywords:** TENDER OFFER

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In a press release on August 14th, "The Fund currently intends to commence the Offer on or about October 19, 2020 with an expiration time of 11:59 p.m., New York City time, on or about November 16, 2020, unless extended. If the Offer expires on November 16, 2020, the net asset value per Share for purposes of the Offer would be calculated as of the close of regular trading session on the New York Stock Exchange on November 17, 2020 (or if the Offer is extended, as of the close of the next trading day after the day to which the Offer is extended). The Fund will repurchase Shares tendered and accepted in the Offer in exchange for cash. In the event the Offer is oversubscribed, Shares will be repurchased on a pro rata basis. The Fund has not commenced the Offer described in this release."

## WESTERN ASSET HIGH INCOME FUND II INC (HIX)

8/14/2020	TENDER OFFER	SC TO -C
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**Keywords:** TENDER OFFER

8/14/2020	ANNOUNCEMENT
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Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

8/14/2020	TENDER OFFER	SC TO -C
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**Keywords:** TENDER OFFER

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Entries in RED indicate a Dissident Action. Entries in BLUE indicate an institutional position over 10%



# Activist & Key Corporate Actions

August 2020



Filed Date	Type	Filing	Investor	Shares Beneficially Owned	% Owned	Ownership
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## WESTERN ASSET HIGH INCOME OPPORTUNITY FUND INC (HIO)

8/14/2020 ANNOUNCEMENT

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8/14/2020 TENDER OFFER SC TO -C

**Keywords:** TENDER OFFER

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## WESTERN ASSET HIGH YIELD DEFINED OPPORTUNITY FUND (HYI)

8/14/2020 ANNOUNCEMENT

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# Activist & Key Corporate Actions

August 2020



Filed Date	Type	Filing	Investor	Shares Beneficially Owned	% Owned	Ownership
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## WESTERN ASSET INTERMEDIATE MUNI FUND INC (SBI)

8/14/2020 ANNOUNCEMENT

Each of the listed Closed end Funds advised by Legg Mason Partners Fund Advisor, LLC. announced in an August 14th press release that it "Has elected, by resolution unanimously adopted by the board of directors of the Fund, to be subject to the Maryland Control Share Acquisition Act (the "MCSAA"), effective immediately. The MCSAA protects the interests of all stockholders of a Maryland corporation by providing that any holder of "control shares" acquired in a "control share acquisition" will not be entitled to vote its shares unless the other stockholders of the corporation reinstate those voting rights at a meeting of stockholders by a vote of two-thirds of the votes entitled to be cast on the matter, excluding the "acquiring person" (i.e., the holder or group of holders acting in concert that acquires, or proposes to acquire, "control shares") and any other holders of "interested shares" as defined in the MCSAA. Generally, "control shares" are shares that, when aggregated with shares already owned by an acquiring person, would entitle the acquiring person to exercise 10% or more, 33 1/3% or more, or a majority of the total voting power of shares entitled to vote in the election of directors."

## WESTERN ASSET INVESTMENT GRADE DEFINED OPPORTUNITY TRUST (IGI)

8/14/2020 ANNOUNCEMENT

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# Activist & Key Corporate Actions

August 2020



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## WESTERN ASSET MANAGED MUNICIPALS FUND (MMU)

8/14/2020 ANNOUNCEMENT

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## WESTERN ASSET MORTGAGE OPPORTUNITY FUND (DMO)

8/14/2020 ANNOUNCEMENT

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# Activist & Key Corporate Actions

August 2020



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## Western Asset Municipal Defined Opportunity Trust Inc. (MTT)

8/14/2020 ANNOUNCEMENT

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## WESTERN ASSET MUNICIPAL HIGH INCOME FUND INC (MHF)

8/14/2020 ANNOUNCEMENT

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## Activist & Key Corporate Actions

August 2020



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### WESTERN ASSET MUNICIPAL PARTNERS FUND INC (MNP)

8/14/2020	ANNOUNCEMENT					
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## Tender Offers by Closed-End Funds

Fund Name (Following Pressure from Activists Shown with Grey Background)	TIC	Source	Expiration Date (SORTED)	Shares	Shares Purchased (% O/S)	Amount Tendered % O/S	Proration Factor	Total Value of Shares Purchased (\$ Millions)	Purchase Price Per Share	Price as % of NAV or Liquidation Preference
Prospect Capital Corporation	PSEC	PR 7/23	8/20/2020	SCN	TBD					
Adams Natural Resources Fund, Inc.	PEO	PR 7/10	8/7/2020	COM	TBD					90.00%
First Eagle Alternative Capital BDC, Inc.	TSLF	PR 6/23	7/21/2020	COM	TBD					
Morgan Stanley India Investment Fund, Inc.	IIF	PR 6/12	7/17/2020	COM	15.0%					98.50%
Eaton Vance Municipal Bond Fund	EIM	PR 5/21	7/24/2020	COM	5.0%					98.00%
Adams Natural Resources Fund, Inc.	PEO	PR 5/15	6/26/2020	COM	4.8%	4.8%	100.00%	\$15.93	\$11.03	88.00%
BlackRock Debt Strategies Fund, Inc.	DSU	PR 4/16	4/16/2020	COM	5.0%	72.5%	14.51%	\$25.21	\$10.20	98.00%
BlackRock Credit Allocation Income Trust	BTZ	PR 12/19	2/3/2020	COM	10.0%	39.71%	25.00%	\$155.28	\$14.95	98.00%
<b>TOTAL (2020)</b>	<b>8</b>							<b>\$196.42</b>		
Eaton Vance Municipal Bond Fund	EIM	PR 12/16	12/13/2019	COM	5.0%	30.7%	16.26%	\$54.47	\$13.66	98.00%
Invesco Senior Income Trust	VVR	PR 10/23	12/5/2019	COM	15.0%	58.4%	25.70%	\$123.68	\$4.58	98.50%
Invesco Dynamic Credit Opp. Fund	VTI	PR 10/23	12/5/2019	COM	15.0%	50.2%	29.90%	\$135.04	\$12.15	98.50%
Invesco High Income Trust II	VLT	PR 10/23	12/5/2019	COM	20.0%	39.9%	50.10%	\$24.57	\$15.13	98.50%
Nuveen Mortgage Opportunity Term Fund	JLS	PR 5/23	10/07/19	COM	64.6%	64.6%	100%	\$240.29	23.1002	100.00%
Lazard World Dividend & Income Fund, Inc.	LOR	PR 7/25	08/21/19	COM	20.0%	52.00%	38.65%	\$13.82	\$10.04	98.00%
Delaware Enhanced Global Dividend and Income Fund	DEX	PR 7/3	06/27/19	COM	5.0%	26.38%	18.96%	\$6.88	\$10.89	98.00%
Aberdeen Emerging Markets Equity Income Fund, Inc.	AEF	PR 6/21	06/17/19	COM	15.00%	65.10%	23.06%	\$70.40	\$7.86	98.00%
Eaton Vance Municipal Bond Fund	EIM	PR 3/27	05/17/19	COM	10.0%	37.82%	26.44%	\$119.96	\$13.374	98.00%
BlackRock Debt Strategies Fund, Inc.	DSU	PR 3/15	04/15/19	COM	5.0%	60.50%	12.10%	\$31.61	\$11.99	98.00%
High Income Securities Fund	PCF	PR 3/19	03/18/19	COM	56.96%	56.96%	100.00%	\$68.18	\$9.25	99.00%
Nuveen Taxable Municipal Income Fund	NBB	PR 1/2	02/12/18	COM	20.0%	36.55%	54.72%	\$142.68	\$20.8631	100.00%
The China Fund, Inc.	CHN	PR 1/14	02/05/19	COM	30.0%	73.69%	40.71%	\$97.21	\$20.61	99.00%
<b>TOTAL (2019)</b>	<b>13</b>							<b>\$1,128.78</b>		

\* Excludes interval funds and BDCs. Updated through 31 July 2020

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