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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.

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

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Title of Authorized Person

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Relationship to Large Trader

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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.

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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)

- |   |   |
|---|---|
| <input type="checkbox"/> Broker or Dealer   | <input type="checkbox"/> Bank Holding Company     |
| <input type="checkbox"/> Government Securities Broker or Dealer   | <input type="checkbox"/> Non-Bank Holding Company |
| <input type="checkbox"/> Municipal Securities Broker or Dealer  | <input type="checkbox"/> Bank                     |
| <input type="checkbox"/> Investment Adviser   | <input type="checkbox"/> Pension Trustee          |
| <input type="checkbox"/> to Registered Investment Companies   | <input type="checkbox"/> Non-Pension Trustee      |
| <input type="checkbox"/> to Hedge Funds or other Funds not registered<br>under the Investment Company Act | <input type="checkbox"/> Insurance Company        |
| <input type="checkbox"/> Futures Commission Merchant  | <input type="checkbox"/> Other (specify) _____    |
| <input type="checkbox"/> Commodity Pool Operator  |   |

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

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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)

- |  |  |
|--|--|
| <input type="checkbox"/> Individual                | <input type="checkbox"/> Partnership           |
| <input type="checkbox"/> Trustee                   | <input type="checkbox"/> Limited Partnership   |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Corporation           |
|  | <input type="checkbox"/> 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)
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner
_____	<input type="checkbox"/> General Partner <input type="checkbox"/> 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)		
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> Trustee
_____	<input type="checkbox"/> Executive Officer	<input type="checkbox"/> Director	<input type="checkbox"/> 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	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker
_____	<input type="checkbox"/> Prime Broker	<input type="checkbox"/> Executing Broker	<input type="checkbox"/> Clearing Broker