

**FORM ADV****UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS****Primary Business Name: SOUTHERNSUN ASSET MANAGEMENT LLC****CRD Number: 154572****Annual Amendment - Item 1 Identifying Information****Rev. 10/2021****3/30/2023 1:42:29 PM**

**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 4.

**Item 1 Identifying Information**

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an *umbrella registration*, the information in Item 1 should be provided for the *filing adviser* only. General Instruction 5 provides information to assist you with filing an *umbrella registration*.

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

**SOUTHERNSUN ASSET MANAGEMENT LLC**

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

**SOUTHERNSUN ASSET MANAGEMENT LLC**

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

(2) If you are using this Form ADV to register more than one investment adviser under an *umbrella registration*, check this box

*If you check this box, complete a Schedule R for each relying adviser.*

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

your legal name or  your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: **801-71849**

(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:

(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

No Information Filed

E. (1) If you have a number ("CRD Number") assigned by the *FINRA's CRD* system or by the IARD system, your *CRD* number: **154572**

*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.*

(2) If you have additional *CRD* Numbers, your additional *CRD* numbers:

No Information Filed

F. *Principal Office and Place of Business*

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

Number and Street 1:  
240 MADISON AVENUE  
City:  
MEMPHIS

State:  
Tennessee

Number and Street 2:  
SUITE 800  
Country:  
United States

ZIP+4/Postal Code:  
38103

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 SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.*

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

Monday - Friday  Other:

Normal business hours at this location:  
8:00AM-5:00PM

(3) Telephone number at this location:

901-341-2700

(4) Facsimile number at this location, if any:  
901-341-2701

(5) What is the total number of offices, other than your *principal office and place of business*, at which you conduct investment advisory business as of the end of your most recently completed fiscal year?  
0

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

Number and Street 1: \_\_\_\_\_ Number and Street 2: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_ 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 1: \_\_\_\_\_ Number and Street 2: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_ ZIP+4/Postal Code: \_\_\_\_\_

Yes No

I. Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)?

*If "yes," list all firm website addresses and the address for each of the firm's accounts on publicly available social media platforms on Section 1.I. of Schedule D. If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. You may need to list more than one portal address. Do not provide the addresses of websites or accounts on publicly available social media platforms where you do not control the content. Do not provide the individual electronic mail (e-mail) addresses of employees or the addresses of employee accounts on publicly available social media platforms.*

J. Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an *exempt reporting adviser*, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

Name: WILLIAM P. HALLIDAY III	Other titles, if any: COO
Telephone number: (901) 341-2700	Facsimile number, if any: (901) 341-2701
Number and Street 1: 240 MADISON AVENUE	Number and Street 2: SUITE 800
City: MEMPHIS	State: Tennessee
Country: United States	ZIP+4/Postal Code: 38103

Electronic mail (e-mail) address, if Chief Compliance Officer has one:  
WHALLIDAY@SOUTHERNSUNAM.COM

(2) If your Chief Compliance Officer is compensated or employed by any *person* other than you, a *related person* or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the *person's* name and IRS Employer Identification Number (if any):

Name:  
IRS Employer Identification Number:

K. Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

Name: W. BRADLEY CLAYTON	Titles: SENIOR COMPLIANCE OFFICER
Telephone number: (901) 341-2700	Facsimile number, if any: (901) 341-2701
Number and Street 1: 240 MADISON AVENUE	Number and Street 2: SUITE 800
City: MEMPHIS	State: Tennessee
Country: United States	ZIP+4/Postal Code: 38103

Electronic mail (e-mail) address, if contact person has one:  
BCLAYTON@SOUTHERNSUNAM.COM

Yes No

L. 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*?

If "yes," complete Section 1.L. of Schedule D.

M. 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.M. of Schedule D.

N. Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934?

Yes No

O. Did you have \$1 billion or more in assets on the last day of your most recent fiscal year?

Yes No

If yes, what is the approximate amount of your assets:

- \$1 billion to less than \$10 billion
- \$10 billion to less than \$50 billion
- \$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your Legal Entity Identifier if you have one:

254900HFC2D9KRJX6628

A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. You may not have a legal entity identifier.

#### SECTION 1.B. Other Business Names

No Information Filed

#### SECTION 1.F. Other Offices

No Information Filed

#### SECTION 1.I. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.I. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: [HTTPS://WWW.LINKEDIN.COM/COMPANY/SOUTHERNSUN-ASSET-MANAGEMENT](https://www.linkedin.com/company/southern-sun-asset-management)

Address of Website/Account on Publicly Available Social Media Platform: [HTTP://WWW.SOUTHERNSUNAM.COM](http://www.southern-sun.com)

#### SECTION 1.L. 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, Section 1.L. for each location.

Name of entity where books and records are kept:

IRON MOUNTAIN INC.

Number and Street 1:

440 STATELINE ROAD E.

Number and Street 2:

City: SOUTHAVEN	State: Mississippi	Country: United States	ZIP+4/Postal Code: 38671
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If this address is a private residence, check this box:

Telephone Number: 6623933229	Facsimile number, if any: 6623937259
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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.

BOOKS AND RECORDS RELATING TO THIS AND OTHER REGISTRATION FILINGS, LEGAL MATTERS, ADVERTISING LITERATURE AND SALES MATERIAL, POLICIES AND PROCEDURES, AND OTHER BOOKS AND RECORDS MAY BE MAINTAINED AT THIS LOCATION.

Name of entity where books and records are kept:  
MICROSOFT CORPORATION

Number and Street 1: ONE MICROSOFT WAY	Number and Street 2:		
City: REDMOND	State: Washington	Country: United States	ZIP+4/Postal Code: 98052

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

Telephone Number: 4258828080	Facsimile number, if any:
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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.

BOOKS AND RECORDS RELATING TO THE FIRM'S EMAIL COMMUNICATIONS ARE HOSTED VIA MICROSOFT OFFICE 365 (EXCHANGE ONLINE).

Name of entity where books and records are kept:  
SMARSH INC.

Number and Street 1: 851 SW 6TH AVENUE	Number and Street 2:		
City: PORTLAND	State: Oregon	Country: United States	ZIP+4/Postal Code: 97204

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

Telephone Number: 5039465980	Facsimile number, if any:
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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.

BOOKS AND RECORDS RELATING TO THE FIRM'S EMAIL AND OTHER ELECTRONIC COMMUNICATIONS ARE ARCHIVED BY SMARSH.

Name of entity where books and records are kept:

EZE CASTLE SOFTWARE LLC

Number and Street 1:

50 MILK STREET

Number and Street 2:

City:

BOSTON

State:

Massachusetts

Country:

United States

ZIP+4/Postal Code:

02109

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

Telephone Number:

6173161000

Facsimile number, if any:

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.

BOOKS AND RECORDS RELATING TO THE FIRM'S TRADING ACTIVITY ARE HOSTED AND MAINTAINED BY EZE CASTLE SOFTWARE LLC VIA ITS ORDER MANAGEMENT SYSTEM.

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

No Information Filed