• OMB Number: 3235-0862
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United States Securities and Exchange Commission

FORM 13H
Large Trader Registration
Information Required of Large Traders Pursuant To Section 13(h) of the Securities Exchange Act of 1934 and Rules Thereunder

☐ INITIAL FILING: Date identifying transactions first effected (mm/dd/yyyy) _____

Voluntary filing? ☐ no ☐ yes Date of voluntary filing _____

☐ ANNUAL FILING:

Calendar year ending _____

☐ AMENDED FILING

☐ INACTIVE STATUS: Date commencing Inactive Status (mm/dd/yyyy) _____

☐ TERMINATION FILING: Effective date (mm/dd/yyyy) _____

☐ REACTIVATED STATUS: Date identifying transactions first effected, post-Inactive Status (mm/dd/yyyy) _____

_____
Name of Large Trader Filing This Form

_____
LTID

_____
Taxpayer Identification Number

_____
Business Address of the Large Trader (Street, City, State, Zip, Country)

_____
Mailing Address of the Large Trader (Street, City, State, Zip, Country)

Telephone No. _____ Facsimile No. _____ Email _____

The Form and the schedules thereto must be submitted by a natural person who is authorized to make this submission on behalf of the large trader.

Name of Authorized Person (First, Middle Initial, Last)

Title of Authorized Person

Relationship to Large Trader

Business Address of Authorized Person (Street, City, State, Zip, Country)

Authorized Person's Telephone No. Facsimile No.

Authorized Person's Email

ATTENTION

Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Intentional misstatements or omissions of facts may result in civil fines and other sanctions pursuant to the Securities Exchange Act of 1934.

The authorized person signing this form represents that all information contained in the form, schedules, and continuation sheets is true, correct, and complete. It is understood that all information whether contained in the form, schedules, or continuation sheets, is considered an integral part of this form and that any amendment represents that all unamended information remains true, correct, and complete.

Signature of Person Authorized to Submit this Form

FORM 13H
INFORMATION REQUIRED OF ALL LARGE TRADERS

ITEM 1. BUSINESSES OF THE LARGE TRADER (check as many as applicable)

(a) Businesses engaged in by the large trader and any of the large trader's affiliates (check as many as applicable)

- ☐ Broker or Dealer
- ☐ Government Securities Broker or Dealer
- ☐ Municipal Securities Broker or Dealer
- ☐ Investment Adviser
  - ☐ to Registered Investment Companies
  - ☐ to Hedge Funds or other Funds not registered under the Investment Company Act
- ☐ Futures Commission Merchant
- ☐ Commodity Pool Operator
- ☐ Bank Holding Company
- ☐ Non-Bank Holding Company
- ☐ Bank
- ☐ Pension Trustee
- ☐ Non-Pension Trustee
- ☐ Insurance Company
- ☐ Other (specify) _____

(b) Describe the nature of the business of the large trader including a description for each Securities Affiliate:

_____

_____

_____

_____

ITEM 2. SECURITIES AND EXCHANGE COMMISSION FILINGS

Does the large trader or any of its Securities Affiliates file any other forms with the Commission?

☐ Yes ☐ No

If yes, specify the entity and the forms filed:

Entity	Form(s) Filed	CIK Number

ITEM 3. CFTC REGISTRATION AND FOREIGN REGULATORS

(a) Is the large trader or any of its affiliates registered with the Commodity Futures Trading Commission in any capacity, including as a "registered trader" pursuant to sections 4i and 9 of the Commodity Exchange Act?

☐ Yes ☐ No

If yes, identify each entity and specify the registration number:

Entity	Registration Number

(b) Is the large trader or any of its Securities Affiliates regulated by a foreign regulator?

☐ Yes ☐ No

If yes, identify each entity and its primary foreign regulator(s):

Entity	Primary Foreign Regulator

ITEM 4. ORGANIZATION INFORMATION

(a) Attach an Organizational Chart that identifies the large trader, its parent company (if applicable), all Securities Affiliates, and all entities identified in Item 3(a).

(b) Provide the following information on all Securities Affiliates and all entities identified in Item 3(a):

Entity	MPID(s)	Description of Business	Relationship to the Large Trader

(c) If any affiliates file separately, identify each entity

Entity	LTID	Suffix (if any)

(d) If any affiliates have been assigned an LTID suffix, identify such entities and their corresponding suffixes:

Entity	Suffix

ITEM 5. GOVERNANCE OF THE LARGE TRADER

(a) STATUS OF THE LARGE TRADER (check as many as apply)

☐ Individual
☐ Partnership
☐ Limited Partnership
☐ Trustee
☐ Corporation
☐ Limited Liability Company
☐ Other (specify) _____

(b) Complete the following for each general partner, and in the case of limited partnerships, each limited partner that is the owner of more than a 10 percent financial interest in the accounts of the large trader:

Name	**Status (check one for each)**	
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner
_____	☐ General Partner	☐ Limited Partner

(c) Complete the following for each executive officer, director, or trustee of a large trader corporation or trustee:

Name	**Status (check one for each)**		
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee
_____	☐ Executive Officer	☐ Director	☐ Trustee

(d) Jurisdiction in which the large trader entity is incorporated or organized:

_____

(state and country)

ITEM 6. LIST OF BROKER-DEALERS AT WHICH THE LARGE TRADER OR ITS SECURITIES AFFILIATES HAS AN ACCOUNT

Identify each broker-dealer at which the large trader or any of its Securities Affiliates has an account and the types of services provided.

Name of Broker-Dealer			
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker
_____	☐ Prime Broker	☐ Executing Broker	☐ Clearing Broker