# FORM ADV

	UNIFORM APPLICATIO	ON FOR INVESTMEN	ADVISER REGISTRATION	AND REPORT BY EXEMPT REPORTING A	DVISERS
Prir	nary Business Name: RENAI	SSANCE TECHNOLOGIE	S LLC	CRD N	umber: 106661
	ual Amendment - All Section				Rev. 10/2021
3/2	27/2024 4:33:31 PM				
W	·	5	3	al of your application, revocation of your registrati ee Form ADV General Instruction 4.	on, or criminal
Iter	m 1 Identifying Information				
		• •	-	contact you. If you are filing an <i>umbrella registra</i> vides information to assist you with filing an <i>umbr</i>	
A.	Your full legal name (if you a RENALSSANCE TECHNOLO		last, first, and middle names):		
B.	(1) Name under which you p RENAISSANCE TECHNOLO	• •	risory business, if different from Ite	m 1.A.	
	List on Section 1.B. of Schedu	le D any additional names	s under which you conduct your adv	isory business.	
	(2) If you are using this Form	m ADV to register more th	nan one investment adviser under	an umbrella registration, check this box $\square$	
	If you check this box, comple	te a Schedule R for each re	elying adviser.		
C.	If this filing is reporting a change is of In your legal name or I you			ne (Item 1.B.(1)), enter the new name and specif	y whether the
D.			ent adviser, your SEC file number: dviser, your SEC file number:	801-53609	
	(3) If you have one or more CIK Number	Central Index Key numbe	ers assigned by the SEC ("CIK Num	bers"), all of your CIK numbers:	
	1037389				
E.		CRD number, skip this Iten	n 1.E. Do not provide the CRD numb	e IARD system, your <i>CRD</i> number: <b>106661</b> ner of one of your officers, employees, or affiliates.	
F.	Principal Office and Place of B (1) Address (do not use a P Number and Street 1: 800 THIRD AVENUE		Number and Street 2:		
	City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10022	
	If this address is a priva	te residence, check this I	box:		
	you are applying for regi which you are applying fo	stration, or are registered, or registration or with who e SEC as an exempt report	with one or more state securities a m you are registered. If you are app	of business, at which you conduct investment advis uthorities, you must list all of your offices in the sta lying for SEC registration, if you are registered only five offices in terms of numbers of employees as of a	te or states to with the SEC, or

(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: 9AM - 5PM

most recently completed fiscal year.

- (3) Telephone number at this location: 212-829-4460
- (4) Facsimile number at this location, if any: 212-758-7136

		ber of offices, other than your <i>princip</i> recently completed fiscal year?	bal office and place of business	s, at which you conduct investment advisory business	as of	f
G.	Mailing address if differen	t from your <i>principal office and place</i> of	of business address			
0.	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	If this address is a private	e residence, check this box: $\square$				
H.	If you are a sole proprieto	r, state your full residence address,	if different from your principa	al 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 LinkedIn)?	websites or accounts on publicly ava	ilable social media platforms	(including, but not limited to, Twitter, Facebook and	©	0
	If a website address serves addresses for all of the othe available social media platfo	as a portal through which to access c er information. You may need to list m	other information you have pu hore than one portal address. I htent. Do not provide the indivi	cly available social media platforms on Section 1.1. of So blished on the web, you may list the portal without listi Do not provide the addresses of websites or accounts or idual electronic mail (e-mail) addresses of employees or	ing n publ	
J.	Chief Compliance Officer (1) Provide the name and	contact information of your Chief Cor	npliance Officer. If you are a	n <i>exempt reporting adviser</i> , you must provide the cont	tact	
	information for your Chief	Compliance Officer, if you have one.	If not, you must complete Ite	em 1.K. below.		
	Name:		Other titles, if any:			
	Telephone number:		Facsimile number, if any:			
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	Electronic mail (e-mail) ad	ddress, if Chief Compliance Officer ha	is one:			
		npany Act of 1940 that you advise fo mber (if any):		you, a <i>related person</i> or an investment company regis officer services to you, provide the <i>person's</i> name and		
K.			he Chief Compliance Officer	is authorized to receive information and respond to c	questi	ons
	about this Form ADV, you	may provide that information here.				
	Name:		Titles:			
	Telephone number:		Facsimile number, if any:			
	Number and Street 1:		Number and Street 2:			
	City:	State:	Country:	ZIP+4/Postal Code:		
	Electronic mail (e-mail) ad	ddress, if contact person has one:				
L.		all of the books and records you are ur <i>principal office and place of busines</i>		ion 204 of the Advisers Act, or similar state law,	Yes Ö	No ©
	If "yes," complete Section	1.L. of Schedule D.				
M.	Are you registered with a	foreign financial regulatory authority?			Yes	No ©
	, and the second s			nave an affiliate that is registered with a foreign financia	1	
	regulatory authority. If "yes	s," complete Section 1.M. of Schedule	D.		Yes	No
N.	Are you a public reporting	company under Sections 12 or 15(d)	) of the Securities Evolution	Act of 1934?		
IN.		company under Sections 12 0F 13(U)	, or the occurries exchange.		0	$\odot$
C					Yes	No
Ο.	5	more in assets on the last day of you imate amount of your assets: \$10 billion	ur most recent fiscal year?		O	0

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

For purposes of Item 1.0. 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: 5493002MJYCWE25DBM78

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

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 Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees).

Number and Street 1:
600 ROUTE 25A
City:
EAST SETAUKET

State: New York

Country: United States

Number and Street 2:

ZIP+4/Postal Code: 11733

If this address is a private residence, check this box:  $\square$ 

Telephone	Numbe
631-444-7	000

er:

Facsimile Number, if any: 631-444-7074

If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here:

How many employees perform investment advisory functions from this office location? 147

Are other business activities conducted at this office location? (check all that apply)

- (1) Broker-dealer (registered or unregistered)
- (2) Bank (including a separately identifiable department or division of a bank)
- (3) Insurance broker or agent
- ☑ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (5) Registered municipal advisor
- (6) Accountant or accounting firm
- (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

# 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 1.1. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: HTTPS://WWW.RENTEC.COM/

SECTION 1.L. Location of Books and Records

## No Information Filed

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

No Information Filed

## Item 2 SEC Registration/Reporting

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2.A. only if you are applying for SEC registration or submitting an *annual updating amendment* to your SEC registration. If you are filing an *umbrella registration*, the information in Item 2 should be provided for the *filing adviser* only.

- A. To register (or remain registered) with the SEC, you must check **at least one** of the Items 2.A.(1) through 2.A.(12), 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.(13). Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items.
  - You (the adviser):
  - (1) are a large advisory firm that either:
    - (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or
    - (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent *annual updating amendment* and is registered with the SEC;
  - (2) are a **mid-sized advisory firm** that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:
    - (a) not required to be registered as an adviser with the *state securities authority* of the state where you maintain your *principal office and place of business*; or
    - (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business;

Click **HERE** for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.

- (3) Reserved
- $\square$  (4) have your principal office and place of business outside the United States;
- (5) are an investment adviser (or subadviser) to an investment company registered under the Investment Company Act of 1940;
- (6) are an investment adviser to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management;
- (7) are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a);
- (8) are a related adviser under rule 203A-2(b) 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;

If you check this box, complete Section 2.A.(8) of Schedule D.

(9) are an adviser relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days;

If you check this box, complete Section 2.A. (9) of Schedule D.

(10) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);

If you check this box, complete Section 2.A. (10) of Schedule D.

- (11) are an Internet adviser relying on rule 203A-2(e);
- (12) have **received an SEC order** exempting you from the prohibition against registration with the SEC;

If you check this box, complete Section 2.A. (12) of Schedule D.

(13) are **no longer eligible** to remain registered with the SEC.

# State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers

C. 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*. In addition, *exempt reporting advisers* may be required to provide *state securities authorities* with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your *notice filings* or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your *notice filings* or reports from going to state(s) that currently receive them, uncheck

the box(es) next to those state(s).

Jurisdictions

54115416110115			
AL		ne NE	🗖 sc
n AK	n IN	NV	🗖 SD
AZ	П IA	nH NH	🗖 TN
AR	Г кs	L NI	П тх
CA	Г <sub>КҮ</sub>	NM	🗖 UT
🗖 со	🗖 LA	✓ NY	🗖 VT
🗖 ст	ne Me	NC	
DE DE	nd MD	ND	🗖 VA
DC DC	n MA	П он	n wa
🗖 FL	Г <sub>М</sub> і	🗖 ок	□ wv
GA	n MN	C OR	n wi
🗖 GU	n MS	П РА	🗖 wy
Пні	П мо	PR	
D ID	nt MT	🗖 RI	

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

#### SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) 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

SEC Number of Registered Investment Adviser

# SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days

If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, 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.(10) Multi-State Adviser

If you are relying on rule 203A-2(d), 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 15 or more states to register as an investment adviser with the state 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 15 states to register as an investment adviser with the state 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 15 states to register as an investment adviser with the *state securities authorities* in those states.

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:

Item 3 Form of Organization
If you are filing an umbrella registration, the information in Item 3 should be provided for the filing adviser only.
A. How are you organized?
O Corporation
O Sole Proprietorship
O Limited Liability Partnership (LLP)
O Partnership
Limited Liability Company (LLC)
Limited Partnership (LP)
O 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
C. Under the laws of what state or country are you organized?
State Country
Delaware United States
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, including, for example, a change of your structure or legal status (e.g., form of organization or state of incorporation)?

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.

SECTION 4 Successions

No Information Filed

#### Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

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

If you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

- A. Approximately how many *employees* do you have? Include full- and part-time *employees* but do not include any clerical workers.
   300
- B. (1) Approximately how many of the employees reported in 5.A. perform investment advisory functions (including research)?

160

(2) Approximately how many of the employees reported in 5.A. are registered representatives of a broker-dealer?

(3) Approximately how many of the *employees* reported in 5.A. are registered with one or more *state securities authorities* as *investment adviser* representatives?

0

(4) Approximately how many of the *employees* reported in 5.A. are registered with one or more *state securities authorities* as *investment adviser representatives* for an investment adviser other than you?

(

- (5) Approximately how many of the *employees* reported in 5.A. are licensed agents of an insurance company or agency?
- (6) Approximately how many firms or other *persons* solicit advisory *clients* on your behalf?
   0

In your response to Item 5.B.(6), 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

In your responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

C. (1) To approximately how many *clients* for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?

0

(2) Approximately what percentage of your *clients* are non-*United States persons*?
 40%

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (1)(d) or (3)(d) below.

Indicate the approximate number of your *clients* and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of *client*. If you have fewer than 5 *clients* in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a *client* fits into more than one category, select one category that most accurately represents the *client* to avoid double counting *clients* and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of <i>Client(s)</i>	(2) Fewer than 5 <i>Clients</i>	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)	0		\$
(b) High net worth individuals	0		\$
(c) Banking or thrift institutions	0		\$
(d) Investment companies	0		\$
(e) Business development companies	0		\$
(f) Pooled investment vehicles (other than investment companies and business development companies)	14		\$ 85,472,006,789
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)	0		\$
(h) Charitable organizations	0		\$
(i) State or municipal <i>government entities</i> (including government pension plans)	0		\$
(j) Other investment advisers	0		\$
(k) Insurance companies	0		\$
(I) Sovereign wealth funds and foreign official institutions	0		\$
(m) Corporations or other businesses not listed above		P	\$ 3,787,675,373
(n) Other:	0		\$

Cor	-		n Arrangements				
Ε.	You	are c	ompensated for your investment advisory s	ervices by (check all that apply	y):		
		(1)	A percentage of assets under your managed	jement			
		(2)	Hourly charges				
	~	(3)	Subscription fees (for a newsletter or peri	odical)			
		(4) (E)	Fixed fees (other than subscription fees) Commissions				
	V	(5) (6)	Performance-based fees				
		(7)	Other (specify):				
Iten	n 5 I	nform	ation About Your Advisory Business - Reg	gulatory Assets Under Manag	ement		
Reç	gulat	ory A	ssets Under Management				
							Yes No
F.	(1)	Do yo	ou provide continuous and regular supervise	ory or management services to	o securities portfolio	os?	• •
	(2)	If yes	, what is the amount of your regulatory as	sets under management and t	otal number of acco	ounts?	
				U.S. Dollar Amount		Total Number of Accounts	
		Discr	retionary: (a)	\$ 89,259,682,162	(d)	15	
			-	\$ O	(e)	0	
		Tota	•	\$ 89,259,682,162	(f)	15	
		. ora	. (0)	+ 0,120,1002,102			
	(3)	<i>comµ</i> What are n	1A Instruction 5.b. explains how to calculate oleting this Item. is the approximate amount of your total re on-United States persons? 25,595,721		-		
lton	0 E I	nform	action About Your Advisory Pusiness Ad	vicony Activition			
			ation About Your Advisory Business - Ad vities	visory activities			
G.		-	e(s) of advisory services do you provide? C	heck all that apply			
0.		(1)	Financial planning services				
		(1)	Portfolio management for individuals and/	or small businesses			
		(3)	Portfolio management for investment com		levelopment compa	nies" that have made an e	lection pursuant to
			section 54 of the Investment Company Ac				
		(4)	Portfolio management for pooled investme	ent vehicles (other than invest	ment companies)		
	$\checkmark$	(5)	Portfolio management for businesses (oth	er than small businesses) or in	nstitutional <i>clients</i> (	other than registered inve	stment companies and
		<i>(</i> / )	other pooled investment vehicles)				
		(6)	Pension consulting services				
		(7) (8)	Selection of other advisers (including <i>priva</i> Publication of periodicals or newsletters	<i>ate runa</i> managers)			
		(8)	Security ratings or pricing services				
			Market timing services				
		(11)	Educational seminars/workshops				
		(12)	Other(specify):				
H.	Inv inve	estme estmei	eck Item 5.G.(3) unless you provide advisor nt Company Act of 1940, including as a suba nt companies to which you provide advice in ovide financial planning services, to how ma	dviser. If you check Item 5.G.(3 Section 5.G.(3) of Schedule D.	3), report the 811 or	814 number of the investm	
	0			_ ,	0.5	2	

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

In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

		Yes	No	<b>5</b>
Ι.	(1) Do you participate in a <i>wrap fee program</i> ?	0	C	)
	(2) If you participate in a wrap fee program, what is the amount of your regulatory assets under management attributable to acting as:			
	(a) sponsor to a wrap fee program \$			
	(b) portfolio manager for a <i>wrap fee program</i> ? \$			
	(c) <i>sponsor</i> to and portfolio manager for the same <i>wrap fee program</i> ? \$			
	If you report an amount in Item 5.1.(2)(c), do not report that amount in Item 5.1.(2)(a) or Item 5.1.(2)(b).			
	If you are a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in Section 5.1.(2) of Sci	hedule	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 wrap fee program, do not check Item 5.1.(1) or enter any amounts in response to Item 5.1.(2).	-		
J.	(1) In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments?	Yes O	©	
	(2) Do you report <i>client</i> assets in Item 4.E. of Part 2A that are computed using a different method than the method used to compute your regulatory assets under management?	0	œ	)
K.	Separately Managed Account Clients			
	(1) Do you have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately	Yes	-	
	managed account <i>clients</i> )?	O	С	ļ
	If yes, complete Section 5.K.(1) of Schedule D.			
	(2) Do you engage in borrowing transactions on behalf of any of the separately managed account clients that you advise?	$\odot$	С	)
	If yes, complete Section 5.K.(2) of Schedule D.			
	(3) Do you engage in derivative transactions on behalf of any of the separately managed account clients that you advise?	$\odot$	С	;
	If yes, complete Section 5.K.(2) of Schedule D.			
	(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold	o	С	5
	ten percent or more of this remaining amount of regulatory assets under management?			
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.			
L.	Marketing Activities			
	(1) Do any of your <i>advertisements</i> include:	Yes	No	)
	(a) Performance results?	$\odot$	С	)
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	0	œ	)
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	C	)
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	c	)
	(e) Third-party ratings?	0	c	)
	(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	0	С	5
	(3) Do any of your advertisements include hypothetical performance?	0	c	)
	(4) Do any of your advertisements include predecessor performance?	0	c	)

No Information Filed

#### SECTION 5.1.(2) Wrap Fee Programs

#### No Information Filed

## SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

Asse	et Type	Mid-year	End of year
(i)	Exchange-Traded Equity Securities	%	%
(ii)	Non Exchange-Traded Equity Securities	%	%
(iii)	U.S. Government/Agency Bonds	%	%
(iv)	U.S. State and Local Bonds	%	%
(v)	<ul> <li>(v) Sovereign Bonds</li> <li>(vi) Investment Grade Corporate Bonds</li> <li>(vii) Non-Investment Grade Corporate Bonds</li> <li>(viii) Derivatives</li> </ul>		%
(vi)			%
(vii)			%
(∨iii)			%
(ix)	Securities Issued by Registered Investment Companies or Business Development Companies	%	%
(x)	Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%	%
(xi)	(xi) Cash and Cash Equivalents		%
(xii)	Other	%	%

Generally describe any assets included in "Other"

Ass	et Type	End of year			
(i)	(i) Exchange-Traded Equity Securities				
(ii)	(ii) Non Exchange-Traded Equity Securities				
(iii)	U.S. Government/Agency Bonds	0 %			
(iv)	U.S. State and Local Bonds	0 %			
(v)	<ul> <li>(v) Sovereign Bonds</li> <li>(vi) Investment Grade Corporate Bonds</li> <li>(vii) Non-Investment Grade Corporate Bonds</li> <li>(viii) Derivatives</li> <li>(viii) Derivatives</li> <li>(ix) Securities Issued by Registered Investment Companies or Business Development Companies</li> <li>(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies or Business Development Companies)</li> </ul>				
(vi)					
(∨ii)					
(viii)					
(ix)					
(x)					
(xi)	Cash and Cash Equivalents	19 %			
(xii)	Other	0 %			

Generally describe any assets included in "Other"

#### SECTION 5.K.(2) Separately Managed Accounts - Use of Borrowingsand Derivatives

□ No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

In column 3, provide aggregate *gross notional value* of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

#### (i) Mid-Year

Gross Notional Exposure(1) Regulatory Assets Under Management(2) Borrowings			(3)	(3) Derivative Exposures				
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative		(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

# (ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings				Exposures			
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative		(e) Commodity Derivative	(f) Other Derivative	
Less than 10%	\$	\$	%	%	%	%	%	%	
10-149%	\$	\$	%	%	%	%	%	%	
150% or more	\$	\$	%	%	%	%	%	%	

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10%	\$	\$
10-149%	\$	\$
150% or more	\$ 3,787,675,373	\$ 2,498,765,072

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

	N 5.K.(3) Custodians for Separatel	-		
	ete a separate Schedule D Section 5. tory assets under management.	K.(3) for each custodian that holds ten	percent or more of your aggregate separately	managed account
(a)	Legal name of custodian:			
	BARCLAYS BANK PLC			
(b)	Primary business name of custo	lian:		
	BARCLAYS BANK PLC			
(C)	The location(s) of the custodian	s office(s) responsible for <i>custody</i> of the	assets :	
	City: NEW YORK	State: New York	Country: United States	
				Yes No
(d)	Is the custodian a related person	of your firm?		00
(e)	If the custodian is a broker-deale	er, provide its SEC registration number	if any)	
	-			
(f)	If the custodian is not a broker-o any)	dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its	s <i>legal entity identifier</i> (if
	G5GSEF7VJP5I7OUK5573			
(g)	5 6 5	assets under management attributable	to separately managed accounts is held at th	ne custodian?
	\$ 3,787,675,373			

### Item 6 Other Business Activities

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

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

- (1) broker-dealer (registered or unregistered)
- (2) registered representative of a broker-dealer
- (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (4) futures commission merchant
- (5) real estate broker, dealer, or agent
- (6) insurance broker or agent
- (7) bank (including a separately identifiable department or division of a bank)
- (8) trust company
- (9) registered municipal advisor
- (10) registered security-based swap dealer
- (11) major security-based swap participant
- (12) accountant or accounting firm
- (13) lawyer or law firm
- (14) other financial product salesperson (specify):

If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete Section 6.A. of Schedule D.

- B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?
  - (2) If yes, is this other business your primary business?

If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.

Yes No

 $^{\circ}$ 

 $\odot$ 

 $\odot$ 

 $^{\circ}$ 

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

If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.

 $\odot$ 

0

SECTION 6.A. Names of Your Other Businesses

No Information Filed

## SECTION 6.B.(2) Description of Primary Business

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

If you engage in that business under a different name, provide that name:

#### SECTION 6.B.(3) Description of Other Products and Services

Describe other products or services you sell to your *client*. You may omit products and services that you listed in Section 6.B.(2) above.

If you engage in that business under a different name, provide that name:

#### 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*.

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

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

- (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)
- (2) other investment adviser (including financial planners)
- (3) registered municipal advisor
- (4) registered security-based swap dealer
- (5) major security-based swap participant
- ☑ (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (7) futures commission merchant
- $\Box$  (8) banking or thrift institution
- (9) trust company
- $\square$  (10) accountant or accounting firm
- (11) lawyer or law firm
- $\square$  (12) insurance company or agency
- (13) pension consultant
- □ (14) real estate broker or dealer
- (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representatives of a broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of your firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).

Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to complete Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

#### SECTION 7.A. Financial Industry Affiliations

Complete a separate Schedule D Section 7.A. for each related person listed in Item 7.A.

1.	Legal Name of <i>Related Person</i> : RIDGE GP LLC		
2.	Primary Business Name of <i>Related Person:</i> RIDGE GP LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's (a) CRD Number (if any):		
	(b) CIK Number(s) (if any): No Information Filed		
5.	Related Person is: (check all that apply)         (a)       broker-dealer, municipal securities dealer, or government securities broker or dealer         (b)       other investment adviser (including financial planners)         (c)       registered municipal advisor         (d)       registered security-based swap dealer         (e)       major security-based swap participant         (f)       commodity pool operator or commodity trading advisor (whether registered or exempt from registration)         (g)       futures commission merchant         (h)       banking or thrift institution         (i)       trust company         (j)       accountant or accounting firm         (k)       lawyer or law firm         (j)       insurance company or agency         (m)       pension consultant         (n)       sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles         (p)       sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	s No
6.	Do you control or are you controlled by the related person?	O	0
7.	Are you and the <i>related person</i> under common <i>control</i> ?	$\odot$	0
8.	<ul> <li>(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>?</li> <li>(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>?</li> </ul>	0	0
	(c)       If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>client</i> .         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:       □		
9.	<ul><li>(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?</li><li>(b) If the answer is yes, under what exemption?</li></ul>		o No
10.	<ul> <li>(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i>?</li> <li>(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is regist. No Information Filed</li> </ul>		o
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	0
12.	Do you and the <i>related person</i> share the same physical location?	o	0

1. Legal Name of *Related Person*: RENAISSANCE INSTITUTIONAL MANAGEMENT LLC

2. Primary Business Name of *Related Person*: RENAISSANCE INSTITUTIONAL MANAGEMENT LLC

3.	<i>Related Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 8 - 66971					
	or					
	Other					
4.	Related Person's         (a) CRD Number (if any):					
	136113					
	(b) CIK Number(s) (if any):					
	CIK Number					
	1330370					
5.	Related Person is: (check all that apply)					
	(a) 🗹 broker-dealer, municipal securities dealer, or government securities broker or dealer					
	<ul> <li>(b)  other investment adviser (including financial planners)</li> <li>(c)  segistered municipal edvisor</li> </ul>					
	<ul> <li>(c) registered municipal advisor</li> <li>(d) registered security-based swap dealer</li> </ul>					
	(e) a major security-based swap participant					
	(f) C commodity pool operator or commodity trading advisor (whether registered or exempt from registration)					
	(g) futures commission merchant					
	(h) banking or thrift institution					
	<ul> <li>(i) □ trust company</li> <li>(j) □ accountant or accounting firm</li> </ul>					
	(k) 🗖 lawyer or law firm					
	(I) insurance company or agency					
	(m) pension consultant					
	<ul> <li>(n)  real estate broker or dealer</li> <li>(o)  sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> </ul>					
	(p) D sponsor, general partner, managing member (or equivalent) of pooled investment vehicles					
		Yes	s No			
6.	Do you control or are you controlled by the related person?	$\odot$	0			
7	Are you and the <i>related person</i> under common <i>control</i> ?	~	~			
/.		$\odot$	0			
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$			
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the	0	0			
	presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?					
	(c) If you have answered "yes" to question 8. (a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients</i>	s'ass	ets:			
	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: $\square$	Yes	s No			
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0			
	(b) If the answer is yes, under what exemption?					
10.		0	$\odot$			
	(b) If the answer is yes, list the name and country, in English of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed	ered.				
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	$\odot$	~			
		e	0			
12.	Do you and the related person share the same physical location?	$\odot$	0			
1.	Legal Name of Related Person:					
	MEDALLION TRADING GP I LLC					
2	Primary Business Name of <i>Related Person</i> :					
د.	MEDALLION TRADING GP I LLC					
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)					
	or					

Other

4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any): No Information Filed		
5.	Rela (a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (n) (n) (o) (p)	<ul> <li>registered municipal advisor</li> <li>registered security-based swap dealer</li> <li>major security-based swap participant</li> <li>commodity pool operator or commodity trading advisor (whether registered or exempt from registration)</li> <li>futures commission merchant</li> <li>banking or thrift institution</li> <li>trust company</li> <li>accountant or accounting firm</li> <li>lawyer or law firm</li> <li>insurance company or agency</li> <li>pension consultant</li> <li>real estate broker or dealer</li> <li>sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles</li> <li>sponsor, general partner, managing member (or equivalent) of pooled investment vehicles</li> </ul>	Yes	Νο
6.	Do	you control or are you controlled by the related person?	©	
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	o	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b) (c)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ? If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients</i> ' Number and Street 1: Number and Street 1: City: State: Country: ZIP+4/Postal Code:	0	0
		If this address is a private residence, check this box:		N -
9.	(a) (b)		0	No O
10.	(a) (b)	Is the related person registered with a foreign financial regulatory authority? If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is register No Information Filed	O ed.	o
11.	Do	you and the <i>related person</i> share any <i>supervised persons</i> ?	0	$\odot$
12.	Do	you and the <i>related person</i> share the same physical location?	0	0
	MED	al Name of <i>Related Person</i> : DALLION TRADING GP II LLC		
Z.		nary Business Name of <i>Related Person:</i> DALLION TRADING GP II LLC		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Oth	er		
4.	Rela (a)	ated Person's CRD Number (if any):		
	(b)	CIK Number(s) (if any):		

No Information Filed

5.		ated Person is: (check all that apply)         broker-dealer, municipal securities dealer, or government securities broker or dealer         other investment adviser (including financial planners)         registered municipal advisor         registered security-based swap dealer         major security-based swap participant         commodity pool operator or commodity trading advisor (whether registered or exempt from registration)         futures commission merchant         banking or thrift institution         trust company         accountant or accounting firm         lawyer or law firm         insurance company or agency         pension consultant		
	(n)	real estate broker or dealer		
	(0)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Vaa	
4		you control or are you controlled by the related person?		s No
6.	00 3		$\odot$	0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	۲	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	$\odot$
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	õ	õ
	(C)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients</i> Number and Street 1:       Number and Street 2:         City:       State:       Country:       ZIP+4/Postal Code:	'ass	ets:
		If this address is a private residence, check this box: 🗖		
0				s No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10.	$(\mathbf{a})$	Is the related person registered with a foreign financial regulatory authority?	~	_
10.	(a) (b)	If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.	O brod	⊙
	(0)	No Information Filed	rcu.	
11.	Do	you and the related person share any supervised persons?	0	$\odot$
			~	v
12.	Doy	you and the <i>related person</i> share the same physical location?	$\odot$	0
Iter	ר ד ד 7	Private Fund Reporting		
			Yes	s No
В. А	re y	ou an adviser to any private fund?	$\odot$	0

If "yes," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the next sentence and in Instruction 6 of the Instructions to Part 1A. If you are registered or applying for registration with the SEC or reporting as an SEC exempt reporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such private fund in Section 7.B. (1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B. (1) of Schedule D with respect to that private fund. You must, instead, complete Section 7.B.(2) of Schedule D.

 $\odot$   $\odot$ 

In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.

SECTION 7.B.(1) Private Fund Reporting	
	Funds per Page: 15 👿 Total Funds: 8
A. PRIVATE FUND	

1.	(a) Name of the <i>private fund</i> : GF TRADING LLC		
	(b) <i>Private fund</i> identification number: (include the "805-" prefix also)		
	805-7120369553		
2.	Under the laws of what state or country	s the <i>private fund</i> organized:	
	State: Delaware	Country: United States	
3.		, Trustee, or Directors (or <i>persons</i> serving in a simila	ar capacity):
	Name of General Partner, Manager, Tru RENAISSANCE TECHNOLOGIES LLC	istee, or Director	
	(b) If filing an umbrella registration, identi	fy the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that spo	onsor(s) or manage(s) this <i>private fund</i> .
		No Information Filed	
4.	The private fund (check all that apply; you	must check at least one):	
		e definition of investment company under section 3(	· · ·
	(2) qualifies for the exclusion from the	e definition of investment company under section 3(	c)(7) of the Investment Company Act of 1940
5.	List the name and country, in English, of	each foreign financial regulatory authority with which	the <i>private fund</i> is registered.
		No Information Filed	
			Yes No
6.	(a) Is this a "master fund" in a master-fe	eder arrangement?	© 0
	(b) If yes, what is the name and private	fund identification number (if any) of the feeder func	Is investing in this private fund?
	Name of private fund		Private fund identification number
	RENAISSANCE INSTITUTIONAL DIVERSIFI		805-7469811075
	RENAISSANCE INSTITUTIONAL DIVERSIFI	ED ALPHA FUND LLC ED GLOBAL EQUITIES OFFSHORE FUND L.P.	805-2578602518 805-2456251643
		ED GLOBAL EQUITIES ONSHORE FUND L.P.	805-7438293103
			Yes No
	(c) Is this a "feeder fund" in a master-fe	eder arrangement?	0 0
	(d) If yes, what is the name and <i>private</i> . Name of <i>private fund</i> :	<i>fund</i> identification number (if any) of the master fund	d in which this <i>private fund</i> invests?
	<i>Private fund</i> identification number: (include the "805-" prefix also)		
	(		
	NOTE: You must complete question 6 for for the master-feeder arrangement or re		ther you are filing a single Schedule D, Section 7.B.(1)
7.	If you are filing a single Schedule D, Sect the feeder funds answer the following qu		ng to the instructions to this Section 7.B.(1), for each of
	Additional Feeder Fund Information : 4	Record(s) Filed.	
	each of the feeder funds answer the		cording to the instructions to this Section 7.B.(1), for
	(a) Name of the <i>private fund</i> :		
	RENAISSANCE INSTITUTION	L DIVERSIFIED ALPHA FUND INTERNATIONAL LP	
	(b) <i>Private fund</i> identification nu	nber:	
	(include the "805-" prefix als		
	805-7469811075		

(C)	Under the laws of what state or country is the private fund organized:
	State: Country:
	Bermuda
(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
(u) (1)	Name of General Partner, Manager, Trustee or Director
	RENAISSANCE TECHNOLOGIES LLC
(d) (2)	If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
(e)	The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
(f)	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
	Name of Country/English Name of Foreign Financial Regulatory Authority
	Bermuda - Bermuda Monetary Authority
•	are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for of the feeder funds answer the following questions: Name of the <i>private fund</i> :
	RENAISSANCE INSTITUTIONAL DIVERSIFIED ALPHA FUND LLC
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-2578602518
(c)	Under the laws of what state or country is the <i>private fund</i> organized:
	State: Country:
	Delaware United States
(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
	Name of General Partner, Manager, Trustee or Director
	RENAISSANCE TECHNOLOGIES LLC
(d) (2)	If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
(e)	The private fund (check all that apply; you must check at least one):
	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
	$\mathbf{V}$ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
(f)	List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed
-	are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for of the feeder funds answer the following questions:
(a)	Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES OFFSHORE FUND L.P.

(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-2456251643
(C)	Under the laws of what state or country is the <i>private fund</i> organized:
	State: Country:
	Bermuda
(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
	Name of General Partner, Manager, Trustee or Director
	RIDGE GP LLC
(d) (2)	If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
(e)	The private fund (check all that apply; you must check at least one):
	(1) qualifies for the exclusion from the definition of investment company under section $3(c)(1)$ of the Investment Company Act of 1940
	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
(f)	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
	Name of Country/English Name of Foreign Financial Regulatory Authority
	Bermuda - Bermuda Monetary Authority
	are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for
	are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P.
each o	f the feeder funds answer the following questions: Name of the <i>private fund</i> :
each o (a)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also)
each o (a) (b)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103 Under the laws of what state or country is the <i>private fund</i> organized: State: Country:
each o (a) (b)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103 Under the laws of what state or country is the <i>private fund</i> organized:
each o (a) (b)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103 Under the laws of what state or country is the <i>private fund</i> organized: State: Country:
b)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103  Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Delaware United States Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):  Name of General Partner, Manager, Trustee or Director
each o (a) (b)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103 Under the laws of what state or country is the <i>private fund</i> organized: State: Delaware Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
each o (a) (b) (c)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103  Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Delaware United States Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):  Name of General Partner, Manager, Trustee or Director
each o (a) (b) (c) (d) (1) (d) (2)	f the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P. <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7438293103  Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Delaware United States  Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):  Name of General Partner, Manager, Trustee or Director RIDGE GP LLC  If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> :
each o (a) (b) (c)	If the feeder funds answer the following questions:         Name of the <i>private fund</i> :         RENAISSANCE INSTITUTIONAL DIVERSIFIED GLOBAL EQUITIES ONSHORE FUND L.P.         Private fund identification number:         (include the "805-" prefix also)         805-7438293103         Under the laws of what state or country is the <i>private fund</i> organized:         State:       Country:         Delaware       United States         Name of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):         Name of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):         Inder General Partner, Manager, Trustee or Director Kerter         RIDGE GP LLC         If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser</i> (s) that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed         The <i>private fund</i> (check all that apply: you must check at least one):         (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued

	multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		
8.	(a) Is this <i>private fund</i> a "fund of funds"?	Yes	
0.	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	C t	O
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	0
		M	N
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	Yes ©	Ô
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other priva	te fur	ıd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 8,304,430,667		
<u>Ow</u>	<u>nership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 5,000,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	ý	
13.	Approximate number of the <i>private fund's</i> beneficial owners: 297		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 29%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 3%		
		Yes	No
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0	0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 27%		
You	ur Advisory Services		
<u></u>		Yes	No
17.	(a) Are you a subadviser to this private fund?	0	$\odot$
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	to	
	No Information Filed		
10		Yes	No
18.	<ul> <li>(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the <i>private fund</i>?</li> <li>(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i>. If the to question 18.(a) is "no," leave this question blank.</li> </ul>	C answ	o er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
∠∪.	27%		

21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?

es	No

 $^{\circ}$ 

 $\odot$ 

22. If yes, provide the *private fund's* Form D file number (if any):

5 1	,	
Form D file	number	
021-17494	1	
021-21724	5	
021-26135	4	
021-33542	7	

# B. SERVICE PROVIDERS

## **Auditors**

	Ŷ	es	INO
23. (a) (1) A	Are the <i>private fund's</i> financial statements subject to an annual audit?	$\odot$	$\circ$
(2) If	If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	•	0

If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the *private fund* uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

		(a)(1) is "yes," respond to questions ( ete questions (b) through (f) separate	b) through (h) below. If the <i>private fund</i> uses more tha ly for each auditing firm.	n one		
(b)	Name of the auditing firm	:				
	PRICEWATERHOUSECOOF	PERS LLP				
(C)	The location of the auditir	ng firm's office responsible for the priva	ate fund's audit (city, state and country):			
	City:	State:	Country:			
	NEW YORK	New York	United States			
				Ye	es	Ν
(d)	Is the auditing firm an inc	lependent public accountant?		۲	5	C
(e)	Is the auditing firm regist	ered with the Public Company Accoun	ing Oversight Board?	o	5	c
	If yes, Public Company Ac	counting Oversight Board-Assigned Nu	imber:			
	238					
(f)	If "yes" to (e) above, is the accordance with its rules?		ection by the Public Company Accounting Oversight Bo	ard in 💿	5	C

		Yes	No
(g)	Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's	$\odot$	0
	investors?		

(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?

If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.

### Prime Broker

			Yes	No	D
24.	(a)	Does the <i>private fund</i> use one or more prime brokers?	$\odot$	C	5
		If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	ne <i>priva</i>	ate	

Additional Prime Broker Information : 5 Record(s) Filed.

If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

8 C 1	f the prime broker is regist 3 - 41342	ered with the SEC, its registration		
8 C 1			n number:	
1				
	CRD Number (if any):			
	19714			
$(\mathbf{q}) = \mathbf{q}$	ocation of prime broker's o	ffice used principally by the priva	te fund (city, state and country):	
	City: State		Country:	
	5	York	United States	
				Yes N
(e) [	Does this prime broker act a	as custodian for some or all of the	e <i>private fund's</i> assets?	0 0
			b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b	
	Name of the prime broker: BNP PARIBAS SECURITIES C	ORP.		
		ered with the SEC, its registration	n number:	
	3 - 32682			
	CRD Number (if any): 15794			
(d) L	ocation of prime broker's o	ffice used principally by the priva	te fund (city, state and country):	
	City:	State:	Country:	
N	NEW YORK	New York	United States	
P		New TOTK	United States	
		as custodian for some or all of the		Yes N
(e) [ f the briva	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker:	as custodian for some or all of the		fund uses. If the
(e) [ f the briva	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one	as custodian for some or all of the	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i>	fund uses. If the
(e) E briva (b) N E (c) I	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist	as custodian for some or all of the	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b	fund uses. If the
(e) [ f the briva (b) N E (c) [ 8	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787	as custodian for some or all of the is "yes," respond to questions ( prime broker, you must complet	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b	fund uses. If the
(e) [ f the briva (b) N E (c) [ 8 0	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist	as custodian for some or all of the is "yes," respond to questions ( prime broker, you must complet	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b	fund uses. If the
(e) E oriva (b) N E (c) I 8 C 2	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787 CRD Number (if any): 283942	as custodian for some or all of the o is "yes," respond to questions ( prime broker, you must complet ered with the SEC, its registration	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b	fund uses. If the
(e) [ f the briva (b) N E (c) [ 8 (c) [ 2 (d) L	Does this prime broker act a e answer to question 24.(a) te fund uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787 CRD Number (if any): 283942 Location of prime broker's o	as custodian for some or all of the s is "yes," respond to questions ( prime broker, you must complet ered with the SEC, its registration ffice used principally by the <i>priva</i>	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b n number: <i>te fund</i> (city, state and country):	fund uses. If the
(e) [ f the briva (b) N (c) [ 8 (c) 2 (d) L (d) L	Does this prime broker act a e answer to question 24.(a) <i>te fund</i> uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787 CRD Number (if any): 283942 Location of prime broker's o	as custodian for some or all of the o is "yes," respond to questions ( prime broker, you must complet ered with the SEC, its registration ffice used principally by the <i>priva</i> State:	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b n number: <i>te fund</i> (city, state and country): Country:	fund uses. If the
(e) [ f the briva (b) N (c) [ 8 (c) 2 (d) L (d) L	Does this prime broker act a e answer to question 24.(a) te fund uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787 CRD Number (if any): 283942 Location of prime broker's o	as custodian for some or all of the s is "yes," respond to questions ( prime broker, you must complet ered with the SEC, its registration ffice used principally by the <i>priva</i>	e <i>private fund's</i> assets? b) through (e) below for each prime broker the <i>private</i> te questions (b) through (e) separately for each prime b n number: <i>te fund</i> (city, state and country):	fund uses. If the broker.
(e) [ lf the briva (b) N (c) [ 8 (c) [ 8 (d) L (d) L (C) N	Does this prime broker act a e answer to question 24.(a) te fund uses more than one Name of the prime broker: BOFA SECURITIES, INC. f the prime broker is regist 3 - 69787 CRD Number (if any): 283942 Location of prime broker's o City: NEW YORK	as custodian for some or all of the o is "yes," respond to questions ( prime broker, you must complet ered with the SEC, its registration ffice used principally by the <i>priva</i> State:	e private fund's assets? b) through (e) below for each prime broker the private te questions (b) through (e) separately for each prime b n number: te fund (city, state and country): Country: United States	fund uses. If the

NEW YORK	New York	United States	
(e) Does this prime broker a	act as custodian for some or all of the	private fund's assets?	
		) through (e) below for each prime broker the $\mu$ questions (b) through (e) separately for each p	
(b) Name of the prime broke MORGAN STANLEY & CO.			
(c) If the prime broker is rep 8 - 15869	gistered with the SEC, its registration	number:	
CRD Number (if any): 8209			
	's office used principally by the private		
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker a	act as custodian for some or all of the	private fund's assets?	
oes the <i>private fund</i> use any f the answer to question 25.(a <i>und</i> uses more than one custo	a) is "yes," respond to questions (b) t odian, you must complete questions (l	rs listed above) to hold some or all of its assets hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian.	
The answer to question 25. (a und uses more than one custon Additional Custodian Inform	a) is "yes," respond to questions (b) to odian, you must complete questions (f nation : 4 Record(s) Filed.	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i>	e fund uses. If the µ
Toes the <i>private fund</i> use any of the answer to question 25. (a und uses more than one custo Additional Custodian Inform If the answer to question 25 <i>fund</i> uses more than one custodian	a) is "yes," respond to questions (b) f odian, you must complete questions (i ation : <b>4 Record(s) Filed.</b> 5. (a) is "yes," respond to questions (b stodian, you must complete questions	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian.	e fund uses. If the
oes the <i>private fund</i> use any of the answer to question 25. (a and uses more than one custo Additional Custodian Inform If the answer to question 25 <i>fund</i> uses more than one cus	a) is "yes," respond to questions (b) to odian, you must complete questions (i a <b>ation : 4 Record(s) Filed.</b> 5.(a) is "yes," respond to questions (b stodian, you must complete questions h: , N.A. of custodian:	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i>	e fund uses. If the j
<ul> <li>boes the <i>private fund</i> use any of the answer to question 25. (a <i>und</i> uses more than one custor.)</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 <i>fund</i> uses more than one custor.</li> <li>(b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> </ul>	a) is "yes," respond to questions (b) f odian, you must complete questions (i ation : <b>4 Record(s) Filed.</b> 5. (a) is "yes," respond to questions (b stodian, you must complete questions h: , N.A. of custodian: , N.A.	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i>	e fund uses. If the p
<ul> <li>boes the <i>private fund</i> use any of the answer to question 25. (aund uses more than one custor)</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 <i>fund</i> uses more than one custor</li> <li>(b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor City:</li> </ul>	a) is "yes," respond to questions (b) to odian, you must complete questions (i ation : <b>4 Record(s) Filed.</b> 5. (a) is "yes," respond to questions (b stodian, you must complete questions h: , N.A. of custodian: , N.A. polian's office responsible for <i>custody</i> of State:	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian. f the <i>private fund's</i> assets (city, state and count Country:	e fund uses. If the j
<ul> <li>The private fund use any of the answer to question 25. (a und uses more than one custor additional Custodian Inform</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 fund uses more than one custor (b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor</li> </ul>	a) is "yes," respond to questions (b) to odian, you must complete questions (i nation : 4 Record(s) Filed. 5. (a) is "yes," respond to questions (b stodian, you must complete questions h: , N.A. of custodian: , N.A.	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian.	e fund uses. If the j
<ul> <li>boes the <i>private fund</i> use any of the answer to question 25. (aund uses more than one custor)</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 <i>fund</i> uses more than one custor</li> <li>(b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor City:</li> </ul>	a) is "yes," respond to questions (b) f odian, you must complete questions (i ation : <b>4 Record(s) Filed</b> . 5. (a) is "yes," respond to questions (b stodian, you must complete questions 1: , N.A. of custodian: , N.A. odian's office responsible for <i>custody</i> of State: New York	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. ) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian. f the <i>private fund's</i> assets (city, state and count Country:	e fund uses. If the p
<ul> <li>coes the <i>private fund</i> use any of the answer to question 25. (a und uses more than one custor additional Custodian Inform</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 fund uses more than one custor (b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor City: NEW YORK</li> <li>(e) Is the custodian a relate</li> </ul>	a) is "yes," respond to questions (b) f odian, you must complete questions (i ation : <b>4 Record(s) Filed</b> . 5. (a) is "yes," respond to questions (b stodian, you must complete questions 1: , N.A. of custodian: , N.A. odian's office responsible for <i>custody</i> of State: New York	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. c) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian. f the <i>private fund's</i> assets (city, state and count Country: United States	e fund uses. If the p
<ul> <li>coes the <i>private fund</i> use any of the answer to question 25. (a und uses more than one custor additional Custodian Inform</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 fund uses more than one custor (b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor City: NEW YORK</li> <li>(e) Is the custodian a relate</li> </ul>	a) is "yes," respond to questions (b) f podian, you must complete questions (i nation : 4 Record(s) Filed. 5. (a) is "yes," respond to questions (b stodian, you must complete questions h: , N.A. of custodian: , N.A. odian's office responsible for <i>custody</i> of State: New York ed person of your firm?	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. c) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian. f the <i>private fund's</i> assets (city, state and count Country: United States	e fund uses. If the p
<ul> <li>coes the <i>private fund</i> use any of the answer to question 25. (aund uses more than one custor)</li> <li>Additional Custodian Inform</li> <li>If the answer to question 25 <i>fund</i> uses more than one custor</li> <li>(b) Legal name of custodian JPMORGAN CHASE BANK,</li> <li>(c) Primary business name of JPMORGAN CHASE BANK,</li> <li>(d) The location of the custor City: NEW YORK</li> <li>(e) Is the custodian a <i>relate</i></li> <li>(f) If the custodian is a broker- CRD Number (if any):</li> </ul>	a) is "yes," respond to questions (b) fodian, you must complete questions (c) <b>Pation : 4 Record(s) Filed.</b> 5. (a) is "yes," respond to questions (b) stodian, you must complete questions fr: , N.A. of custodian: , N.A. odian's office responsible for <i>custody</i> of State: New York ed person of your firm? ker-dealer, provide its SEC registration broker-dealer, or is a broker-dealer b	hrough (g) below for each custodian the <i>private</i> b) through (g) separately for each custodian. c) through g) below for each custodian the <i>priva</i> (b) through (g) separately for each custodian. f the <i>private fund's</i> assets (city, state and count Country: United States	e fund uses. If the p ate fund uses. If the

If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the priva fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

	Legal name of custodian: THE BANK OF NEW YORK MELLON				
(c)	Primary business name of custodian THE BANK OF NEW YORK MELLON	1:			
(d)	The location of the custodian's office	e responsible for <i>custoc</i>	dy of the <i>private fund's</i> asse	ets (city, state and country):	
	City:	State:	Country		
	NEW YORK	New York	United S	States	Yes No
(e)	Is the custodian a <i>related person</i> of	your firm?			0 0
(f)	If the custodian is a broker-dealer, p	provide its SEC registra	ition number (if any):		
	- CRD Number (if any):				
(g)	If the custodian is not a broker-dea <i>identifier</i> (if any)	ler, or is a broker-deale	er but does not have an SE	EC registration number, prov	ide its <i>legal entity</i>
	HPFHU00Q28E4N0NFVK49				
fund	he answer to question 25.(a) is "yes d uses more than one custodian, you Legal name of custodian: THE NORTHERN TRUST COMPANY				<i>Ind</i> uses. If the <i>private</i>
(c)	Primary business name of custodian THE NORTHERN TRUST COMPANY	1:			
(d)	The location of the custodian's office	e responsible for <i>custoc</i>		ets (city, state and country):	
	City: CHICAGO	State: Illinois	Country: United States		
					Yes No
(e)	Is the custodian a <i>related person</i> of	your firm?			00
(f)	If the custodian is a broker-dealer, p	provide its SEC registra	ition number (if any):		
	CRD Number (if any):				
(g)	If the custodian is not a broker-dea <i>identifier</i> (if any) 6PTKHDJ8HDUF78PFWH30	ler, or is a broker-deale	er but does not have an SE	EC registration number, prov	ide its <i>legal entity</i>
	he answer to question 25.(a) is "yes d uses more than one custodian, you				<i>Ind</i> uses. If the <i>private</i>
	Legal name of custodian: WELLS FARGO BANK, N.A.				
	Primary business name of custodian WELLS FARGO BANK, N.A.	ו:			
(c)	-		dy of the <i>private fund's</i> asse	ets (city, state and country):	
(c)	WELLS FARGO BANK, N.A. The location of the custodian's office City:	e responsible for <i>custoc</i> State:		Country:	
(c)	WELLS FARGO BANK, N.A. The location of the custodian's office	e responsible for <i>custoc</i>			Yes No

(f)	If the custodian is a broke	er-dealer, provide its SEC registration	n number (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a b <i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTO		ut does not have an SEC registration number, provide	its <i>legal entity</i>
ninistrator	2			
(a) Does	the <i>private fund</i> use an ad	Iministrator other than your firm?		Yes N
If the	answer to question 26.(a)	·	hrough (f) below. If the <i>private fund</i> uses more than or strator.	~ -
Addi	tional Administrator Info	rmation : 1 Record(s) Filed.		
adn	•	olete questions (b) through (f) separa	through (f) below. If the <i>private fund</i> uses more than ately for each administrator.	one
(c)	Location of administrator	(city, state and country):		
	City:	State:	Country:	
	NEW YORK	New York	United States	Yes No
(d)	Is the administrator a rela	ated person of your firm?		00
(e)		•	atements to the <i>private fund's</i> investors? but not all investors) $ m {}_{ m O}$ No (provided to no investors)	
(f)			s the investor account statements to the (rest of the) , (rest of the) <i>private fund's</i> investors, respond "not app	
your <i>relate</i> 99% Include or relevant o	nly those assets where (i)	such <i>person</i> carried out the valuation ion used for purposes of investor sub-	(by value) was valued by a <i>person</i> , such as an admin n procedure established for that asset, if any, includin scriptions, redemptions or distributions, and fee calcul	g obtaining any
keters				
(a) Does	the private fund use the se	ervices of someone other than you or	r your <i>employees</i> for marketing purposes?	Yes I
You n simila	nust answer "yes" whethe ir <i>person</i> . If the answer to	er the <i>person</i> acts as a placement age question 28.(a) is "yes," respond to a	ent, consultant, finder, introducer, municipal advisor or questions (b) through (g) below for each such market nplete questions (b) through (g) separately for each m	other solicitor, or er the <i>private fund</i>
Addi	tional Marketer Informat	ion : 1 Record(s) Filed.		
or s	similar <i>person</i> . If the answe	er to question 28.(a) is "yes," respon	gent, consultant, finder, introducer, municipal advisor d to questions (b) through (g) below for each such ma nust complete questions (b) through (g) separately for	arketer the <i>private</i>

		(c) Name of the marketer: RENAISSANCE INSTITUTIO	NAL MANAGEMENT LLC			
		(d) If the marketer is register 8 - 66971 and CRD Number (if any): 136113	ed with the SEC, its file number ( <i>e.</i>	g., 801-, 8-, or 866-):		
			s office used principally by the priva			
		City: NEW YORK	State: New York	Country: United States		
		(f) Does the marketer marke	t the <i>private fund</i> through one or m	nore websites?	Yes No	
		(g) If the answer to question	28.(f) is "yes," list the website add No	dress(es): Information Filed		
A. P	RIVAT	e fund				
<u>Info</u>	ormati	on About the <i>Private Fund</i>				
1.	(b) /	Name of the <i>private fund</i> : MEDALLION ASSOCIATES L.P. <i>Private fund</i> identification numbe (include the "805-" prefix also) 805-7649203464	r:			
2.	Unde	ar the laws of what state or cou	ntry is the <i>private fund</i> organized:			
۷.		State:	Country:			
		Delaware	United St	ates		
3.	(a) I	Name(s) of General Partner, Ma	nager, Trustee, or Directors (or <i>per</i>	sons serving in a similar capacity):		
	Nam	ne of General Partner, Manage	r, Trustee, or Director			
	REN	AISSANCE TECHNOLOGIES LLC				
	(b)	f filing an umbrella registration,		<i>ving adviser(s)</i> that sponsor(s) or manage(s) this <i>private</i> prmation Filed	fund.	
4.			y; you must check at least one):		A - + F 1040	
				pany under section 3(c)(1) of the Investment Company pany under section 3(c)(7) of the Investment Company		
5.	List t	the name and country, in Englisi	n, of each <i>foreign financial regulator</i>	y <i>authority</i> with which the <i>private fund</i> is registered.		
			No Info	prmation Filed		
					Yes	No
6.	(a) I	s this a "master fund" in a mas	ter-feeder arrangement?		0	$\odot$
	(b) I	f yes, what is the name and pri	vate fund identification number (if a	any) of the feeder funds investing in this private fund?		
			No Info	prmation Filed		
					Yes	No
	(c) I	s this a "feeder fund" in a mas	er-feeder arrangement?		o	0
		If yes, what is the name and <i>pri</i> Name of <i>private fund</i> :	vate fund identification number (if a	my) of the master fund in which this <i>private fund</i> invests	;?	

MEDALLION HOLDINGS LLC

Private fund identification number: (include the "805-" prefix also)

805-4961509683

7.	<ol> <li>If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to the feeder funds answer the following questions:</li> </ol>	o this Section 7.B.(1), for each of
	No Information Filed	
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") inve assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purpo multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in	oses of this question if it issued
0		Yes No
8.	<ul> <li>8. (a) Is this <i>private fund</i> a "fund of funds"?</li> <li>NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.</li> </ul>	other pooled investment
	(b) If yes, does the private fund invest in funds managed by you or by a related person?	0 0
		Yes No
9.	9. During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	
10.	10. What type of fund is the <i>private fund</i> ?	
	ullet hedge fund $ullet$ liquidity fund $ullet$ private equity fund $ullet$ real estate fund $ullet$ securitized asset fund $ullet$ venture ca	pital fund <sup>O</sup> Other <i>private fund</i> :
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	
11.	<ul><li>11. Current gross asset value of the <i>private fund</i>:</li><li>\$ 5,193,207,009</li></ul>	
<u>Ow</u>	Ownership	
12.	12. Minimum investment commitment required of an investor in the private fund:	
	\$ 25,000 NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from th organizational documents of the fund).	e amount set forth in the
13.	<ul><li>13. Approximate number of the <i>private fund's</i> beneficial owners:</li><li>6</li></ul>	
14.	14. What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 84%	
15.	15. (a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds 0%	S:
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of	Yes No
	Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	f the Investment O O
16.		f the Investment OO
	Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ? 16. What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :	
<u>Yoı</u>	Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ? 16. What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 1% Your Advisory Services	Yes No
<u>Yoı</u>	Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ? 16. What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 1%	Yes No O ©

	to question 18.(a) is "no," leave this question blank.		
	No Information Filed		
		Yes	No
	e your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
1	OTE: For purposes of this question, do not consider feeder funds of the private fund.		
	oproximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? %		
<u>Priva</u>	e Offering		
		Yes	No
21. I	as the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	0	$\odot$
22. I	yes, provide the <i>private fund's</i> Form D file number (if any):		
	No Information Filed		
B. SEF	/ICE PROVIDERS		
<u>Audi</u>		Vac	No
23.	) (1) Are the private fund's financial statements subject to an annual audit?	es ©	No
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	o o	0
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one audit	_	
	you must complete questions (b) through (f) separately for each auditing firm.		.,
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one		
	auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm.		
	(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP		
	(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):		
	City: State: Country:		
	NEW YORK New York United States	Yes I	
	(d) Is the auditing firm an <i>independent public accountant</i> ?		0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	$\circ \mid$
	If yes, Public Company Accounting Oversight Board-Assigned Number:		
	238		
	(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in	•	0
	accordance with its rules?	e ·	
		Yes	No
(	) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	$\odot$	0
	) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified	oninion	\$2
	• Yes <sup>O</sup> No <sup>O</sup> Report Not Yet Received	Spiritori	5:
			abla
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	ıs avalla	ıDIƏ.
<u>Prim</u>	Broker	V	NI-
24	) Does the <i>private fund</i> use one or more prime brokers?	-	No
,	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	O he <i>priva</i>	⊙ ate
	fund uses more than one prime broker, you must complete questions (b) through (c) below for each prime broker the private rand uses. If the fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		

(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the *private fund*. If the answer

No Information Filed

#### Custodian

# 25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?

If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.

Add	ditional Custodian Informa	tion : 1 Record(s) Filed.		
		a) is "yes," respond to questions (b) throu odian, you must complete questions (b) th	igh g) below for each custodian the <i>private fu</i> rough (g) separately for each custodian.	and uses. If the private
(b	) Legal name of custodian: WELLS FARGO BANK, N.A.			
(c	) Primary business name of WELLS FARGO BANK, N.A.	custodian:		
(d	) The location of the custod	ian's office responsible for <i>custody</i> of the p	private fund's assets (city, state and country):	
	City:	State:	Country:	
	SIUOX FALLS	South Dakota	United States	
				Yes No
(e	) Is the custodian a <i>related</i>	<i>person</i> of your firm?		00
(f)	If the custodian is a broke	r-dealer, provide its SEC registration numb	per (if any):	
	-			
	CRD Number (if any):			
(g	) If the custodian is not a b identifier (if any)	roker-dealer, or is a broker-dealer but doe	s not have an SEC registration number, provi	ide its <i>legal entity</i>
	KB1H1DSPRFMYMCUFXT09			

#### **Administrator**

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

### Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

0 0

Yes No

0 0

Yes No

 $\odot$   $\circ$ 

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

PRIVA	ATE FUND	
orma	ation About the Private Fund	
(a)	Name of the <i>private fund</i> :	
	MEDALLION FUND L.P.	
(b)	Private fund identification number: (include the "805-" prefix also)	
	805-5297474322	
Und	der the laws of what state or country is the <i>private fund</i> organized:	
	State:Country:DelawareUnited States	
(a)	Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):	
	ame of General Partner, Manager, Trustee, or Director	
RE	ENAISSANCE TECHNOLOGIES LLC	
(b)		
	No Information Filed	
	<ul> <li>e private fund (check all that apply; you must check at least one):</li> <li>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19</li> <li>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19</li> <li>t the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.</li> </ul>	
2	<ul> <li>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19</li> <li>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19</li> </ul>	40
List	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement?	
List	<ul> <li>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19</li> <li>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19</li> <li>t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.</li> <li>No Information Filed</li> </ul>	40 Yes
List	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	40 Yes O
<ul> <li>List</li> <li>(a)</li> <li>(b)</li> </ul>	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed	40 Yes O Yes
List (a) (b) (c)	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed Is this a "feeder fund" in a master-feeder arrangement?	40 Yes O
List (a) (b) (c)	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed Is this a "feeder fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> :	40 Yes O Yes
List (a) (b) (c)	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) Is this a "master fund" in a master-feeder arrangement? (3) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? (4) Name of <i>private fund</i> : (4) MEDALLION HOLDINGS LLC	40 Yes O Yes
<ul> <li>List</li> <li>(a)</li> <li>(b)</li> <li>(c)</li> </ul>	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 t the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed Is this a "master fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed Is this a "feeder fund" in a master-feeder arrangement? If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> : MEDALLION HOLDINGS LLC <i>Private fund</i> identification number:	40 Yes O Yes
List (a) (b) (c)	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) Is this a "master fund" in a master-feeder arrangement? (3) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? (4) Name of <i>private fund</i> : (4) MEDALLION HOLDINGS LLC	40 Yes O Yes
List (a) (b) (c) (d)	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (19 defined investing in this private fund; in a master-feeder arrangement? Is this a "feeder fund" in a master-feeder arrangement? If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of private fund: MEDALLION HOLDINGS LLC Private fund identification number: (include the "805-" prefix also)	40 Yes ©
List (a) (b) (c) (d) NO for	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 19 (2) qualifies for the exclusion from the definition of investment regardless for the exclusion formation filed. Is this a "feeder fund" in a master-feeder arrangement? If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of private fund: MEDALLION HOLDINGS LLC Private fund identification number: (include the "805-" prefix also) 805-4961509683 OTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a si	40 Yes O Yes

	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investmer vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	۱t	
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	0
		0	0
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	$\odot$
10.	. What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other priv	ate fui	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
	NOTE. For deminions of these fund types, please see instruction of the instructions to Part TA.		
11.	Current gross asset value of the <i>private fund</i> : \$ 10,790,559,706		
<u>0w</u>	vnership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 25,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	IE	
13.	Approximate number of the <i>private fund's</i> beneficial owners: 412		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 68%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes O	No O
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non-United States persons: 0%		
Yo	ur Advisory Services		
		Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?	0	$\odot$
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answe question 17.(a) is "no," leave this question blank.	r to	
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	$\odot$
	(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the to question 18.(a) is "no," leave this question blank.	e answ	/er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 7%		
Dri	vate Offering		
		Yes	No
21.	. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	$\odot$	0

	yes, provide the <i>private fund's</i> Form D file number (if any):					
	orm D file number 21-122141					
02	21-122141					
SEDV	ICE PROVIDERS					
JERV	ICE PROVIDERS					
udito	rs					
		Yes	N			
3. (a)	) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	$\odot$	C			
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	$\odot$	С			
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing you must complete questions (b) through (f) separately for each auditing firm.					
	Additional Auditor Information : 1 Record(s) Filed.					
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.					
	(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP					
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):					
	City:     State:     Country:       NEW YORK     New York     United States					
		Yes N	lo			
	(d) Is the auditing firm an <i>independent public accountant</i> ?	•				
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	o c				
	If yes, Public Company Accounting Oversight Board-Assigned Number: 238					
	(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	•	0			
		Yes	Nc			
(g)	) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?	o	С			
(h)	) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last annual updating amendment contain unqualifie	ed opinions	s?			
	• Yes • No • Report Not Yet Received					
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	ort is availa	ble.			
	Prokor					
me	Broker	Yes	Nc			
24. (a)	Does the <i>private fund</i> use one or more prime brokers?	0	$\overline{\mathbf{O}}$			
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.					
	No Information Filed					
Custod	lian	Yes	N/			
25. (a)	) Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?	o ⊙	0			
. ,	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If the fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	_				
	nana uses more than one custoulan, you must complete questions (b) through (g) separately for each custoulan.					

Additional Custodian Information : 1 Record(s) Filed.

		•	• • • •	rough g) below for each custodian the <i>private func</i> through (g) separately for each custodian.	uses. If the <i>private</i>
	(b)	Legal name of custodiar WELLS FARGO BANK, N.			
	(c)	Primary business name WELLS FARGO BANK, N.,			
	(d)	The location of the cust	odian's office responsible for <i>custody</i> of th	e <i>private fund's</i> assets (city, state and country):	
		City: SIUOX FALLS	State: South Dakota	Country: United States	
					Yes No
	(e)	Is the custodian a <i>relate</i>	ed person of your firm?		00
	(f)	If the custodian is a bro	ker-dealer, provide its SEC registration nu	mber (if any):	
		- CRD Number (if any):			
	(g)	If the custodian is not a <i>identifier</i> (if any) KB1H1DSPRFMYMCUFXT		loes not have an SEC registration number, provide	e its <i>legal entity</i>
	If th	s the <i>private fund</i> use an a e answer to question 26.(	dministrator other than your firm? a) is "yes," respond to questions (b) throu hrough (f) separately for each administrat	ugh (f) below. If the <i>private fund</i> uses more than c or.	Yes No O O ne administrator, you
			No Inform	nation Filed	
27.		our last fiscal year, what ted person?	percentage of the <i>private fund's</i> assets (by	value) was valued by a <i>person</i> , such as an admir	iistrator, that is not
	relevant	•	tion used for purposes of investor subscri	ocedure established for that asset, if any, includir ptions, redemptions or distributions, and fee calcu	
Ma	<u>keters</u>				
28.	(a) Does	s the <i>private fund</i> use the	services of someone other than you or yo	ur <i>employees</i> for marketing purposes?	Yes No
	simil	ar <i>person</i> . If the answer to	o question 28.(a) is "yes," respond to que	consultant, finder, introducer, municipal advisor o stions (b) through (g) below for each such marke te questions (b) through (g) separately for each m	er the private fund
			No Inform	nation Filed	
	RIVATE FU	ND			
		Not the Private Fund			

- 1. (a) Name of the *private fund*: MEDALLION HOLDINGS LLC
  - (b) *Private fund* identification number: (include the "805-" prefix also) 805-4961509683

	Under the laws of what state or country is the private fund	organized:	
	State:	Country:	
	Delaware	United States	
2	(a) Name(a) of Constal Dartner, Manager, Tructed, or Dire	ators (or persons conving in a similar conscitu).	
3.	(a) Name(s) of General Partner, Manager, Trustee, or Dire Name of General Partner, Manager, Trustee, or Director		
	RENAISSANCE TECHNOLOGIES LLC		
	(b) If filing an <i>umbrella registration</i> , identify the <i>filing advise</i>	er and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.	
		No Information Filed	
4.	The private fund (check all that apply; you must check at le	east one):	
		estment company under section 3(c)(1) of the Investment Company Act of 1940	
	$\mathbf{\overline{C}}$ (2) qualifies for the exclusion from the definition of inve	estment company under section 3(c)(7) of the Investment Company Act of 1940	
5.	List the name and country, in English, of each foreign finance	cial regulatory authority with which the private fund is registered.	
		No Information Filed	
			Yes No
6.	(a) Is this a "master fund" in a master-feeder arrangemer	nt?	$\circ$ $\circ$
	(b) If yes, what is the name and <i>private fund</i> identification	number (if any) of the feeder funds investing in this private fund?	
	Name of private fund	Private fund identification number	
	MEDALLION ASSOCIATES L.P.	805-7649203464	
	MEDALLION FUND L.P.	805-5297474322	
	MEDALLION INTERNATIONAL LTD. MEDALLION USA L.P.	805-5016784826	
	MEDALLION USA L.P.	805-4448411467	
			Yes No
	(c) Is this a "feeder fund" in a master-feeder arrangemen	t?	0.0
	(d) If yes, what is the name and <i>private fund</i> identification		00
	(d) If yes, what is the name and <i>private fund</i> identification Name of <i>private fund</i> :	number (if any) of the master fund in which this <i>private fund</i> invests?	00
	•		00
	Name of <i>private fund</i> : <i>Private fund</i> identification number:		0.0
	Name of <i>private fund</i> :		0.0
	Name of <i>private fund</i> : <i>Private fund</i> identification number:		
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also)		n 7.B.(1)
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also)	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectio	n 7.B.(1)
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectioned separately.	
7.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectio	
7.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectioned separately.	
7.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectionds separately.	
7.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectioned separately.	
7.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectionds separately.	
7.	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed	for each of
7.	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectionds separately.	for each of
7.	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed         assets in a single fund ("master fund"). A fund would also	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section hds separately. master-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a	for each of
	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed         assets in a single fund ("master fund"). A fund would also         multiple classes (or series) of shares or interests, and each	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectio nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if i	for each of
7.	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed         assets in a single fund ("master fund"). A fund would also         multiple classes (or series) of shares or interests, and each         (a) Is this private fund a "fund of funds"?	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section ds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in class (or series) invests substantially all of its assets in a single master fund.	for each of all of their it issued Yes No
	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed         assets in a single fund ("master fund"). A fund would also         multiple classes (or series) of shares or interests, and each         (a) Is this private fund a "fund of funds"?         NOTE: For purposes of this question only, answer "yes" if the function of the series of the s	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Sectio nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in n class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme	for each of all of their it issued Yes No
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n the feeder funds answer the following questions: NOTE: For purposes of questions 6 and 7, in a master-feed assets in a single fund ("master fund"). A fund would also multiple classes (or series) of shares or interests, and each (a) Is this <i>private fund</i> a "fund of funds"? NOTE: For purposes of this question only, answer "yes" if a vehicles, regardless of whether they are also <i>private funds</i>	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in n class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme s or registered investment companies.	for each of all of their it issued Yes No O O nt
	Name of private fund:         Private fund identification number:         (include the "805-" prefix also)         NOTE: You must complete question 6 for each master-feed         for the master-feeder arrangement or reporting on the fur         If you are filing a single Schedule D, Section 7.B.(1) for a n         the feeder funds answer the following questions:         NOTE: For purposes of questions 6 and 7, in a master-feed         assets in a single fund ("master fund"). A fund would also         multiple classes (or series) of shares or interests, and each         (a) Is this private fund a "fund of funds"?         NOTE: For purposes of this question only, answer "yes" if the function of the series of the s	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in n class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme s or registered investment companies.	for each of all of their it issued Yes No
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n the feeder funds answer the following questions: NOTE: For purposes of questions 6 and 7, in a master-feed assets in a single fund ("master fund"). A fund would also multiple classes (or series) of shares or interests, and each (a) Is this <i>private fund</i> a "fund of funds"? NOTE: For purposes of this question only, answer "yes" if a vehicles, regardless of whether they are also <i>private funds</i>	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in n class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme s or registered investment companies.	for each of all of their it issued Yes No O O nt
	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n the feeder funds answer the following questions: NOTE: For purposes of questions 6 and 7, in a master-feed assets in a single fund ("master fund"). A fund would also multiple classes (or series) of shares or interests, and each (a) Is this <i>private fund</i> a "fund of funds"? NOTE: For purposes of this question only, answer "yes" if i vehicles, regardless of whether they are also <i>private funds</i> (b) If yes, does the <i>private fund</i> invest in funds managed b	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section nds separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in n class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme s or registered investment companies.	for each of all of their it issued Yes No O O nt
8.	Name of <i>private fund</i> : <i>Private fund</i> identification number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feed for the master-feeder arrangement or reporting on the fur If you are filing a single Schedule D, Section 7.B.(1) for a n the feeder funds answer the following questions: NOTE: For purposes of questions 6 and 7, in a master-feed assets in a single fund ("master fund"). A fund would also multiple classes (or series) of shares or interests, and each (a) Is this <i>private fund</i> a "fund of funds"? NOTE: For purposes of this question only, answer "yes" if i vehicles, regardless of whether they are also <i>private funds</i> (b) If yes, does the <i>private fund</i> invest in funds managed b	number (if any) of the master fund in which this <i>private fund</i> invests? der arrangement regardless of whether you are filing a single Schedule D, Section des separately. naster-feeder arrangement according to the instructions to this Section 7.B.(1), f No Information Filed der arrangement, one or more funds ("feeder funds") invest all or substantially a be a "feeder fund" investing in a "master fund" for purposes of this question if in a class (or series) invests substantially all of its assets in a single master fund. the fund invests 10 percent or more of its total assets in other pooled investme is or registered investment companies. by you or by a <i>related person</i> ?	for each of all of their it issued Yes No O O nt Yes No Yes No

-

	~		erun	u.
	NOT	E: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.		rent gross asset value of the <i>private fund</i> : 3,007,560,348		
<u>Ow</u>	ners	hip		
12.		mum investment commitment required of an investor in the private fund:		
		E: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the anizational documents of the fund).		
13.	Арр 0	roximate number of the <i>private fund's</i> beneficial owners:		
14.	Wha 0%	at is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	(a) 0%	What is the approximate percentage of the private fund beneficially owned (in the aggregate) by funds of funds:		
	0 70		Yes	No
		If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?		0
16.	Wha 0%	at is the approximate percentage of the <i>private fund</i> beneficially owned by non-United States persons:		
<u>Yoı</u>	ır Ad	lvisory Services		
17	(a)	Are you a subadviser to this <i>private fund</i> ?	Yes	
17.	(b)	If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	C to	O
		No Information Filed		
			Yes	No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	$\odot$
		If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	er
		No Information Filed		
			Yes	No
19.		your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
	NOT	E: For purposes of this question, do not consider feeder funds of the private fund.		
20.	App 27%	roximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Priv	vate	Offering		
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Yes Ö	NO ©
22.	lf ve	es, provide the <i>private fund's</i> Form D file number (if any):		
	5	No Information Filed		
в. Si	KAI(	CE PROVIDERS		
<u>Auc</u>	litors			
23	(ล)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Yes	
	·/			0

œ

	Additional Auditor Information : 1 Record(s) Filed.			
	If the answer to question 23.(a)(1) is "yes," respond auditing firm, you must complete questions (b) throu	to questions (b) through (h) below. If the <i>private fund</i> uses more than one gh (f) separately for each auditing firm.		
	(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP			
	City: State:	ble for the <i>private fund's</i> audit (city, state and country): Country:		
	NEW YORK New Yor		'es	No
	(d) Is the auditing firm an <i>independent public account</i>		•	0
	(e) Is the auditing firm registered with the Public Co	npany Accounting Oversight Board?	•	0
				Č
	If yes, Public Company Accounting Oversight Boa 238	rd-Assigned Number:		
	(f) If "yes" to (e) above, is the auditing firm subject accordance with its rules?	to regular inspection by the Public Company Accounting Oversight Board in	•	0
<				s N
g)	investors?	ne most recently completed fiscal year distributed to the private fund's	$\odot$	)
h)	Do all of the reports prepared by the auditing firm for t	ne private fund since your last annual updating amendment contain unqualified op	inior	ns?
		ly file an amendment to your Form ADV to update your response when the report is		
e B				
	If you check "Report Not Yet Received," you must prompt Broker		avai Ye	labi s f
	If you check "Report Not Yet Received," you must prompt Broker Does the <i>private fund</i> use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to question 24.		avaii Ye O	labl
	If you check "Report Not Yet Received," you must prompt Broker Does the <i>private fund</i> use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to question 24.	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the	avaii Ye O	labl
(a)	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to question dues more than one prime broker, you must comp	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker.	avaii Ye O	labi
a)	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to question dues more than one prime broker, you must comp	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker. No Information Filed	Ye O priv	s N vate
a) odi	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to que fund uses more than one prime broker, you must comp lian Does the private fund use any custodians (including the If the answer to question 25.(a) is "yes," respond to question question 25.(a) is "yes," respond to question qu	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker.	Ye O priv Ye	s ſ
a) odi	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to que fund uses more than one prime broker, you must comp lian Does the private fund use any custodians (including the If the answer to question 25.(a) is "yes," respond to question question 25.(a) is "yes," respond to question qu	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker. No Information Filed prime brokers listed above) to hold some or all of its assets? uestions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>pr</i> e questions (b) through (g) separately for each custodian.	Ye O priv Ye	s [ vate
a) odi	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to que fund uses more than one prime broker, you must comp Does the private fund use any custodians (including the If the answer to question 25.(a) is "yes," respond to que fund uses more than one custodian, you must complete Additional Custodian Information : 3 Record(s) Filed If the answer to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker. No Information Filed prime brokers listed above) to hold some or all of its assets? uestions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>pr</i> e questions (b) through (g) separately for each custodian.	Ye O priv Ye O	s f vate
a) odi	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24.(a) is "yes," respond to que fund uses more than one prime broker, you must comp Does the private fund use any custodians (including the If the answer to question 25.(a) is "yes," respond to que fund uses more than one custodian, you must complete Additional Custodian Information : 3 Record(s) Filed If the answer to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to que fund uses more to question 25.(a) is "yes," respond to	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker. No Information Filed prime brokers listed above) to hold some or all of its assets? uestions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>pr</i> e questions (b) through (g) separately for each custodian.	Ye O priv Ye O	s f vate
a)	If you check "Report Not Yet Received," you must prompt Broker Does the private fund use one or more prime brokers? If the answer to question 24. (a) is "yes," respond to que fund uses more than one prime broker, you must competition Does the private fund use any custodians (including the If the answer to question 25. (a) is "yes," respond to que fund uses more than one custodian, you must complete Additional Custodian Information : 3 Record(s) Filed If the answer to question 25. (a) is "yes," respond to fund uses more than one custodian, you must complete (b) Legal name of custodian:	ly file an amendment to your Form ADV to update your response when the report is uestions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the lete questions (b) through (e) separately for each prime broker. No Information Filed prime brokers listed above) to hold some or all of its assets? uestions (b) through (g) below for each custodian the <i>private fund</i> uses. If the <i>pr</i> e questions (b) through (g) separately for each custodian.	Ye O priv Ye O	s vate

	City: NEW YORK	State: New York	Country: United States	
	NEW TORK	New TOTK	United States	Yes N
(e)	Is the custodian a related	person of your firm?		0 0
f)	If the custodian is a broke	er-dealer, provide its SEC registration r	umber (if any):	
	- CRD Number (if any):			
(g)	If the custodian is not a b <i>identifier</i> (if any) HPFHU0OQ28E4N0NFVK4		does not have an SEC registration number, provide its a	legal entity
			hrough g) below for each custodian the <i>private fund</i> uses b) through (g) separately for each custodian.	s. If the <i>private</i>
(b)	Legal name of custodian: THE NORTHERN TRUST CC	IMPANY		
(c)	Primary business name of THE NORTHERN TRUST CC			
(d)	The location of the custoc City: CHICAGO	lian's office responsible for <i>custody</i> of <sup>-</sup> State: Illinois	the <i>private fund's</i> assets (city, state and country): Country: United States	
e)	Is the custodian a <i>related</i>			Yes N
f)	If the custodian is a broke	er-dealer, provide its SEC registration r	number (if any):	
	- CRD Number (if any):			
			dess not have an CEC registration number, provide its	legal entity
(g)		broker-dealer, or is a broker-dealer buy	does not have an SEC registration number, provide its	legal entity
(g)	If the custodian is not a b <i>identifier</i> (if any) 6PTKHDJ8HDUF78PFWH30		does not have an SEC registration number, provide its	
f 1 fur	<i>identifier</i> (if any) 6PTKHDJ8HDUF78PFWH3( he answer to question 25.4	) (a) is "yes," respond to questions (b) t	hrough g) below for each custodian the <i>private fund</i> uses	
f   fur (b)	<i>identifier</i> (if any) 6PTKHDJ8HDUF78PFWH30 he answer to question 25.4 d uses more than one cust Legal name of custodian:	) (a) is "yes," respond to questions (b) t odian, you must complete questions (l	hrough g) below for each custodian the <i>private fund</i> use	
(c)	identifier (if any) 6PTKHDJ8HDUF78PFWH30 he answer to question 25.4 d uses more than one cust Legal name of custodian: WELLS FARGO BANK, N.A. Primary business name of WELLS FARGO BANK, N.A. The location of the custoc City:	(a) is "yes," respond to questions (b) to odian, you must complete questions (l custodian: lian's office responsible for <i>custody</i> of the State:	the <i>private fund's</i> assets (city, state and country): Country:	
f 1 fur (b)	identifier (if any) 6PTKHDJ8HDUF78PFWH30 he answer to question 25.4 d uses more than one cust Legal name of custodian: WELLS FARGO BANK, N.A. Primary business name of WELLS FARGO BANK, N.A. The location of the custod	(a) is "yes," respond to questions (b) to odian, you must complete questions (l <sup>f</sup> custodian: lian's office responsible for <i>custody</i> of f	the <i>private fund's</i> assets (city, state and country):	s. If the <i>private</i>
f 1 fur b) c)	identifier (if any) 6PTKHDJ8HDUF78PFWH30 he answer to question 25.4 d uses more than one cust Legal name of custodian: WELLS FARGO BANK, N.A. Primary business name of WELLS FARGO BANK, N.A. The location of the custoc City:	(a) is "yes," respond to questions (b) f odian, you must complete questions (l f custodian: f custodian: lian's office responsible for <i>custody</i> of f State: South Dakota	the <i>private fund's</i> assets (city, state and country): Country:	
f t fur [b)	identifier (if any) 6PTKHDJ8HDUF78PFWH30 he answer to question 25.0 d uses more than one cust Legal name of custodian: WELLS FARGO BANK, N.A. Primary business name of WELLS FARGO BANK, N.A. The location of the custoc City: SIOUX FALLS Is the custodian a <i>related</i>	(a) is "yes," respond to questions (b) f odian, you must complete questions (l f custodian: f custodian: lian's office responsible for <i>custody</i> of f State: South Dakota	through g) below for each custodian the <i>private fund</i> uses b) through (g) separately for each custodian. the <i>private fund's</i> assets (city, state and country): Country: United States	s. If the <i>private</i>

KB1H1	DSPRF	MYMC	UFXT09

#### **Administrator**

Yes	No

 $\odot$ 

0

26. (a) Does the private fund use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

# 0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

#### Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

#### A. PRIVATE FUND

#### Information About the Private Fund

- 1. (a) Name of the *private fund*: MEDALLION INTERNATIONAL LTD.
  - (b) *Private fund* identification number: (include the "805-" prefix also) 805-5016784826
- 2. Under the laws of what state or country is the *private fund* organized: State: Country

Country: Bermuda

3. (a) Name(s) of General Partner, Manager, Trustee, or Directors (or *persons* serving in a similar capacity):

# Name of General Partner, Manager, Trustee, or Director RENAISSANCE TECHNOLOGIES LLC

(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.

No Information Filed

- 4. The *private fund* (check all that apply; you must check at least one):
  - (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
  - (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Bermuda - Bermuda Monetary Authority

00

Yes No

6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?		
	No Information Filed		
		Yes	No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	_	_
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?	$\odot$	0
	Name of <i>private fund</i> :		
	, MEDALLION HOLDINGS LLC		
	Private fund identification number:		
	(include the "805-" prefix also)		
	805-4961509683		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately.	n 7.B.(	(1)
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), the feeder funds answer the following questions:	for eac	h of
	No Information Filed		
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially	all of th	poir
	assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		
		Yes	No
8.	(a) Is this <i>private fund</i> a "fund of funds"?	0	$\odot$
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investme	ent	
	vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies. (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	~	~
	(b) If yes, does the private rand invest in rands managed by you of by a related person:	0	0
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	o
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund $\circ$ liquidity fund $\circ$ private equity fund $\circ$ real estate fund $\circ$ securitized asset fund $\circ$ venture capital fund $\circ$ other <i>pri</i>	vate fur	nd:
			, car
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 35,930,424		
<u>Ow</u>	nership		
12.	Minimum investment commitment required of an investor in the private fund:		
	\$ 25,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in t organizational documents of the fund).	he	
13.	Approximate number of the private fund's beneficial owners:		
	9		
1 /	What is the approximate percentage of the private fund han ficially owned by you and your related percents		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 84%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	0%	Yes	No

(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to *qualified clients*?

16.	What 46%	is the approximate percentage of the private fund beneficially owned by non-United States persons:		
Υοι	ır Ad∖	visory Services	Va	0 N
17	(a) <i>A</i>	Are you a subadviser to this <i>private fund</i> ?		s N
	(b) I	f the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the ans question 17.(a) is "no," leave this question blank.	C wer to	) (6
		No Information Filed		
			Ye	s N
18.	(a) [	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	С	
		f the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If o question 18.(a) is "no," leave this question blank.	the ans	wer
		No Information Filed		
			Ye	s N
19.	Are ک	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	С	
	NOTE	E: For purposes of this question, do not consider feeder funds of the private fund.		
20.		oximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
	0%			
Priv	vate C	)ffering	Ve	s N
21.	Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	C	
22.	If ye	s, provide the <i>private fund's</i> Form D file number (if any):		
		n D file number		
		186159		
Auc	litors		Y€	es N
23.	(a) (	1) Are the private fund's financial statements subject to an annual audit?	6	
	(	2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	G	
		f the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one aud you must complete questions (b) through (f) separately for each auditing firm.	iting fir	m,
		Additional Auditor Information : 1 Record(s) Filed.		
		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
		(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP		
		(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):		
		City:State:Country:NEW YORKNew YorkUnited States	Yes	No
		(d) Is the auditing firm an <i>independent public accountant</i> ?	o	0
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	$\odot$	0
		If yes, Public Company Accounting Oversight Board-Assigned Number: 238		
		(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	۲	0

		Yes	Nc
(g)	Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?	۲	С
(h)	Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualifi	ed opinions'	?
	Yes ○ No ○ Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the rep	ort is availab	)le.
rime I	Broker	Voc	Nic
4. (a)	Does the <i>private fund</i> use one or more prime brokers?	Yes	•
	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	_	_
	No Information Filed		
ustodi	ian		
5. (a)	Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?	Yes	
0. (u)	If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If t		0
	fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.		
	fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.          Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund uses. If	the <i>private</i>	
	Additional Custodian Information : 1 Record(s) Filed.	the <i>private</i>	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian:	the <i>private</i>	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian:         WELLS FARGO BANK, N.A.         (c) Primary business name of custodian:	the <i>private</i>	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian: WELLS FARGO BANK, N.A.         (c) Primary business name of custodian: WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country): City:         State:       Country:	the <i>private</i>	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian:         WELLS FARGO BANK, N.A.         (c) Primary business name of custodian:         WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):		
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian: WELLS FARGO BANK, N.A.         (c) Primary business name of custodian: WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country): City:         State:       Country:	T the <i>private</i> Yes No	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the private fund uses. If fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian:         WELLS FARGO BANK, N.A.         (c) Primary business name of custodian:         WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):         City:       State:         Country:         SIUOX FALLS       South Dakota	Yes No	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian:         WELLS FARGO BANK, N.A.         (c) Primary business name of custodian:         WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country):         City:       State:         Country:         SIUOX FALLS       South Dakota         (e) Is the custodian a <i>related person</i> of your firm?	Yes No	
	Additional Custodian Information : 1 Record(s) Filed.         If the answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> uses. If <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.         (b) Legal name of custodian: WELLS FARGO BANK, N.A.         (c) Primary business name of custodian: WELLS FARGO BANK, N.A.         (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): City: State: Country: SIUOX FALLS South Dakota United States         (e) Is the custodian a <i>related person</i> of your firm?         (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): -	Yes No O ©	

# Administrator

26. (a) Does the *private fund* use an administrator other than your firm?

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

Yes No

27.	you	ring your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by a <i>person</i> , such as an administrator, that In <i>related person</i> ?	is not	
	0%			
	rele	lude only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining a evant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (includ ocations) was the valuation determined by such <i>person</i> .	•	
Ma	rkete	ers		
			Yes	No
28.	(a)	Does the private fund use the services of someone other than you or your employees for marketing purposes?	0	$\odot$
		You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.		
		No Information Filed		
A. P	RIVA	TE FUND		
Info		tion About the Drivete Fund		
<u>1 nfc</u>	orma	tion About the Private Fund		
1.	(a)	Name of the <i>private fund</i> : MEDALLION USA L.P.		
	(b)	Private fund identification number:		
		(include the "805-" prefix also)		
		805-4448411467		
0				
2.	Unc	der the laws of what state or country is the <i>private fund</i> organized: State: Country:		
		Delaware United States		
2		Name (a) of Constal Dartage Monogen, Trustee, or Directory (or persons conving in a similar constitu).		
3.		Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity): me of General Partner, Manager, Trustee, or Director		
		NAISSANCE TECHNOLOGIES LLC		
	(b)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
		No Information Filed		
4.	The	e private fund (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940		
		(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940		
5.	List	the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.		
		No Information Filed		
			Yes	No
6.	(a)	Is this a "master fund" in a master-feeder arrangement?	0	$\odot$
	(b)	If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?		
		No Information Filed		
			Yes	No
	(c)	Is this a "feeder fund" in a master-feeder arrangement?		0
	(d)	If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?	Ň	~
		Name of <i>private fund</i> :		
		MEDALLION HOLDINGS LLC		
		Private fund identification number: (include the "805-" prefix also)		
		805-4961509683		
			<b>-</b> -	
	NO	TE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section	7.B.(	I)

for the master-feeder arrangement or reporting on the funds separately. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of 7. the feeder funds answer the following questions: No Information Filed NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. Yes No (a) Is this *private fund* a "fund of funds"? 8.  $^{\circ}$  $\odot$ NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also private funds or registered investment companies. (b) If yes, does the private fund invest in funds managed by you or by a related person?  $\circ$  $\circ$ 

- 9. During your last fiscal year, did the *private fund* invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?
- 10. What type of fund is the private fund?

• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private fund:

Yes No

Yes No

 $\odot$ 

NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.

11. Current gross asset value of the *private fund*:\$ 3,227,471,317

# <u>Ownership</u>

12. Minimum investment commitment required of an investor in the private fund:

\$ 25,000

NOTE: Report the amount routinely required of investors who are not your *related persons* (even if different from the amount set forth in the organizational documents of the fund).

- 13. Approximate number of the *private fund's* beneficial owners:93
- 14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:100%
- 15. (a) What is the approximate percentage of the *private fund* beneficially owned (in the aggregate) by funds of funds: 0%
  - (b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment
     (c) Company Act of 1940, are sales of the fund limited to *qualified clients*?
- 16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:0%

#### Your Advisory Services

		/es	No	С	
17. (a) Are you a subadviser to this pri	ivate fund?	0	$\odot$	ð	
(b) If the answer to question 17.(a) question 17.(a) is "no," leave th	a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer t this question blank.	0			

No Information Filed

- 18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?
  - (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer

No Information Filed		
10 Are your eligited to invest in the private fund		es No
19. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? NOTE: For purposes of this question, do not consider feeder funds of the private fund.	(	00
<ul><li>20. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i>?</li><li>0%</li></ul>		
Private Offering	Y	es No
21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of	1933?	• •
22. If yes, provide the <i>private fund's</i> Form D file number (if any):		
Form D file number		
021-122233		
B. SERVICE PROVIDERS		
Auditors	V	'es No
23. (a) (1) Are the private fund's financial statements subject to an annual audit?		⊙ 0
(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?		• •
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more th you must complete questions (b) through (f) separately for each auditing firm.	an one auditing f	irm,
Additional Auditor Information : 1 Record(s) Filed.		
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more	than one	
auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
(b) Name of the auditing firm:		
PRICEWATERHOUSECOOPERS LLP		
<ul> <li>(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):</li> <li>City:</li> <li>State:</li> <li>Country:</li> </ul>		
NEW YORK         New York         United States		
	Yes	s No
(d) Is the auditing firm an <i>independent public accountant</i> ?	O	0
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	o	0
If yes, Public Company Accounting Oversight Board-Assigned Number:		
238		
(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight accordance with its rules?	Board in 💿	0
		'es No
(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fu</i> investors?	ind's	⊙ O
(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain	unqualified opini	ions?
Yes ○ No ○ Report Not Yet Received		
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response whe	en the report is av	ailable.
Prime Broker		
Prime Broker 24. (a) Does the <i>private fund</i> use one or more prime brokers?		′esNo O ©

No Information Filed

			d above) to hold some or all of its assets?	(
		n, you must complete questions (b) through	(g) below for each custodian the <i>private fund</i> uses ugh (g) separately for each custodian.	s. If the <i>priva</i>
Addi	tional Custodian Informatio	n : 1 Record(s) Filed.		
	•	is "yes," respond to questions (b) throu ian, you must complete questions (b) th	gh g) below for each custodian the <i>private fund</i> use rough (g) separately for each custodian.	es. If the <i>priv</i>
(b)	Legal name of custodian: WELLS FARGO BANK, N.A.			
(c)	Primary business name of cu WELLS FARGO BANK, N.A.	ustodian:		
(d)	The location of the custodiar	n's office responsible for <i>custody</i> of the p	rivate fund's assets (city, state and country):	
	City: SIUOX FALLS	State: South Dakota	Country: United States	
				Yes
(e)	Is the custodian a related pe	erson of your firm?		0
(f)	If the custodian is a broker-o	dealer, provide its SEC registration numb	er (if any):	
	- CRD Number (if any):			
(g)	identifier (if any)	ker-dealer, or is a broker-dealer but doe	s not have an SEC registration number, provide its	legal entity
	KB1H1DSPRFMYMCUFXT09			

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the *private fund* uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.

No Information Filed

27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

# Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

Yes No

0 0

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

	No Information Filed
PR	VATE FUND
for	mation About the Private Fund
	(a) Name of the private fund
•	(a) Name of the <i>private fund</i> :
	RENAISSANCE KALEIDOSCOPE FUND LLC
	(b) Private fund identification number:
	(include the "805-" prefix also)
	805-3964332014
	Jnder the laws of what state or country is the <i>private fund</i> organized:
	State: Country:
	Delaware United States
	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity): Name of General Partner, Manager, Trustee, or Director
	RENAISSANCE TECHNOLOGIES LLC
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
	No Information Filed
	The <i>private fund</i> (check all that apply; you must check at least one):
	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940
	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
5.	ist the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
	No Information Filed
	Yes
, S.	(a) la this a "measter fund" in a measter faceler arrangement?
	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?
	No Information Filed
	Yes
	(c) Is this a "feeder fund" in a master-feeder arrangement?
	(d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests?
	Name of <i>private fund</i> :
	Private fund identification number:
	(include the "805-" prefix also)
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(
	for the master-feeder arrangement or reporting on the funds separately.
	f you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each the feeder funds answer the following questions:
	No Information Filed
	NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of th
	assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issue multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.
	nampic classes (or sches) or shares or interests, and each class (or sches) invests substantially an or its assets in a single master fullo.

	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investmen vehicles, regardless of whether they are also <i>private funds</i> or registered investment companies.	t	
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	0
		e	~
		Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	0	o
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private equity fund • real estate fund • securitized asset fund • venture capital fund • other private equity fund • real estate fund • securitized asset fund • venture capital fund • other private equity fund • venture capital fund • other private equity fund • other p	ate fui	nd:
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gross asset value of the <i>private fund</i> : \$ 30,900,985		
<u>Ow</u>	vnership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :		
	\$ 10,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in th organizational documents of the fund).	Ð	
13.	Approximate number of the <i>private fund's</i> beneficial owners:		
	29		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 96%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0%		
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment	Yes	No
	Company Act of 1940, are sales of the fund limited to qualified clients?		
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
Va			
<u>Y0</u>	ur Advisory Services	Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?	0	$\odot$
	(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the private fund. If the answer question 17.(a) is "no," leave this question blank.	to	
	No Information Filed		
		Yes	No
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	$\odot$
	(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18.(a) is "no," leave this question blank.	answ	/er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
	0%		
<u>Pri</u>	vate Offering		
<u> </u>			No
21.	Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	$\odot$	0

Form D file number         021-175044         SERVICE PROVIDERS         Auditors         23. (a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?         (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (b) through (f) separately for each auditing firm.         Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (a) (hrough (f) separately for each auditing firm.         Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:       PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm: soffice responsible for the <i>private fund</i> 's audit (city, state and country):         City:       New York       United States         (d) Is the auditing firm an independent public accountant?       (e) Is the auditing firm registered with the Public Company Accounting Oversight					
2. SERVICE PROVIDERS 23. (a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit? (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP? If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (b) through (f) separately for each auditing firm.  Additional Auditor Information : 1 Record(s) Filed.  If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au usu must complete questions (b) through (f) separately for each auditing firm.  (b) Name of the auditing firm:  PRICEWATERHOUSECOOPERS LLP (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country):  City:  NEW YORK  (d) Is the auditing firm an <i>independent public accountant</i> ?  (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?  If yes, Public Company Accounting Oversight Board-Assigned Number:					
Auditors         23. (a) (1) Are the private fund's financial statements subject to an annual audit?         (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one audiyou must complete question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one audiyou must complete question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:         PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):         City:       State:       Country:         NEW YORK       New York       United States         (d) Is the auditing firm an Independent public accountant?       (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?       If yes, Public Company Accounting Oversight Board-Assigned Number:					
Auditors         23. (a) (1) Are the private fund's financial statements subject to an annual audit?         (2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one au you must complete question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one au you must complete question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one au you must complete question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one au ultiting firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:       PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country): City:       State:       Country:         NEW YORK       New York       United States         (d) Is the auditing firm an independent public accountant?       (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?       If yes, Public Company Accounting Oversight Board-Assigned Number:					
<ul> <li>(a) (1) Are the <i>private fund</i>'s financial statements subject to an annual audit?</li> <li>(2) If the answer to question 23. (a) (1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?</li> <li>If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one augou must complete questions (b) through (f) separately for each auditing firm.</li> <li>Additional Auditor Information : 1 Record(s) Filed.</li> <li>If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.</li> <li>(b) Name of the auditing firm: <ul> <li>PRICEWATERHOUSECOOPERS LLP</li> <li>(c) The location of the auditing firm's office responsible for the <i>private fund</i>'s audit (city, state and country):</li> <li>City:</li> <li>State:</li> <li>Country:</li> <li>NEW YORK</li> <li>New York</li> <li>United States</li> </ul> </li> <li>(d) Is the auditing firm an <i>independent public accountant</i>?</li> <li>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board-Assigned Number:</li> </ul>					
<ul> <li>(a) (1) Are the <i>private fund</i>'s financial statements subject to an annual audit?</li> <li>(2) If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (b) through (r) separately for each auditing firm.</li> <li>Additional Auditor Information : 1 Record(s) Filed.</li> <li>If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (a) through (r) separately for each auditing firm.</li> <li>Additional Auditor Information : 1 Record(s) Filed.</li> <li>If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (r) separately for each auditing firm.</li> <li>(b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP</li> <li>(c) The location of the auditing firm's office responsible for the <i>private fund</i>'s audit (city, state and country): City: NEW YORK New York United States</li> <li>(d) Is the auditing firm an <i>independent public accountant</i>?</li> <li>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board? If yes, Public Company Accounting Oversight Board-Assigned Number:</li> </ul>					
<ul> <li>(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?</li> <li>If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one au you must complete questions (b) through (f) separately for each auditing firm.</li> <li>Additional Auditor Information : 1 Record(s) Filed.</li> <li>If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.</li> <li>(b) Name of the auditing firm: <ul> <li>PRICEWATERHOUSECOOPERS LLP</li> <li>(c) The location of the auditing firm's office responsible for the <i>private fund</i>'s audit (city, state and country): <ul> <li>City:</li> <li>State:</li> <li>Country:</li> <li>NEW YORK</li> <li>New York</li> <li>United States</li> </ul> </li> <li>(d) Is the auditing firm an <i>independent public accountant</i>?</li> <li>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board-Assigned Number:</li> </ul></li></ul>	Y	es No			
If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one autyou must complete questions (b) through (f) separately for each auditing firm.          Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:         PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country):         City:       State:         New YORK       New York         (d) Is the auditing firm an <i>independent public accountant</i> ?         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:	¢	• •			
you must complete questions (b) through (f) separately for each auditing firm.          Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:         PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):         City:       State:         NEW YORK       New York         (d) Is the auditing firm an independent public accountant?         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:	e	• c			
Additional Auditor Information : 1 Record(s) Filed.         If the answer to question 23. (a) (1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:         PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country):         City:       State:         New York       United States         (d) Is the auditing firm an <i>independent public accountant</i> ?         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:	diting fi	rm,			
If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm:         PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country):         City:       State:         NEW YORK       New York         (d) Is the auditing firm an <i>independent public accountant</i> ?         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
auditing firm, you must complete questions (b) through (f) separately for each auditing firm.         (b) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP         (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: State: Country: NEW YORK         (d) Is the auditing firm an <i>independent public accountant</i> ?         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
PRICEWATERHOUSECOOPERS LLP         (c)       The location of the auditing firm's office responsible for the private fund's audit (city, state and country): City: State: Country: NEW YORK New York United States         (d)       Is the auditing firm an independent public accountant?         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
PRICEWATERHOUSECOOPERS LLP         (c)       The location of the auditing firm's office responsible for the private fund's audit (city, state and country): City: State: Country: NEW YORK New York United States         (d)       Is the auditing firm an independent public accountant?         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
City:       State:       Country:         NEW YORK       New York       United States         (d)       Is the auditing firm an independent public accountant?         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
City:       State:       Country:         NEW YORK       New York       United States         (d)       Is the auditing firm an independent public accountant?         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?         If yes, Public Company Accounting Oversight Board-Assigned Number:					
NEW YORK     New York     United States       (d)     Is the auditing firm an independent public accountant?       (e)     Is the auditing firm registered with the Public Company Accounting Oversight Board?       If yes, Public Company Accounting Oversight Board-Assigned Number:					
<ul> <li>(d) Is the auditing firm an <i>independent public accountant</i>?</li> <li>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?</li> <li>If yes, Public Company Accounting Oversight Board-Assigned Number:</li> </ul>					
(e) Is the auditing firm registered with the Public Company Accounting Oversight Board? If yes, Public Company Accounting Oversight Board-Assigned Number:	Yes	No			
If yes, Public Company Accounting Oversight Board-Assigned Number:	o	0			
	$\odot$	0			
(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	o	0			
	Y	es No			
(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?		• c			
(h) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified	d opinio	ons?			
Yes ○ No ○ Report Not Yet Received					
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the repo	rt is ava	ilable			
Prime Broker					
	Y	es No			
24. (a) Does the <i>private fund</i> use one or more prime brokers?		00			
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.					
No Information Filed					
	Y	es No			
25. (a) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets?	6	• c			
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> uses. If th <i>fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	ne <i>priva</i>	te			

Additional Custodian Information : 1 Record(s) Filed.

		• •	) is "yes," respond to questions (b) thro lian, you must complete questions (b) t	hrough (g) separately for each custodian.	
	(b)	Legal name of custodian: WELLS FARGO BANK, N.A.			
	(c)	Primary business name of c WELLS FARGO BANK, N.A.	ustodian:		
	(d)			private fund's assets (city, state and country):	
		City: SIOUX FALLS	State: South Dakota	Country: United States	
	(e)	Is the custodian a related pe	erson of your firm?		Yes No
	(f)	If the custodian is a broker-	dealer, provide its SEC registration num	ber (if any):	
		- CRD Number (if any):			
	(g)	If the custodian is not a bro <i>identifier</i> (if any) KB1H1DSPRFMYMCUFXT09	oker-dealer, or is a broker-dealer but do	es not have an SEC registration number, provide its	legal entity
<u>Admini</u> 26. (a)	Does	the <i>private fund</i> use an admi	nistrator other than your firm?		Yes No
		•	s "yes," respond to questions (b) throug ugh (f) separately for each administrato	h (f) below. If the <i>private fund</i> uses more than one a r.	administrator, you
		•			administrator, you
	must	complete questions (b) throu	ugh (f) separately for each administrato No Informa		
you 0% Inc rel	ring your related to be a constructed to be constructed to constructed to be a constru	our last fiscal year, what perc ted person?	ugh (f) separately for each administrato No Informa centage of the <i>private fund's</i> assets (by uch <i>person</i> carried out the valuation pro n used for purposes of investor subscrip	tion Filed	ator, that is not
you 0% Inc rel	ring your related as a second	our last fiscal year, what perc ted person? only those assets where (i) su quotes, and (ii) the valuation	ugh (f) separately for each administrato No Informa centage of the <i>private fund's</i> assets (by uch <i>person</i> carried out the valuation pro n used for purposes of investor subscrip	tion Filed value) was valued by a <i>person</i> , such as an administra	ator, that is not otaining any ons (including
you 0% Inc rel allo	ring your relations of the second sec	complete questions (b) throu our last fiscal year, what perc <i>ted person</i> ? only those assets where (i) su quotes, and (ii) the valuation ns) was the valuation determine	ugh (f) separately for each administrato No Informa centage of the <i>private fund's</i> assets (by uch <i>person</i> carried out the valuation pro n used for purposes of investor subscrip	tion Filed value) was valued by a <i>person</i> , such as an administra cedure established for that asset, if any, including ob ions, redemptions or distributions, and fee calculatio	ator, that is not
you 0% rel allo <u>Market</u>	ring your relation	complete questions (b) throu our last fiscal year, what perc <i>ted person</i> ? only those assets where (i) su quotes, and (ii) the valuation ns) was the valuation determines the <i>private fund</i> use the serv must answer "yes" whether t ar <i>person</i> . If the answer to qu	No Information No Information No Information No Information No Information Private fund's assets (by the person carried out the valuation protection used for purposes of investor subscriptioned by such person.	tion Filed value) was valued by a <i>person</i> , such as an administra cedure established for that asset, if any, including ob ions, redemptions or distributions, and fee calculatio	ator, that is not otaining any ons (including Yes No O O her solicitor, or he <i>private fund</i>
you 0% rel allo <u>Market</u>	ring your relation	complete questions (b) throu our last fiscal year, what perc <i>ted person</i> ? only those assets where (i) su quotes, and (ii) the valuation ns) was the valuation determines the <i>private fund</i> use the serv must answer "yes" whether t ar <i>person</i> . If the answer to qu	No Information No Information No Information No Information No Information Private fund's assets (by the person carried out the valuation protection used for purposes of investor subscriptioned by such person.	tion Filed value) was valued by a <i>person</i> , such as an administrate cedure established for that asset, if any, including ob- tions, redemptions or distributions, and fee calculation <i>employees</i> for marketing purposes? onsultant, finder, introducer, municipal advisor or oth ions (b) through (g) below for each such marketer the questions (b) through (g) separately for each marketer	ator, that is not otaining any ons (including Yes No O O her solicitor, or he <i>private fund</i>
you 0% Inc rel allo 28. (a)	must	complete questions (b) throu bur last fiscal year, what percent ted person? only those assets where (i) su quotes, and (ii) the valuation as) was the valuation determines the private fund use the serve must answer "yes" whether t ar person. If the answer to qu . If the private fund uses more	No Information No Information No Information No Information No Information Private fund's assets (by sentage of the <i>private fund's</i> assets (by such <i>person</i> carried out the valuation protection used for purposes of investor subscription in the by such <i>person</i> .	tion Filed value) was valued by a <i>person</i> , such as an administrate cedure established for that asset, if any, including ob- tions, redemptions or distributions, and fee calculation <i>employees</i> for marketing purposes? onsultant, finder, introducer, municipal advisor or oth ions (b) through (g) below for each such marketer the questions (b) through (g) separately for each marketer	ator, that is not otaining any ons (including Yes No O O her solicitor, or he <i>private fund</i>
you 0% rel allo <u>Market</u>	must	complete questions (b) throu bur last fiscal year, what percent ted person? only those assets where (i) su quotes, and (ii) the valuation as) was the valuation determines the private fund use the serve must answer "yes" whether t ar person. If the answer to qu . If the private fund uses more	No Information No Information No Information No Information No Information Private fund's assets (by sentage of the <i>private fund's</i> assets (by such <i>person</i> carried out the valuation protection used for purposes of investor subscription in the by such <i>person</i> .	tion Filed value) was valued by a <i>person</i> , such as an administrate cedure established for that asset, if any, including ob- tions, redemptions or distributions, and fee calculation <i>employees</i> for marketing purposes? onsultant, finder, introducer, municipal advisor or oth ions (b) through (g) below for each such marketer the questions (b) through (g) separately for each marketer	ator, that is not otaining any ons (including Yes No O O her solicitor, or he <i>private fund</i>

1. (a) Name of the *private fund*: RIEF TRADING LLC

(b) *Private fund* identification number: (include the "805-" prefix also) 805-1242904711

	e laws of what state or country is the <i>private fund</i> organized:			
State:	: Country:			
Delaw	vare United States			
(a) Name	(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i>	serving in a similar capacity):		
Name of General Partner, Manager, Trustee, or Director				
	ANCE TECHNOLOGIES LLC			
(b) If filing	g an umbrella registration, identify the filing adviser and/or relying a	adviser(s) that sponsor(s) or manage(s) this private fund		
	No Informa			
	te fund (check all that apply; you must check at least one): ualifies for the exclusion from the definition of investment company	(under section 3(c)(1) of the Investment Company Act of 1940)		
	alifies for the exclusion from the definition of investment company			
(_) qu				
List the na	ame and country, in English, of each foreign financial regulatory aut	thority with which the private fund is registered.		
	No Informa			
		Yes No		
(a) Is this	s a "master fund" in a master-feeder arrangement?			
	-	• C		
· · ·	, what is the name and <i>private fund</i> identification number (if any)			
	<i>private fund</i> ANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL LP	Private fund identification number           805-7466831537		
	ANCE INSTITUTIONAL EQUITIES FUND LLC	805-8973287285		
	ATEGIC PARTNERS FUND INTERNATIONAL LP	805-1704401684		
	ATEGIC PARTNERS FUND LLC	805-6411599633		
		Yes N		
(d) If yes,	s a "feeder fund" in a master-feeder arrangement? s, what is the name and <i>private fund</i> identification number (if any) o e of <i>private fund</i> :	Yes N O G		
(d) If yes, Name Private	, what is the name and <i>private fund</i> identification number (if any)	0 6		
(d) If yes, Name <i>Private</i> (incluc	, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i> : e of <i>private fund</i> : <i>e fund</i> identification number: de the "805-" prefix also)	of the master fund in which this <i>private fund</i> invests?		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma	, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i> : e of <i>private fund</i> : de the "805-" prefix also) u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1)		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder	, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i> : e of <i>private fund</i> : de the "805-" prefix also) u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately. filing a single Schedule D, Section 7.B.(1) for a master-feeder arra	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1)		
<ul> <li>(d) If yes, Name</li> <li><i>Private</i> (incluc</li> <li>NOTE: You</li> <li>for the ma</li> <li>If you are</li> <li>the feeder</li> <li>Additiona</li> <li>7. If you</li> </ul>	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i>:</li> <li>a of <i>private fund</i>:</li> <li>be <i>fund</i> identification number:</li> <li>c <i>fund</i> identification number:</li> <li>c <i>fund</i> identification number:</li> <li>d the "805-" prefix also)</li> <li>c u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement arrangement the following questions:</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1)		
<ul> <li>(d) If yes, Name</li> <li><i>Private</i> (incluc</li> <li>NOTE: You</li> <li>for the ma</li> <li>If you are</li> <li>the feeder</li> <li>Additiona</li> <li>7. If you</li> </ul>	<ul> <li>what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement ar funds answer the following questions:</li> <li>al Feeder Fund Information : 4 Record(s) Filed.</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each o		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma f you are the feeder <b>Additiona</b> 7. If you each	<ul> <li>what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i>:</li> <li>of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a)	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i>:</li> <li>a of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement arrangement the following questions:</li> <li>al Feeder Fund Information : 4 Record(s) Filed.</li> <li>au are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement of the feeder funds answer the following questions:</li> <li>au are filing a single Schedule D, Section 7.B.(1) for a master-feeder of the feeder funds answer the following questions:</li> <li>Name of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement ar funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>w are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is following questions:</li> <li>Name of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL <i>Private fund</i> identification number:</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a)	<ul> <li>what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>w are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is answer the following questions:</li> <li><i>al Feeder Fund Information : 4 Record(s) Filed.</i></li> <li><i>private fund</i> identification number:</li> <li>(include the "805-" prefix also)</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a)	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement ar funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>w are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is following questions:</li> <li>Name of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL <i>Private fund</i> identification number:</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
<ul> <li>(d) If yes, Name</li> <li><i>Private</i> (includ</li> <li>NOTE: You</li> <li>for the ma</li> <li>If you are</li> <li>the feeder</li> <li>Additiona</li> <li>7. If you</li> <li>each</li> <li>(a)</li> </ul>	<ul> <li>what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>w are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is answer the following questions:</li> <li><i>al Feeder Fund Information : 4 Record(s) Filed.</i></li> <li><i>private fund</i> identification number:</li> <li>(include the "805-" prefix also)</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a) (b)	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i>:</li> <li>a of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>au are filing a single Schedule D, Section 7.B.(1) for a master-feeder of the feeder funds answer the following questions:</li> <li>Name of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL</li> <li><i>Private fund</i> identification number:</li> <li>(include the "805-" prefix also)</li> <li>805-7466831537</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for . LP		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a)	<ul> <li>what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>bu are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL</li> <li><i>Private fund</i> identification number:</li> <li>(include the "805-" prefix also)</li> <li>805-7466831537</li> <li>Under the laws of what state or country is the <i>private fund</i> org</li> </ul>	of the master fund in which this <i>private fund</i> invests? regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for LP anized:		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a) (b)	<ul> <li>a, what is the name and <i>private fund</i> identification number (if any) of <i>private fund</i>:</li> <li>a of <i>private fund</i>:</li> <li><i>e fund</i> identification number:</li> <li>de the "805-" prefix also)</li> <li>u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately.</li> <li>filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement r funds answer the following questions:</li> <li><b>al Feeder Fund Information : 4 Record(s) Filed.</b></li> <li>au are filing a single Schedule D, Section 7.B.(1) for a master-feeder of the feeder funds answer the following questions:</li> <li>Name of the <i>private fund</i>:</li> <li>RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL</li> <li><i>Private fund</i> identification number:</li> <li>(include the "805-" prefix also)</li> <li>805-7466831537</li> </ul>	of the master fund in which this <i>private fund</i> invests?  regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of arrangement according to the instructions to this Section 7.B.(1), for LP anized: try:		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a) (b)	a, what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i> : er <i>fund</i> identification number: de the "805-" prefix also) u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately. filling a single Schedule D, Section 7.B.(1) for a master-feeder arrangement aster-feeder Fund Information : 4 Record(s) Filed. u are filling a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is a feeder fund information in the following questions: al Feeder Fund Information : 4 Record(s) Filed. nu are filling a single Schedule D, Section 7.B.(1) for a master-feeder of the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7466831537 Under the laws of what state or country is the <i>private fund</i> org State:	of the master fund in which this <i>private fund</i> invests?		
(d) If yes, Name <i>Private</i> (incluc NOTE: You for the ma If you are the feeder <b>Additiona</b> 7. If you each (a) (b) (c)	a, what is the name and <i>private fund</i> identification number (if any) is of <i>private fund</i> : er <i>fund</i> identification number: de the "805-" prefix also) u must complete question 6 for each master-feeder arrangement aster-feeder arrangement or reporting on the funds separately. filling a single Schedule D, Section 7.B.(1) for a master-feeder arrangement aster-feeder Fund Information : 4 Record(s) Filed. u are filling a single Schedule D, Section 7.B.(1) for a master-feeder arrangement is a feeder fund information in the following questions: al Feeder Fund Information : 4 Record(s) Filed. nu are filling a single Schedule D, Section 7.B.(1) for a master-feeder of the feeder funds answer the following questions: Name of the <i>private fund</i> : RENAISSANCE INSTITUTIONAL EQUITIES FUND INTERNATIONAL <i>Private fund</i> identification number: (include the "805-" prefix also) 805-7466831537 Under the laws of what state or country is the <i>private fund</i> org State:	of the master fund in which this <i>private fund</i> invests?  regardless of whether you are filing a single Schedule D, Section 7.B.(1) angement according to the instructions to this Section 7.B.(1), for each of er arrangement according to the instructions to this Section 7.B.(1), for .LP anized: try: inda		

f filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed The <i>private fund</i> (check all that apply: you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940
No Information Filed The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of
<ul> <li>(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940</li> <li>(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940</li> </ul>
1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act c
list the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
Name of Country/English Name of Foreign Financial Regulatory Authority
Bermuda - Bermuda Monetary Authority
re filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for
the feeder funds answer the following questions:
Name of the <i>private fund</i> :
RENAISSANCE INSTITUTIONAL EQUITIES FUND LLC
Private fund identification number: (include the "805-" prefix also)
305-8973287285
Jnder the laws of what state or country is the <i>private fund</i> organized:
State: Country:
Delaware United States
Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
Name of General Partner, Manager, Trustee or Director
RENAISSANCE TECHNOLOGIES LLC
f filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
The private fund (check all that apply; you must check at least one):
The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act
(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act 1940
(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act

Country:

State:

	Delaware	United States
(d) (1)	Name(s) of General Partner M	lanager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
	Name of General Partner, Ma	
	RENAISSANCE TECHNOLOGIES	-
(d) (2)	If filing an umbrella registration	n, identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
(e)		apply; you must check at least one): Ion from the definition of investment company under section 3(c)(1) of the Investment Company Act of
	<ul><li>(2) qualifies for the exclusi</li><li>1940</li></ul>	on from the definition of investment company under section 3(c)(7) of the Investment Company Act of
(f)	List the name and country, in E	English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed
•	are filing a single Schedule D, S f the feeder funds answer the f	ection 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for following questions:
(a)	Name of the private fund:	
	RIEF STRATEGIC PARTNERS FU	ND INTERNATIONAL LP
(b)	<i>Private fund</i> identification numb (include the "805-" prefix also)	
	805-1704401684	
(c)	Under the laws of what state of	or country is the <i>private fund</i> organized:
	State:	Country:
		Bermuda
(d) (1)	Name(s) of General Partner, M	lanager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
	Name of General Partner, Ma RENAISSANCE TECHNOLOGIES	-
(d) (2)	If filing an umbrella registration	n, identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that sponsor(s) or manage(s) this <i>private fund</i> : No Information Filed
(e)	The <i>private fund</i> (check all that	apply; you must check at least one):
	1940	on from the definition of investment company under section 3(c)(1) of the Investment Company Act of
	<ul><li>(2) qualifies for the exclusi</li><li>1940</li></ul>	on from the definition of investment company under section 3(c)(7) of the Investment Company Act of
(f)	List the name and country, in I	English, of each foreign financial regulatory authority with which the private fund is registered.
		me of Foreign Financial Regulatory Authority
	Bermuda - Bermuda Monetary	Authority

NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.

Yes No

 $\odot$ 

# 8. (a) Is this *private fund* a "fund of funds"?

NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also *private funds* or registered investment companies.

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

	Yes	No
9. During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	©	0
10. What type of fund is the private fund?		
Iquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private equity fund O real estate fund O securitized asset fund O venture capital fund O other private equity fund O real estate fund O securitized asset fund O venture capital fund O other private equity fund O real estate fund O securitized asset fund O venture capital fund O other private equity fund O real estate fund O securitized asset fund O venture capital fund O other private equity fun	ate fu	nd:
NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11. Current gross asset value of the <i>private fund</i> : \$ 23,802,529,131		
Ownership		
<ul><li>12. Minimum investment commitment required of an investor in the <i>private fund</i>:</li><li>\$ 5,000,000</li></ul>		
NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund).	ne	
<ul><li>13. Approximate number of the <i>private fund's</i> beneficial owners:</li><li>801</li></ul>		
<ol> <li>What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i>:</li> <li>1%</li> </ol>		
<ul> <li>15. (a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:</li> <li>4%</li> </ul>		
(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	Yes O	No O
<ol> <li>What is the approximate percentage of the <i>private fund</i> beneficially owned by non-United States persons:</li> <li>28%</li> </ol>		
Your Advisory Services		
	Yes	No
17. (a) Are you a subadviser to this private fund?	0	$\odot$
(b) If the answer to question 17.(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17.(a) is "no," leave this question blank.	er to	
No Information Filed		
18. (a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?		No
<ul> <li>(b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i>. If the to question 18.(a) is "no," leave this question blank.</li> </ul>	C e ansv	⊙ ver
No Information Filed		
	Yes	No
19. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	$\odot$
NOTE: For purposes of this question, do not consider feeder funds of the private fund.		
<ol> <li>Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i>?</li> <li>27%</li> </ol>		
Private Offering	Vac	No
21. Has the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	©	0
22. If yes, provide the <i>private fund's</i> Form D file number (if any):		
Form D file number       021-79077		

<ul> <li>23. (a) (1) Are the private fund's financial statements subject to an annual audit?</li> <li>(2) If the answer to question 23. (a)(1) is "yes," are the financial statements propared in accordance with U.S. GAAP?</li> <li>(3) (1) Are the private fund's subject to questions (b) through (f) below. If the private fund uses more than one auditing firm subject a subject on each auditing firm.</li> <li>Additional Auditor Information : Record(s) Filed.</li> <li>Additional Auditor Information : Record(s) Filed.</li> <li>If the answer to question 23. (a)(1) is "yes," respond to questions (b) through (f) separately for each auditing firm.</li> <li>(b) Name of the auditing firm: private fund's audit (city, state and country): City: State: Country: NFW YORK New York United States</li> <li>(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country): City: State: Country: NFW YORK New York United States</li> <li>(c) The location of the auditing firm subject to regular inspection Diversight Board?</li> <li>(d) Is the auditing firm registered with the Public Company Accounting Oversight Board?</li> <li>(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?</li> <li>(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</li> <li>(h) Bo all of the reports prepared by the auditing firm for the private fund since your form ADV to update your response when the reports is available opinate is you check. "Report Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the reports private private is available of the private funds in account in unqualified opinate is available of the private fund's in a mendment to your Form ADV to update your response when the reports is available opinate is available.</li> </ul>	02	21-153644		
Auditors       Yes         23. 10 (1) Are the private function interments subject to an annual quality:       (2) If the answer to qualition 23.00(1) is "yes," are the financial stratements presend in accordance with U.S. GAP?       (2)         If the answer to quasition 23.00(1) is "yes," respond to quasitions (b) Hangqi (b) below. If the private fund uses more than one qualities financial stratements presend in accordance with U.S. GAP?       (2)         Additional Auditor Information :: I Record(s) Hield.       If the answer to quasition (2) ((1) is "yes," respond to quasitions (b) Hangqi (b) below. If the private fund uses more than one auditing financial complete quasitions (b) Hangqi (c) separately for scene multiling financial controls.       (2)         (1) In the answer to quasition (2) ((1) is "yes," respond to quasitions (b) Hangqi (c) separately for scene multiling financial controls.       (2)         (2) The boardies of the auditing financial controls (c) ((1) (1)       (1)       (1)       (1)         (2) The boardies of the auditing financial controls (c) (1)       (1)       (1)       (1)         (3) In the auditing financial controls (c)       (1)       (1)       (1)       (1)       (1)         (3) In the private fund auditing financial statements for the private fund scant for (2)       (2)       (2)       (2)         (4) If the reports properiod by the stading financial statements for the private fund scant equipting during	02	21-324864		
23. (a) (b) the the private family financial statements subject to an annual cudi? (c) If the answer to quasilon 23. (q)(1) is "yes," and the financial statements properties in accurations with U.S. 6AAP (c) If the answer to quasilon 23. (q)(1) is "yes," are spont to questions (b) through (b) below, if the private And uses more than one additing the statements in the financial statements (b) through (b) below, if the private And uses more than one additing the statements in the activity of second culture private and uses more than one additing the statements to questions (c) through (b) below, if the private And uses more than one additing the statements (c) through (c) below, if the private fund uses more than one additing the maximum complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete questions (c) through (f) separately for each additing them, you must complete question (c) through (f) separately for each additing them, you must complete question (c) through (f) separately for each additing them, you must complete question (c) through (f) separately for each additing them they will be addition them they follower the private fund was more than one addition the private fund was addition of the addition through the register dual the private fund was more them additing them register fund was private fund was addition of the addition through the register dual that the register dual through the private fund was addition of the addition through the private fund was addition to the addition through the private fund was additing them through addition to addition through the private fund was ad	B. SERV	ICE PROVIDERS		
<ul> <li>21. (a) (1) Are the private bard's financial statements subject to an annual audi?</li> <li>(b) (1) Are the private bard's bard's financial statements subject to an annual audi?</li> <li>(c) If the answer to question 23. (a) (1) is "yes," are the thrancial statements prepared in accordance with U.S. GAM?</li> <li>(c) If the answer to question 23. (a) (1) is "yes," response to questions (b) through (c) below. If the private fund uses more than one auditing the year must complete questions (b) through (c) separately for each auditing time.</li> <li>Additional Auditor Information : 1 Record(c) Field.</li> <li>(c) Are the private fund the auditing time.</li> <li>(d) Are the auditor three must be private fund to questions (b) through (c) below. If the private fund uses more than one auditing time.</li> <li>(e) An an of the auditing time.</li> <li>(f) The branker of the auditing time.</li> <li>(g) The branker of the auditing time.</li> <li>(h) Are the three private fund to the statistics (b) through (c) separately for each auditing time.</li> <li>(f) The branker of the auditing time.</li> <li>(g) The branker of the auditing time.</li> <li>(h) Are the private fund to according the private fund to according time.</li> <li>(g) The branker of the auditing time.</li> <li>(h) Are the private fund to according the private fund to according the private fund to according the the private fund to according the the private fund to according the three transmitters and the according the according to according to according to according to according to according the according the three transmitters according to according the according to acco</li></ul>	<u>Audito</u>	rs		
<ul> <li>(2) If the unsert to question 23. (a)(1) is 'yes,'' respond to questions (b) through (b) below. If the prover fund uses more than one auditing the yeu must complete question 23. (a)(1) is 'yes,'' respond to questions (b) through (b) below. If the prover fund uses more than one auditing through (b) second (c) through (c) through (c) second (c) through (c)</li></ul>	23 (a	(1) Are the private fund's financial statements subject to an annual audit?		es No
If the answer to question 23 (a) (1) is "yes," respond to questions (a) through (b) below. If the private fand uses more than one auditing firm year must complete questions (a) through (b) securately for each auditing firm. Additional Auditor Information : 1 Record(s) Filed. If the answer to question 23 (a) (1) is "yes," respond to questions (b) through (b) below. If the private fand uses more than one auditing firm. Particip Matrix Products complete questions (b) through (c) securately for each auditing firm. Particip Matrix Products complete questions (b) through (c) securately for each auditing firm. Particip Matrix Products complete questions (b) through (c) securately for each auditing firm. Particip Matrix Products complete questions (b) through (c) securately for each auditing firm. Particip Matrix Products complete questions (b) through (c) securately for each auditing firm. Particip Matrix Products complete questions (c) through (c) securately for each auditing firm. Particip Matrix Products complete questions (c) through (c) securately for each auditing firm. Particip Matrix Products auditing firm with the Public Company Accounting Oversight Board? (c) If "yes, "to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in a measure for the most recently completed fiscal year distributed to the private fands audited financial statements for the private fands is description and unquilited apprivate fords' audited financial statements for the private fands is description and the question (b) through (c) separately for each prime broker to and the private fand is question (b) through (c) below for each prime broker contain unquilited apprivate fords' granted from the private fands is advected from the private fund (c) separately file auditing from the the private fands is description to decers? (a) Acce the private fund is cone or more prime brokers? (b) Do	20. (a <sub>.</sub>		_	
If the answer to quosition 23 (a)(1) is "yes," respond to quositions (b) through (b) below. If the private iterate iteratives more than one auditing firm: you must complete quastions (b) through (c) separately for each auditing firm. (a) Name of the auditing firm: PRICEWATERHOUSECOOPERS LLP (c) The location of the auditing firm: an independent public responsible for the private fund's audit (dity, state and country). City State. Country: New York United States (d) To the auditing firm: an independent public accountant? (e) Is the auditing firm: an independent public accountant? (e) Is the auditing firm: registered with the Public Company Accounting Oversight Board? (f) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) Is the auditing firm an independent public accountant? (g) If "yes," to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accounting Oversight Board in accounting Oversight Board in a countance with its rules? (g) Do all of the reports prepared by the auditing firm for the private fund since your lest annual optistic gramewhere fund's investors? (g) The private fund use one or more prime brokers? (g) The answer to question 24.(g) is "yes," respond to questions (b) through (c) below for each prime broker. If the private fund uses. If the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the order to operate of prime broker. (g) If the answer to question 24.(g) is "yes," respond to questions (b) through (c) below for each prime broker. (g) If the answer to question		If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the private fund uses more than one audi		
auditing firm, you must complete questions (b) through (f) separately for each auditing firm.  PRICEWATERHOUSECOOPERS LLP  (c) The location of the auditing firm:  PRICEWATERHOUSECOOPERS LLP  (c) The location of the auditing firm: spinore function expossible for the private fund's audit (city, state and country);  City State: Country: New York United States  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: neglected with the Public Company Accounting Oversight Board?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public for accountant?  (c) Is the auditing firm: an independent public accountant?  (c) Is the auditing firm: an independent public accountant?  (c) If yes, * D(c) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board  (c) Is a dependent exposers property prepared by the auditing firm subject fund since your last anonual updating anneother fund's account in the reports prepared by the auditing firm to the private fund since your last anousi updating anneother to apprive fund's account in the reports?  (c) Audit Company Not Yet Received  (c) Yes C No C Report Not Yet Received  (c) Audit Company Not Yet Received  (c) Is the answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker.  Additional Prime Broker Information: 5 Record(S Filed.  (c) Name of the prime broker: BACLAYS CA		Additional Auditor Information : 1 Record(s) Filed.		
PRICEWATERHOUSECOOPERS LIP  (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (sity, state and country): City: NEW YORK New York Country NEW YORK New York United States  (c) Is the auditing firm an <i>independent public accountant?</i> (c) Is the auditing firm registered with the Public Company Accounting Oversight Board?  (c) Is the auditing firm registered with the Public Company Accounting Oversight Board?  (c) Is the auditing firm registered with the Public Company Accounting Oversight Board?  (c) Is the auditing firm registered with the Public Company Accounting Oversight Board?  (c) Is the auditing firm registered with the Public Company Accounting Oversight Board?  (c) It 'yes' to (c) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board is accordance with its rules?  (d) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> (d) Are the <i>private fund's</i> audited financial statements for the <i>private fund since</i> your lisst <i>unnust apathing unrendment</i> contain angualified opinic Rives ON O Report Not Yet Received <i>Hyou check</i> 'Report Not Yet Received,' you must promyty file an amendment to your form ADV to update your response when the report is avained fund uses one on more prime broker, you must complete questions (b) through (c) below for each prime broker. If the answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker. The <i>private fund</i> uses. If the private fund uses one or more prime broker, you must complete questions (b) through (c) separately for each prime broker.  (d) Nore of the private fund uses one or more prime broker, you must complete questions (b) through (c) separately for each prime broker.  (e) Nume of the private fund uses one or more prime broker, you must complete questions (b) through (c) separately for each prime broker.  (f) He private fund uses more than one prime br				
City:       State:       Country:         New York       New York       United States         (d) Is the auditing firm negistered with the Public Company Accounting Oversight Board?       (e)         (e) Is the auditing firm registered with the Public Company Accounting Oversight Board?       (f)         (f) If 'yes' to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?       (g)         (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?       (g)         (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinic @ Yos O ho O Report Not Yet Received.       (g)         Prime Broker       You check 'Report Not Yet Received.       You uses one or more prime broker?         (e)       16 the answer to question 24 (a) is 'yes,' respond to questions (b) through (c) below for each prime broker. the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (c) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (c) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker.         (h) Name of the prime broker.       (h) Name of the prime broker.       (h) Name of the prime broker.				
NEW YORK       New York       United States         (d)       Is the auditing firm an independent public accountant?       C         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?       C         (e)       Is the auditing firm registered with the Public Company Accounting Oversight Board?       C         (f)       yes, Public Company Accounting Oversight Board-Assigned Number:       238         (f)       If "yes" to (c) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?       C         (g)       Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?       C         (g)       Are the private fund's audited financial statements for the private fund since your last annual updating amendment contain unqualified opinic © Yes, O No O Report Nat Yet Received       Yet accordance with Nat Yet Received         (f)       you check "Report Nat Yet Received       Yet accordance in the private fund use one or more prime brokers?       Yet         24. (a)       Does the private fund use one or more prime brokers?       Yet       Yet         24. (b)       Does the private fund uses one runore prime broker.       Yet and yet in the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker.       Yet				
<ul> <li>(d) Is the audiling firm an <i>independent public accountant?</i></li> <li>(e) Is the audiling firm registered with the Public Company Accounting Oversight Board?</li> <li>(f) Is the audiling firm registered with the Public Company Accounting Oversight Board?</li> <li>(f) If "yes, Public Company Accounting Oversight Board-Assigned Number: 238</li> <li>(f) If "yes, Public Company Accounting Oversight Board-Assigned Number: 238</li> <li>(g) If "yes, "to (s) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</li> <li>(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?</li> <li>(g) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> investors?</li> <li>(g) Are the <i>private fund's</i> audited financial statements for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified opinic © Yes © No © Ropert Not Yet Received." you must promptly file an amendment to your Form ADV to update your response when the report is avait <i>Prime Broker</i></li> <li>24 (a) Does the <i>private fund</i> use one or more prime brokers?</li> <li>(f) The answer to question 24. (a) is "yes," respond to questions (b) through (c) separately for each prime broker. He <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker.</li> <li>(g) Name of the prime broker: BARCLAYS CAPITAL INC.</li> <li>(g) Name of the prime broker is registered with the SEC, its registration number:</li> </ul>				
<ul> <li>(c) Is the auditing firm registered with the Public Company Accounting Oversight Board?</li> <li>(c) Is the auditing firm registered with the Public Company Accounting Oversight Board-Assigned Number: 238</li> <li>(d) If "yes", Public Company Accounting Oversight Board-Assigned Number: 238</li> <li>(e) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</li> <li>(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?</li> <li>(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinic © Yes C No C Report Not Yet Received It you check "Report Not Yet Received" you must promptly file an amendment to your Farm ADV to update your response when the report is available broker</li> <li>24. (a) Does the private fund use one or more prime brokers?</li> <li>(c) The answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker. In the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (c) below for each prime broker.</li> <li>(d) Mane of the private fund uses mere than one prime broker, you must complete questions (b) through (c) separately for each prime broker.</li> <li>(b) Name of the prime broker: BARCLAYS CAPITAL INC.</li> <li>(c) If the prime broker is registered with the SFC, its registration number:</li> </ul>			Yes	No
If yes, Public Company Accounting Oversight Board-Assigned Number: 238 (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? (g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors? (h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinie © Yes © No © Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is ava Prime Broker 24. (a) Does the private fund use one or more prime brokers? If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker. If the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker; you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: pARCLAYS CAPITAL INC. (c) If the prime broker is registered with the SEC, its registration number:		(d) Is the auditing firm an <i>independent public accountant</i> ?	$\odot$	0
<ul> <li>238</li> <li>(f) If "yes" to (c) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?</li> <li>(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?</li> <li>(h) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinic © Yes O No O Report Not Yet Received.</li> <li>If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is avain the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker.</li> <li>Additional Prime Broker Information : 6 Record(s) Filed.</li> <li>If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>Additional Prime Broker Information : 6 Record(s) Filed.</li> <li>If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>(c) Name of the prime broker: BARCLAYS CAPITAL INC.</li> <li>(c) If the prime broker is registered with the SEC, its registration number:</li> </ul>		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	o	0
accordance with its rules?  (a) Are the <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> (b) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified opinio (a) Yes: O No O Report Not Yet Received  If you check "Report Not Yet Received."  24. (a) Does the <i>private fund</i> use one or more prime brokers?  If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker.  Additional Prime Broker Information : 6 Record(s) Filed.  If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker.  Additional Prime Broker Information : 6 Record(s) Filed.  If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker.  (b) Name of the prime broker:  (c) Name of the prime broker:  (b) Name of the prime broker:  (c) If the prime broker is registered with the SEC, its registration number:				
<ul> <li>(a) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?</li> <li>(b) Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinio</li> <li>(c) Yes</li> <li>(d) No</li> <li>(e) Yes</li> <li>(f) No</li> <li>(f) Report Not Yet Received</li> <li>(f) you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.</li> <li>(f) Does the private fund use one or more prime brokers?</li> <li>(g) Does the private fund use one or more prime brokers?</li> <li>(g) Additional Prime Broker Information : 6 Record(s) Filed.</li> <li>(g) If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker. the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>(g) Name of the prime broker:</li> <li>(h) Do Name of the prime broker:</li> <li>(h) Received with the SEC, its registration number:</li> </ul>			o	0
<ul> <li>investors?</li> <li>(h) Do all of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified opinic</li> <li>© Yes</li> <li>O No</li> <li>O Report Not Yet Received</li> <li>If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is ava</li> </ul> Prime Broker Yet 24. (a) Does the <i>private fund</i> use one or more prime brokers? If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker. Additional Prime Broker Information : 6 Record(s) Filed. If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker. Additional Prime Broker Information : 6 Record(s) Filed. If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BARCLAYS CAPITAL INC. (c) If the prime broker is registered with the SEC, its registration number:			Ye	es No
• Yes O No O Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available. Prime Broker • Yee 24. (a) Does the private fund use one or more prime brokers? • If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Additional Prime Broker Information : 6 Record(s) Filed. If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BARCLAYS CAPITAL INC. (c) If the prime broker is registered with the SEC, its registration number:	(g)		6	0
If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.  Prime Broker  24. (a) Does the private fund use one or more prime brokers?  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  Additional Prime Broker Information : 6 Record(s) Filed.  If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.  (b) Name of the prime broker: BARCLAYS CAPITAL INC.  (c) If the prime broker is registered with the SEC, its registration number:	(h)		opinio	ns?
Prime Broker         24. (a) Does the private fund use one or more prime brokers?         If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.         Additional Prime Broker Information : 6 Record(s) Filed.         If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.         (b) Name of the prime broker: BARCLAYS CAPITAL INC.         (c) If the prime broker is registered with the SEC, its registration number:		• Yes • No • Report Not Yet Received		
24. (a) Does the private fund use one or more prime brokers?       (a)         24. (a) Does the private fund use one or more prime brokers?       (b)         If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker.       (c)         Additional Prime Broker Information : 6 Record(s) Filed.       (c)         If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.         (b)       Name of the prime broker: BARCLAYS CAPITAL INC.         (c)       If the prime broker is registered with the SEC, its registration number:		If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	' is ava	ilable.
<ul> <li>24. (a) Does the <i>private fund</i> use one or more prime brokers?</li> <li>If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>Additional Prime Broker Information : 6 Record(s) Filed.</li> <li>If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>(b) Name of the prime broker: BARCLAYS CAPITAL INC.</li> <li>(c) If the prime broker is registered with the SEC, its registration number:</li> </ul>	<u>Prime</u>	Broker		
If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.          Additional Prime Broker Information : 6 Record(s) Filed.         If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.         (b) Name of the prime broker:         BARCLAYS CAPITAL INC.         (c) If the prime broker is registered with the SEC, its registration number:	$\mathcal{O}(\mathbf{A})$	Dess the private fund use and an more prime brakers?		es No
If the answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BARCLAYS CAPITAL INC. (c) If the prime broker is registered with the SEC, its registration number:	24. (a <sub>.</sub>	If the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If	~	~ ~
<ul> <li>private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.</li> <li>(b) Name of the prime broker: BARCLAYS CAPITAL INC.</li> <li>(c) If the prime broker is registered with the SEC, its registration number:</li> </ul>				
BARCLAYS CAPITAL INC. (c) If the prime broker is registered with the SEC, its registration number:			If the	
CRD Number (if any): 19714				

	City:		Country:	
	NEW YORK	State: New York	United States	
(a)	Daas this prime broker ast	a austadian far sama ar all of the	nriveta fundia accata?	Yes No
e)		as custodian for some or all of the		• • •
ftł	e answer to question 24.(a	a) is "yes," respond to questions (b)	through (e) below for each prime broker the <i>private f</i>	<i>fund</i> uses. If the
oriv	<i>ate fund</i> uses more than on	e prime broker, you must complete	questions (b) through (e) separately for each prime be	roker.
	Name of the prime broker: BNP PARIBAS SECURITIES			
	If the prime broker is regis 8 - 32682	stered with the SEC, its registration	number:	
	CRD Number (if any): 15794			
(d)	Location of prime broker's	office used principally by the private	fund (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
			officer states	Yes No
(e)	Does this prime broker act	as custodian for some or all of the	orivate fund's assets?	• •
• •	Name of the prime broker: BOFA SECURITIES, INC.			
	8 - 69787	stered with the SEC, its registration	number:	
		stered with the SEC, its registration	number:	
	8 - 69787 CRD Number (if any): 283942	stered with the SEC, its registration office used principally by the <i>private</i>		
(d)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City:	office used principally by the <i>private</i> State:	<i>fund</i> (city, state and country): Country:	
(d)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's	office used principally by the <i>private</i>	<i>fund</i> (city, state and country):	Yes No
(d)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK	office used principally by the <i>private</i> State:	<i>fund</i> (city, state and country): Country: United States	
(d)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK	office used principally by the <i>private</i> State: New York	<i>fund</i> (city, state and country): Country: United States	
(d) (e)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b)	<i>fund</i> (city, state and country): Country: United States	€ C fund uses. If the
(d) (e) If th poriv.	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) be prime broker, you must complete	<i>fund</i> (city, state and country): Country: United States <i>private fund's</i> assets? through (e) below for each prime broker the <i>private f</i>	€ C fund uses. If the
(d) (e) If th <i>priv.</i> (b) (c)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act e answer to question 24. (a <i>ate fund</i> uses more than on Name of the prime broker: GOLDMAN SACHS & CO. LL	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) be prime broker, you must complete	fund (city, state and country): Country: United States orivate fund's assets? through (e) below for each prime broker the private f questions (b) through (e) separately for each prime br	fund uses. If the
(d) (e) f th <i>priv.</i> (b)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act e answer to question 24.(a the fund uses more than on Name of the prime broker: GOLDMAN SACHS & CO. LL If the prime broker is regis	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) he prime broker, you must complete	fund (city, state and country): Country: United States orivate fund's assets? through (e) below for each prime broker the private f questions (b) through (e) separately for each prime br	€ C fund uses. If the
(d) (e) If th <i>priv.</i> (b) (c)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act e answer to question 24. (a ate fund uses more than on Name of the prime broker: GOLDMAN SACHS & CO. LL If the prime broker is regis 8 - 129 CRD Number (if any): 361 Location of prime broker's	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) be prime broker, you must complete C stered with the SEC, its registration	fund (city, state and country): Country: United States orivate fund's assets? through (e) below for each prime broker the private f questions (b) through (e) separately for each prime br number:	fund uses. If the
(d) (e) If th oriv. (b) (c)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act e answer to question 24. (a the fund uses more than on Name of the prime broker: GOLDMAN SACHS & CO. LL If the prime broker is regis 8 - 129 CRD Number (if any): 361 Location of prime broker's City:	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) he prime broker, you must complete C	fund (city, state and country): Country: United States private fund's assets? through (e) below for each prime broker the private f questions (b) through (e) separately for each prime br number:	€ C fund uses. If the
(d) (e) If th oriv. (b) (c)	8 - 69787 CRD Number (if any): 283942 Location of prime broker's City: NEW YORK Does this prime broker act e answer to question 24. (a ate fund uses more than on Name of the prime broker: GOLDMAN SACHS & CO. LL If the prime broker is regis 8 - 129 CRD Number (if any): 361 Location of prime broker's	office used principally by the <i>private</i> State: New York as custodian for some or all of the a) is "yes," respond to questions (b) he prime broker, you must complete C. stered with the SEC, its registration office used principally by the <i>private</i> State:	fund (city, state and country):         Country:         United States         orivate fund's assets?         through (e) below for each prime broker the private f         questions (b) through (e) separately for each prime broker         number:         fund (city, state and country):         Country:	fund uses. If the

	the prime broker:			
J.P. MOR	GAN SECURITIES LLC			
(c) If the pri	ime broker is registere	ed with the SEC, its registration	number:	
8 - 3500				
79	nber (if any):			
(d) Location	of prime broker's offic	ce used principally by the <i>privat</i>	<i>e fund</i> (city, state and country):	
City:		State:	Country:	
NEW YOF	RK	New York	United States	Y
(e) Does this	s prime broker act as	custodian for some or all of the	private fund's assets?	G
private fund u	uses more than one pr		b) through (e) below for each prime broker the <i>pri</i> e questions (b) through (e) separately for each pr	
	the prime broker: I STANLEY & CO. LLC			
	_	ed with the SEC, its registration	number:	
8 - 1586				
8209	nber (if any):			
	of prime broker's offic	1 1 3 3 1	e fund (city, state and country):	
City: NEW YOF	RK	State: New York	Country: United States	
				Y
(a) Daga thi	o primo prokor opt op	avetadian far campa ar all of the	private fundie eccete?	
(e) Does this	s prime broker act as	custodian for some or all of the	private fund's assets?	6
	s prime broker act as	custodian for some or all of the	private fund's assets?	
an			·	
an Does the <i>priva</i>	<i>te fund</i> use any custoc	lians (including the prime broke	ers listed above) to hold some or all of its assets?	
an Does the <i>priva</i> If the answer t	<i>te fund</i> use any custoc o question 25.(a) is "	lians (including the prime broke yes," respond to questions (b)	·	
an Does the <i>priva</i> If the answer t <i>fund</i> uses more	<i>te fund</i> use any custoc o question 25.(a) is "	lians (including the prime broke yes," respond to questions (b) you must complete questions (	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> .	
an Does the <i>priva</i> If the answer t <i>fund</i> uses more Additional Cu	<i>te fund</i> use any custor to question 25.(a) is " than one custodian, <b>stodian Information</b> r to question 25.(a) is	dians (including the prime broke yes," respond to questions (b) you must complete questions ( : <b>2 Record(s) Filed</b> .	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> .	<i>fund</i> uses. If the <i>pri</i>
an Does the <i>priva</i> If the answer t <i>fund</i> uses more Additional Cu If the answer <i>fund</i> uses more (b) Legal na	<i>te fund</i> use any custor to question 25.(a) is " than one custodian, <b>stodian Information</b> r to question 25.(a) is	dians (including the prime broke yes," respond to questions (b) you must complete questions ( : <b>2 Record(s) Filed</b> .	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> (b) through (g) separately for each custodian.	<i>fund</i> uses. If the <i>pri</i>
an Does the priva If the answer t fund uses more Additional Cu If the answer fund uses more (b) Legal na JPMORGA (c) Primary	<i>te fund</i> use any custoc to question 25.(a) is " than one custodian, <b>stodian Information</b> r to question 25.(a) is pre than one custodian me of custodian:	lians (including the prime broke yes," respond to questions (b) you must complete questions ( <b>: 2 Record(s) Filed.</b> s "yes," respond to questions (to n, you must complete questions	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> (b) through (g) separately for each custodian.	<i>fund</i> uses. If the <i>pri</i>
an Does the priva If the answer t fund uses more Additional Cu If the answer fund uses more (b) Legal na JPMORGA (c) Primary JPMORGA (d) The loca	<i>te fund</i> use any custor to question 25. (a) is " than one custodian, <b>stodian Information</b> r to question 25. (a) is ore than one custodian me of custodian: AN CHASE BANK, NA business name of cust AN CHASE BANK, NA	dians (including the prime broke yes," respond to questions (b) you must complete questions ( <b>: 2 Record(s) Filed.</b> s "yes," respond to questions (k n, you must complete questions todian:	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> (b) through (g) separately for each custodian.	<i>fund</i> uses. If the <i>pri</i>
an Does the <i>priva</i> If the answer t <i>fund</i> uses more Additional Cu If the answer <i>fund</i> uses more (b) Legal na JPMORGA (c) Primary JPMORGA	<i>te fund</i> use any custor to question 25. (a) is " than one custodian, <b>stodian Information</b> r to question 25. (a) is ore than one custodian me of custodian: AN CHASE BANK, NA business name of cust AN CHASE BANK, NA tion of the custodian's	lians (including the prime broke yes," respond to questions (b) you must complete questions ( <b>: 2 Record(s) Filed</b> . s "yes," respond to questions (k n, you must complete questions	ers listed above) to hold some or all of its assets? through (g) below for each custodian the <i>private</i> (b) through (g) separately for each custodian.	<i>fund</i> uses. If the <i>pri</i>

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):

(g) If the custodian is not a <i>identifier</i> (if any) 7H6GLXDRUGQFU57RNE		does not have an SEC registration number, provide it	ts <i>legal entit</i> y
If the answer to question 25	.(a) is "yes," respond to questions (b) th	rough g) below for each custodian the <i>private fund</i> u	ses. If the p
		through (g) separately for each custodian.	
(b) Legal name of custodian WELLS FARGO BANK, N.A			
(c) Primary business name o WELLS FARGO BANK, N.A			
(d) The location of the custo	odian's office responsible for <i>custody</i> of th	e private fund's assets (city, state and country):	
City: SIOUX FALLS	State: South Dakota	Country: United States	
			Y
(e) Is the custodian a relate	d person of your firm?		Ċ
(f) If the custodian is a brok	ker-dealer, provide its SEC registration nu	ımber (if any):	
-			
CRD Number (if any):			
(g) If the custodian is not a <i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC		does not have an SEC registration number, provide it	ts legal entity
identifier (if any) KB1H1DSPRFMYMCUFXTC		does not have an SEC registration number, provide it	ts legal entity
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC	)9	does not have an SEC registration number, provide it	ts legal entity
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC rator Does the <i>private fund</i> use an ad	09 dministrator other than your firm?	ugh (f) below. If the <i>private fund</i> uses more than one	
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC Trator Does the <i>private fund</i> use an ad If the answer to question 26.(a must complete questions (b) th	)9 dministrator other than your firm? a) is "yes," respond to questions (b) thro nrough (f) separately for each administra	ugh (f) below. If the <i>private fund</i> uses more than one	
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC Trator Does the <i>private fund</i> use an ad If the answer to question 26.(a must complete questions (b) th Additional Administrator Info	dministrator other than your firm? a) is "yes," respond to questions (b) thro nrough (f) separately for each administra prmation : 1 Record(s) Filed.	ugh (f) below. If the <i>private fund</i> uses more than one tor.	e administrat
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC Trator Does the <i>private fund</i> use an ad If the answer to question 26.(a must complete questions (b) th Additional Administrator Info	dministrator other than your firm? a) is "yes," respond to questions (b) thro hrough (f) separately for each administra <b>formation : 1 Record(s) Filed.</b> . (a) is "yes," respond to questions (b) th aplete questions (b) through (f) separately	ugh (f) below. If the <i>private fund</i> uses more than one tor.	e administrat
<i>identifier</i> (if any) KB1H1DSPRFMYMCUFXTC Trator Does the <i>private fund</i> use an ad If the answer to question 26. (a must complete questions (b) th Additional Administrator Info If the answer to question 26 administrator, you must com (b) Name of administrator:	dministrator other than your firm? a) is "yes," respond to questions (b) thro hrough (f) separately for each administra <b>formation : 1 Record(s) Filed.</b> . (a) is "yes," respond to questions (b) the hiplete questions (b) through (f) separately . MELLON	ugh (f) below. If the <i>private fund</i> uses more than one tor.	e administrat
identifier (if any) KB1H1DSPRFMYMCUFXTC Trator Does the private fund use an ad If the answer to question 26. (a must complete questions (b) th Additional Administrator Info If the answer to question 26 administrator, you must com (b) Name of administrator: THE BANK OF NEW YORK (c) Location of administrator City:	dministrator other than your firm? a) is "yes," respond to questions (b) thro nrough (f) separately for each administra <b>formation : 1 Record(s) Filed.</b> . (a) is "yes," respond to questions (b) the plete questions (b) through (f) separately . MELLON . (city, state and country): State:	ugh (f) below. If the <i>private fund</i> uses more than one tor. rough (f) below. If the <i>private fund</i> uses more than o y for each administrator.	e administrat
identifier (if any) KB1H1DSPRFMYMCUFXTO Trator Does the <i>private fund</i> use an ad If the answer to question 26. (a must complete questions (b) th Additional Administrator Info If the answer to question 26 administrator, you must com (b) Name of administrator: THE BANK OF NEW YORK (c) Location of administrator	29 dministrator other than your firm? a) is "yes," respond to questions (b) thro nrough (f) separately for each administra <b>prmation : 1 Record(s) Filed.</b> . (a) is "yes," respond to questions (b) th plete questions (b) through (f) separatel MELLON	ugh (f) below. If the <i>private fund</i> uses more than one tor.	e administrat
identifier (if any) KB1H1DSPRFMYMCUFXTC Trator Does the private fund use an ad If the answer to question 26. (a must complete questions (b) th Additional Administrator Info If the answer to question 26 administrator, you must com (b) Name of administrator: THE BANK OF NEW YORK (c) Location of administrator City:	29 dministrator other than your firm? a) is "yes," respond to questions (b) thro nrough (f) separately for each administra <b>ormation : 1 Record(s) Filed.</b> . (a) is "yes," respond to questions (b) th plete questions (b) through (f) separately . MELLON . (city, state and country): State: New York	ugh (f) below. If the <i>private fund</i> uses more than one tor. rough (f) below. If the <i>private fund</i> uses more than o y for each administrator.	e administrat

27.	During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not
	your related person?
	99%

Include only those assets where (i) such *person* carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such *person*.

# Marketers

20	(-)					£						
28.	(a)	Does the	private tunc	use the	services o	r someone	other than	you or y	our <i>emp</i>	<i>loyees</i> for	marketing	purposes?

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

Yes No

# Additional Marketer Information : 1 Record(s) Filed.

You must answer "yes" whether the *person* acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar *person*. If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the *private fund* uses. If the *private fund* uses more than one marketer, you must complete questions (b) through (g) separately for each marketer.

			Yes No
(b) Is the marketer a relat	ed person of your firm?		• •
(c) Name of the marketer: RENAISSANCE INSTITU	TIONAL MANAGEMENT LLC		
(d) If the marketer is regis	tered with the SEC, its file number ( <i>e.g</i>	g., 801-, 8-, or 866-):	
8 - 66971			
and CRD Number (if an 136113	<i>y</i> ):		
(e) Location of the market	er's office used principally by the privat	te fund (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(f) Does the marketer ma	rket the <i>private fund</i> through one or mo	ore websites?	00
(g) If the answer to quest	on 28.(f) is "yes," list the website add	ress(es):	
	No I	nformation Filed	
	Funds per Page:	15 💌 Total Funds: 8	

SECTION 7.B.(2) Private Fund Reporting

No Information Filed

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

In this Item, we request information about your participation and interest in your *clients*' transactions. This information identifies additional areas in which conflicts of interest may occur between you and your *clients*. Newly-formed advisers should base responses to these questions on the types of participation and interest that you expect to engage in during the next year.

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

# Proprietary Interest in Client Transactions A. Do you or any related person: (1) buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)? 0 (2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients? 0 (3) recommend securities (or other investment products) to advisory clients in which you or any related person has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))? 0

Sal	les Interest in Client Transactions		
B.	Do you or any <i>related person</i> :	Yes	s No
	(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)?	0	o
	(2) recommend to advisory <i>clients</i> , or act as a purchaser representative for advisory <i>clients</i> with respect to, the purchase of securities for which you or any <i>related person</i> serves as underwriter or general or managing partner?	o	0
	(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)?	י <b>ס</b>	o
Inv	vestment or Brokerage Discretion		
C.	Do you or any related person have discretionary authority to determine the:	Yes	s No
	(1) securities to be bought or sold for a <i>client's</i> account?	$\odot$	0
	(2) amount of securities to be bought or sold for a <i>client's</i> account?	$\odot$	0
	(3) broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account?	$\odot$	0
	(4) commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	$\odot$	0
D.	If you answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	0	o
E.	Do you or any related person recommend brokers or dealers to clients?	0	$\odot$
F.	If you answer "yes" to E. above, are any of the brokers or dealers related persons?	0	0
G.	(1) Do you or any related person receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	0	o
	(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	er O	0
H.	(1) Do you or any related person, directly or indirectly, compensate any person that is not an employee for client referrals?	0	o
	(2) Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?	0	0
Ι.	Do you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related person) and the related between the person of the person	ed 👩	•

In your response to Item 8.1., do not include the regular salary you pay to an employee.

In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or received from (in answering Item 8.I.) 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

person) for client referrals?

In this Item, we ask you whether you or a *related person* has *custody* of *client* (other than *clients* that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.

А.	(1)	Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	No
		(a) cash or bank accounts?	$\odot$	0
		(b) securities?	$\odot$	0

If you are registering or registered with the SEC, answer "No" to Item 9.A. (1)(a) and (b) if you have custody solely because (i) you deduct your advisory fees directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.

(2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of *client* funds and securities and total number of *clients* for which you have *custody*:

U.S. Dollar Amount	Total Number of Clients
(a) \$ 85,472,006,789	(b) 14

If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to 1tem 9.B.(2).

B. (1) In connection with advisory services you provide to *clients*, do any of your *related persons* have *custody* of any of your advisory *clients*': Yes No

 $\odot$ 

 $\odot$ 

О

 $\circ$ 

- (a) cash or bank accounts?
- (b) securities?

You are required to answer this item regardless of how you answered Item 9.A. (1)(a) or (b).

(2) If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of *client* funds and securities and total number of *clients* for which your related persons have custody:

U.S. Dollar Amount	Total Number of Clients
(a) \$ 1,273,851,810	(b) 1

- C. If you or your related persons have custody of client funds or securities in connection with advisory services you provide to clients, check all the following that apply:
  - Γ (1) A qualified custodian(s) sends account statements at least quarterly to the investors in the pooled investment vehicle(s) you manage.

(2)	An independent public accountant audits annually the pooled investment vehicle(s) that you manage and the audited financial statements	V
	are distributed to the investors in the pools.	
(3)	An independent public accountant conducts an annual surprise examination of client funds and securities	

- (3) An independent public accountant conducts an annual surprise examination of *client* funds and securities.
- (4) An independent public accountant prepares an internal control report with respect to custodial services when you or your related persons are qualified custodians for *client* funds and securities.

If you checked Item 9.C. (2), C. (3) or C. (4), list in Section 9.C. of Schedule D the accountants that are engaged to perform the audit or examination or prepare an internal control report. (If you checked Item 9.C.(2), you do not have to list auditor information in Section 9.C. of Schedule D if you already provided this information with respect to the private funds you advise in Section 7.B.(1) of Schedule D).

D.	Do you or your related person(s) act as qualified custodians for your clients in connection with advisory services you provide to clients?	Yes	No
	(1) you act as a qualified custodian	0	$\odot$
	(2) your <i>related person(s)</i> act as qualified custodian(s)	0	$\odot$

If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in Section 7.A. of Schedule D, regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

- E. If you are filing your annual updating amendment and you were subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date (MM/YYYY) the examination commenced:
- F. If you or your related persons have custody of client funds or securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*? 32

SECTION 9.C. Independent Public Accountant

No Information Filed

Item 10 Control Persons

In this Item, we ask you to identify every person that, directly or indirectly, controls you. If you are filing an umbrella registration, the information in Item 10 should be provided for the *filing adviser* only.

If you are submitting an initial application or report, 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 or report, you must complete Schedule C.

Yes No

 $\odot$ 0

A. Does any person not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, control your management or policies?

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

If any person named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please complete Section 10.B. of Schedule D.

SECTION 10.A. Control Persons

No Information Filed

No Information Filed

#### 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. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the *filing adviser* and all *relying advisers* under an *umbrella registration*.

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 or if you are an exempt reporting adviser, 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.

You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.

		Yes	No
Do	any of the events below involve you or any of your supervised persons?	$\odot$	$\circ$
For	"yes" answers to the following questions, complete a Criminal Action DRP:		
Α.	In the past ten years, have you or any advisory affiliate:	Yes	No
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?	0	$\odot$
	(2) been <i>charged</i> with any <i>felony</i> ?	0	$oldsymbol{\circ}$
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) charges that are currently pending.	to	
B.	In the past ten years, have you or any advisory affiliate:		
	(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?	0	o
	(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	0	$\odot$

If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending.

For	"yes" answers to the following questions, complete a Regulatory Action DRP:		
C.	Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:	Yes	No
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	$\odot$
	(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?	0	$\odot$
	(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	$\odot$
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	0	$\odot$
	(5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?	0	$\odot$
D.	Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:		
	(1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?	0	$\odot$
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	$\odot$	0
	(3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	$\odot$
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	$\odot$	0
	(5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity?	0	$oldsymbol{\circ}$
E.	Has any self-regulatory organization or commodities exchange ever:		
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	$\odot$
	(2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)?	0	$\odot$
	(3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied,	0	$\odot$

	suspended, revoked, or restricted?		
	(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities?	0	o
F.	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended?	0	o
G.	Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?	0	©
For	"yes" answers to the following questions, complete a Civil Judicial Action DRP:		
Η.	(1) Has any domestic or foreign court:	Yes	s No
	(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	$\odot$
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	$\odot$	0
	(c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority?	0	$oldsymbol{\circ}$

(2) Are you or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)? 💿 💿

#### 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 regulatory 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.

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*.

		Yes	No
A.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0	0
lf '	yes," you do not need to answer Items 12.B. and 12.C.		
B.	Do you:		
	(1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0
C.	Are you:		
	(1) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0

# Schedule A

#### **Direct Owners and Executive Officers**

- 1. Complete Schedule A only if you are submitting an initial application or report. 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(Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other 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, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have 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 your 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 have 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	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No. If None: S.S. No. and
Name, First Name, Middle Name)			Acquired MM/YYYY	Code	Person		Date of Birth, IRS Tax No. or
							Employer I D No.
LAUFER, HENRY, BEN	I	DIRECTOR	01/1996	NA	Ν	Ν	1942380
SILBER, MENDEL, MARK	I	DIRECTOR	12/1990	NA	Ν	Ν	1886689
BROWN, PETER, FITZHUGH	I	CHAIRMAN OF THE BOARD, CEO, PRESIDENT	01/2010	NA	Y	N	1478557
SIMONS, NATHANIEL, HENRY	1	DIRECTOR	02/2006	NA	N	Ν	2839036
RENAISSANCE TECHNOLOGIES HOLDINGS CORPORATION	DE	MEMBER	06/2007	E	Y	N	
RTC II HOLDINGS LLC	DE	MEMBER	06/2007	В	N	Ν	
MICHEL, TIFFANY, TAYLOR	I	CHIEF COMPLIANCE OFFICER	01/2020	NA	N	N	2302220
LIPPE, DAVID, ALLEN	I	MANAGEMENT COMMITTEE MEMBER, DIRECTOR	01/2020	NA	Y	N	7219565
SMALL, ANNE, KIMBALL	1	CHIEF LEGAL OFFICER, GENERAL COUNSEL, DIRECTOR	01/2020	NA	N	N	2777858
HUBNER, EDWARD, JAMES	1	HEAD OF RISK CONTROL	01/2020	NA	Y	Ν	4468535
LOURIE, ROBERT, WILLIAM	I	MANAGEMENT COMMITTEE MEMBER, DIRECTOR	08/2022	NA	N	N	7612863
FELCZAK, BRIAN, DOUGLAS	1	CHIEF FINANCIAL OFFICER	08/2022	NA	N	Ν	7612868
Simons, Marilyn, Hawrys	1	DIRECTOR	08/2023	NA	N	N	7794356

#### Schedule B

#### Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application or report. 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, <u>all</u> 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 have 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 are: C 25% but less than 50% E 75% or more
  - D 50% but less than 75% F Other (general partner, trustee, 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:	DE/FE/I	Entity in Which Interest is	Status	Date Status	Ownership	Control	PR	CRD No. If None: S.S. No.
Last Name, First Name, Middle		Owned		Acquired	Code	Person		and Date of Birth, IRS Tax
Name)				ΜΜ/ΥΥΥΥ				No. or Employer I D No.
SIMONS, JAMES, HARRIS	I	RENAISSANCE TECHNOLOGIES HOLDINGS	SHAREHOLDER	01/2021	С	N	Ν	1889149
		CORPORATION						

#### Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

ITEM 7.A.: CERTAIN RELATED PERSONS ARE NOT SET FORTH ON SCHEDULE D, SECTION 7.A. PURSUANT TO THE FORM'S INSTRUCTIONS BUT WILL BE DISCLOSED UPON REQUEST.// ITEM 9: WITH RESPECT TO THE AMOUNT OF CLIENT FUNDS FOR WHICH THE FIRM AND ITS RELATED PERSONS HAVE CUSTODY, THE REPORTED FIGURES REFLECT REGULATORY ASSETS UNDER MANAGEMENT. // SCHEDULE A: PETER BROWN WAS CO-PRESIDENT FROM 2008 THROUGH 2017 AND CO-CEO FROM 2010 THROUGH 2017. EFFECTIVE JANUARY 1, 2018, DR. BROWN BECAME SOLE CEO AND PRESIDENT. EFFECTIVE JANUARY 1, 2021, DR. BROWN BECAME CHAIRMAN OF THE BOARD. // SCHEDULE D, RIEF TRADING LLC: WITH RESPECT TO SECTION 7.B. (1)A.9., RIEF TRADING LLC DOES NOT INVEST IN OPEN-END INVESTMENT COMPANIES. IN ADDITION, WITH RESPECT TO SECTION 7.B. (1)B.28. (F), A PASSWORD-PROTECTED WEBSITE IS AVAILABLE TO ALLOW PREQUALIFIED INDIVIDUALS TO VIEW CERTAIN DOCUMENTS PERTAINING TO THE FUND. // SCHEDULE D, GF TRADING LLC: WITH RESPECT TO SECTION 7.B. (1)A.9., GF TRADING LLC DOES NOT INVEST IN OPEN-END INVESTMENT COMPANIES. IN ADDITION, WITH RESPECT TO SECTION 7.B. (1)A.9., GF TRADING LLC DOES NOT INVEST IN OPEN-END INVESTMENT COMPANIES. IN ADDITION, WITH RESPECT TO SECTION 7.B. (1)A.9., GF TRADING LLC DOES NOT INVEST IN OPEN-END INVESTMENT COMPANIES. IN ADDITION, WITH RESPECT TO SECTION 7.B. (1)B.28. (F), A PASSWORD-PROTECTED WEBSITE IS AVAILABLE TO ALLOW PREQUALIFIED INDIVIDUALS TO VIEW CERTAIN DOCUMENTS PERTAINING TO THE FUND. // SCHEDULE D, MEDALLION ASSOCIATES L.P., MEDALLION FUND L.P., AND MEDALLION USA L.P. (COLLECTIVELY, WITH MEDALLION INTERNATIONAL LTD., WHICH INVESTS THROUGH MEDALLION ASSOCIATES L.P., THE "MEDALLION FEEDER FUNDS"): EACH OF THE MEDALLION FEEDER FUNDS INVESTS IN SECURITIES AND NON-SECURITIES THROUGH TWO MASTER FUNDS. ONE OF THE MASTER FUNDS IS MEDALLION HOLDINGS LLC, WHICH IS REPORTED ON SCHEDULE D SEPARATELY AND ON A DISAGGREGATED BASIS FROM THE MEDALLION FEEDER FUNDS AND WHICH INVESTS IN SECURITIES AND NON-SECURITIES THROUGH SEVERAL WHOLLY OWNED TRADING VEHICLES. THE OTHER MASTER FUND IS NOT A PRIVATE FU

Schedule R					
No Information Filed					
DRP Pages					
CRIMINAL DISCLOS	URE REPORTING PAGE (ADV)				
No Information Filed					
REGULATORY ACTIC	N DISCLOSURE REPORTING	PAGE (ADV)			
		GENERAL INSTRU	CTIONS		
This Disclosure Repor	ting Page (DRP ADV) is an 👩 II	NITIAL OR ⓒ AMENDED respon	se used to report details for aff	irmative responses to Items 11.C., 11.D.,	
11.E., 11.F. or 11.G. (	of Form ADV.				
		Regulatory Ac	tion		
Check item(s) being	responded to:	riogulatory rio			
🗖 11.C(1)	🗖 11.C(2)	🗖 11.C(3)	🗖 11.C(4)	🗖 11.C(5)	
<b>[</b> 11.D(1)	☑ 11.D(2)	🗖 11.D(3)	☑ 11.D(4)	🗖 11.D(5)	
🗖 11.E(1)	🗖 11.E(2)	🗖 11.E(3)	<b>1</b> 1.E(4)		
🗖 11.F.	🗖 11.G.				
with a completed Exe One event may result	ecution Page. t in more than one affirmative a	nswer to Items 11.C., 11.D., 1	1.E., 11.F. or 11.G. Use only one	e <i>person</i> or entity using one DRP. File e DRP to report details related to the	
same event. If an ev	ent gives rise to actions by mor	e than one regulator, provide c	letails for each action on a sepa	rate DRP.	
PART I					

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):
You (the advisory firm)

 ${\displaystyle \bigodot}$  You and one or more of your  ${\it advisory} \ {\it affiliates}$ 

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.

	ADV DRP - A	DVISORY AFFILIATE
	<i>CRD</i> Number:	136113 This <i>advisory affiliate</i> is • a Firm • an Individual
	Registered:	• Yes O No
	Name:	RENAISSANCE INSTITUTIONAL MANAGEMENT LLC
		(For individuals, Last, First, Middle)
	This DRP s	should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviser is d or applying for registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the or <i>advisory affiliate's</i> favor.
	11.D(4), and	egistered or registering with a <i>state securities authority</i> , you may remove a DRP for an event you reported only in response to Item d only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any in Item 11 that occurred more than ten years ago.
	This DRP s circumstar	should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the inces:
B.	-	ry affiliate is registered through the IARD system or <i>CRD</i> system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to <i>CRD</i> for the event? If the answer is "Yes," no other information on this DRP must be provided.
	v res v	
	NOTE: The cc	ompletion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
PART	11	
1.	0 5	ction initiated by: Ither Federal OState OSRO OForeign
	(Full name of	f regulator, foreign financial regulatory authority, federal, state, or SRO)
2.	Principal Sand	ction:
	Other Sanctic	ons:
3.		(MM/DD/YYYY):
		Explanation provide explanation:
4.	Docket/Case	Number:
5.	Advisory Affilia	iate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Prod	duct Type:
	Other Produc	ct Types:
7.	Describe the	allegations related to this regulatory action (your response must fit within the space provided):
8.	Current Statu	us? O Pending O On Appeal O Final
9.	If on appeal,	regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf Fi	nal or On App	peal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:

11. F	Resolution Da	ate (MM/DD/YYYY):			
(	C Exact	Explanation			
If not exact, provide explanation:					
12. F	esolution De	etail:			
	A. Were ar	ny of the following Sanctions Ord	dered (check all appropriate ite	ms)?	
	🗖 Mor	netary/Fine Amount: \$			
		ocation/Expulsion/Denial		Disgorgement/Restitution	
	🗖 Cer	isure		Cease and Desist/Injunctio	n
	🗖 Bar			Suspension	
	B. Other S	anctions Ordered:			
13. F	Financia requalif disgorg of pena	al Operations Principal, etc.). If re y/retrain, type of exam required ement or monetary compensatic Ity was waived:	equalification by exam/retraini and whether condition has be on, provide total amount, porti	ng was a condition of the sanction en satisfied. If disposition resulte on levied against you or an <i>advis</i> e	affected (General Securities Principal, n, provide length of time given to ed in a fine, penalty, restitution, ory affiliate, date paid and if any portion ns, conditions and dates (your response
		in the space provided).			
			GENERAL INST	DUCTIONS	
This D	isclosure Re	porting Page (DRP ADV) is an 👩			ffirmative responses to Items 11.C., 11.D.,
		G. of Form ADV.	UK S		
,					
<u>.</u>			Regulatory	Action	
		ng responded to: $\Box$ 11 c(2)			
<b>[</b> 11.		□ 11.C(2) ☑ 11.D(2)	☐ 11.C(3) ☐ 11.D(3)	☐ 11.C(4) ☑ 11.D(4)	☐ 11.C(5) ☐ 11.D(5)
<b>1</b> 11.	. ,	Interpretation	□ 11.D(3) □ 11.E(3)	■ 11.D(4)	L 11.D(5)
<b>1</b> 11.		□ 11.E(2) □ 11.G.	L II.E(3)	L II.E(4)	
	1.	L 11.0.			
with a One ev same	completed vent may resevent. If an	Execution Page. sult in more than one affirmative	e answer to Items 11.C., 11.D.		one <i>person</i> or entity using one DRP. File one DRP to report details related to the parate DRP.
PART I					
	•	) or entity(ies) for whom this DR advisory firm)	r is being med is (are):		
-	<u> </u>				
		one or more of your advisory affil	iates		
(	One or me	ore of your advisory affiliates			
			-	<i>visory affiliate</i> below (for individua ate "non-registered" by checking	ls, Last name, First name, Middle name). the appropriate box.
	ADV DRP - A	DVISORY AFFILIATE			
		136113 • Yes • No RENAISSANCE INSTITUTIONAL	This <i>advisory affiliate</i> is 💿 a F	irm <sup>O</sup> an Individual	
	Name:	MANAGEMENT LLC (For individuals, Last, First, Middle)			

 $\Box$  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 or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the

adviser's or advisory affiliate's favor.

If you are registered or registering with a *state securities authority*, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

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.

# PART II

- Regulatory Action initiated by:
   SEC Other Federal OState OSRO Foreign
   (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO)
- 2. Principal Sanction:

Other Sanctions:

3. Date Initiated (MM/DD/YYYY):

• Exact • Explanation If not exact, provide explanation:

- 4. Docket/Case Number:
- 5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
- 6. Principal Product Type:

Other Product Types:

- 7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
- 8. Current Status? O Pending O On Appeal O Final
- 9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

- 10. How was matter resolved:
- 11. Resolution Date (MM/DD/YYYY):

• Exact • Explanation If not exact, provide explanation:

- 12. Resolution Detail:
  - A. Were any of the following Sanctions Ordered (check all appropriate items)?
    - Monetary/Fine Amount: \$
       Revocation/Expulsion/Denial
       Censure
       Bar
       Disgorgement/Restitution
       Cease and Desist/Injunction
       Suspension
  - B. Other Sanctions Ordered:

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:

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

#### GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an 👩 INITIAL *OR* I AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

		Regulatory Ac	tion		
Check item(s) being r	responded to:				
🗖 11.C(1)	🗖 11.C(2)	🗖 11.C(3)	🗖 11.C(4)	<b>1</b> 1.C(5)	
🗖 11.D(1)	☑ 11.D(2)	🗖 11.D(3)	🗖 11.D(4)	🗖 11.D(5)	
🗖 11.E(1)	🗖 11.E(2)	🗖 11.E(3)	🗖 11.E(4)		
🗖 11.F.	🗖 11.G.				

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 Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

#### PART I

- A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):
  - 👩 You (the advisory firm)
    - O You and one or more of your 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.

#### ADV DRP - ADVISORY AFFILIATE

<i>CRD</i> Number:	136113	This advisory affiliate is 💿 a Firm 🗢 an Individual
Registered:	• Yes • No	
Name:	RENAISSANCE INSTITUTIONAL MANAGEMENT LLC (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 or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority*, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

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.

#### PART II

2.	Principal Sanction:				
	Other Sanctions:				
	Other Sanctions.				
3.	Date Initiated (MM/DD/YYYY	Y):			
	C Exact C Explanation	٦			
	If not exact, provide explan	nation:			
4.	Docket/Case Number:				
5.	Advisory Affiliate Employing	Firm when activity occu	urred which led to the regulat	orv action (if applicable):	
0.					
6.	Principal Product Type:				
	Other Product Types:				
	other froduct types.				
7.	Describe the allegations re	lated to this regulatory	action (your response must	fit within the space provided):	
8.	Current Status? O Per	nding On Appeal	O Final		
		0			
9.	If on appeal, regulatory ac	tion appealed to (SEC,	SRO, Federal or State Court)	and Date Appeal Filed:	
lf F	inal or On Appeal, complete	all items below. For Per	nding Actions, complete Item	13 only.	
10	How was matter resolved:				
10.	now was matter resolved.				
11.	Resolution Date (MM/DD/YY	(YY):			
	• Exact • Explanation				
	If not exact, provide explanation				
12.	Resolution Detail:				
	A. Were any of the follow	wing Sanctions Ordered	(check all appropriate items)	?	
	Monetary/Fine Am	nount: \$			
	Revocation/Exputs	sion/Denial	Γ	Disgorgement/Restitution	
	Censure		Γ	Cease and Desist/Injunction	
	🗖 Bar		Γ	Suspension	
	B. Other Sanctions Order	red:			
	Sanction details if sus	spended enioined or ha	rred provide duration includi	ng start date and canacities affe	cted (General Securities Principal,
				vas a condition of the sanction, p	•
	requalify/retrain, type	e of exam required and	whether condition has been s	satisfied. If disposition resulted i	n a fine, penalty, restitution,
	disgorgement or mon of penalty was waived		ovide total amount, portion I	evied against you or an advisory	affiliate, date paid and if any portion
	or penalty was waived	u.			
13.	Provide a brief summary of	f details related to the a	action status and (or) disposi	tion and include relevant terms,	conditions and dates (your response
	must fit within the space p	rovided).			
			GENERAL INSTRUC	CTIONS	
This	Disclosure Reporting Page (	DRP ADV) is an 👩 INIT	TAL OR S AMENDED respons	se used to report details for affir	mative responses to Items 11.C., 11.D.,
11.E	, 11.F. or 11.G. of Form ADV	J.			
			Regulatory Act	ion	
	ck item(s) being responded				
		□ 11.C(2)	<b>1</b> 1.C(3)	□ 11.C(4)	<b>—</b> 11.C(5)
		✓ 11.D(2)	□ 11.D(3)	✓ 11.D(4)	🗖 11.D(5)
		□ 11.E(2)	🗖 11.E(3)	🗖 11.E(4)	
	11.F.	🗖 11.G.			

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 Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

- A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):
  - $\odot$  You (the advisory firm)
  - O You and one or more of your advisory affiliates
  - O 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.

ADV DRP - ADVISORY AFFILIATE

#### No Information Filed

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 or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority*, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

- This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
- 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.

O Yes O No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

#### PART II

- Regulatory Action initiated by: SEC Other Federal OState OSRO Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SPANISH NATIONAL SECURITIES MARKETS COMMISSION
- Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
- 3. Date Initiated (MM/DD/YYY):

04/12/2018 • Exact • Explanation If not exact, provide explanation:

- Docket/Case Number: SANCTIONS PROCEEDING NO. 8/2018
- 5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
- Principal Product Type: Derivative(s)
   Other Product Types:
- 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): THE SPANISH NATIONAL SECURITIES MARKETS COMMISSION DETERMINED THAT RENAISSANCE TECHNOLOGIES LLC ("RENAISSANCE") HAD ENTERED INTO TRADES ON BEHALF OF FUNDS THAT IT MANAGES IN VIOLATION OF A SPANISH SHORT SELLING BAN ON THE SECURITIES OF LIBERBANK, S.A. ("LIBERBANK") IN 2017. RENAISSANCE REDUCED LONG POSITIONS IN LIBERBANK AFTER THE SHORT SELLING BAN HAD TAKEN EFFECT.

8. Current Status?	8. Current Status? O Pending O On Appeal O Final					
9. If on appeal, regulat	ory action appealed to (SE	EC, <i>SRO</i> , Federal or State Court) a	nd Date Appeal Filed:			
If Final or On Appeal, con	nplete all items below. For	Pending Actions, complete Item 1	3 only.			
10. How was matter reso Decision	olved:					
11. Resolution Date (MM/	(DD/YYYY):					
04/01/2019 💿 Exac	ct O Explanation					
If not exact, provide	explanation:					
12. Resolution Detail:						
A. Were any of the	e following Sanctions Orde	ered (check all appropriate items)?				
Monetary/F	ine Amount: \$ 174,034.00	)				
Revocation/	/Expulsion/Denial		Disgorgement/Restitution			
Censure			Cease and Desist/Injunction	1		
🗖 Bar			Suspension			
B. Other Sanctions	s Ordered:					
Financial Opera requalify/retrain disgorgement o of penalty was RENAISSANCE F	tions Principal, etc.). If rec n, type of exam required a or monetary compensation waived: PAID THE SPANISH NATION	qualification by exam/retraining wa and whether condition has been sa , provide total amount, portion le	as a condition of the sanction, tisfied. If disposition resulted vied against you or an <i>advisol</i> SSION A FINE EQUAL TO 150,0	in a fine, penalty, restitution, <i>ry affiliate</i> , date paid and if any portion 000 EUROS ON JUNE 26, 2019. (THE		
13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided). THE SPANISH NATIONAL SECURITIES MARKETS COMMISSION (THE "CNMV") DETERMINED THAT IN 2017, RENAISSANCE ON BEHALF OF ITS FUNDS TRADED IN VIOLATION OF A SPANISH SHORT SELLING BAN ON THE SECURITIES OF LIBERBANK, S.A. ("LIBERBANK"). ALTHOUGH RENAISSANCE HAD NOT ENGAGED IN ANY SHORT SALES OF LIBERBANK, THE CNMV DETERMINED THAT RENAISSANCE'S REDUCTION OF LONG POSITIONS IN LIBERBANK VIOLATED THE SHORT SALE BAN BECAUSE IT RESULTED IN AN INCREASE IN THE FUNDS' NET SHORT POSITION IN LIBERBANK. RENAISSANCE YAPPEAL OF THE CNMV'S DETERMINATION TO THE SPANISH MINISTRY OF ECONOMY AND ENTERPRISE WAS REJECTED ON APRIL 1, 2019. RENAISSANCE PAID THE CNMV A FINE EQUAL TO 150,000 EUROS ON JUNE 26, 2019. (THE MONETARY FINE IN 12(A) WAS CONVERTED INTO U.S. DOLLARS USING THE EXCHANGE RATE ON THE DATE OF PAYMENT.) RENAISSANCE'S APPEALS TO THE SPANISH NATIONAL HIGH COURT AND THE SPANISH SUPREME COURT WERE REJECTED ON JUNE 18, 2020, AND JULY 7, 2021, RESPECTIVELY.						
		GENERAL INSTRUCT				
This Disclosure Reporting 11.E., 11.F. or 11.G. of For		NITIAL <i>OR</i>	e used to report details for aff	firmative responses to Items 11.C., 11.D.,		
		Regulatory Actio	n			
Check item(s) being respo						
□ 11.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)		
<b>[</b> 11.D(1)	☑ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)		
<b>1</b> 1.E(1)	□ 11.E(2)	🗖 11.E(3)	🗖 11.E(4)			
<b>[</b> 11.F.	🗖 11.G.					
Use a separate DRP for each event or <i>proceeding</i> . The same event or <i>proceeding</i> may be reported for more than one <i>person</i> or entity using one DRP. File with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.						
PART I	PARTI					
<ul><li>A. The <i>person(s)</i> or enti</li><li>(c) You (the advisory)</li></ul>	ty(ies) for whom this DRP firm)	is being filed is (are):				
O You and one or m	nore of your <i>advisory affilia</i>	tes				

O 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.

#### ADV DRP - ADVISORY AFFILIATE

#### No Information Filed

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 or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority*, you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

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.

O Yes O No

NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.

#### PART II

- Regulatory Action initiated by: SEC Other Federal State SRO Foreign
   (Full name of regulator, *foreign financial regulatory authority*, federal, state, or SRO)
   FINANSINSPEKTIONEN (SWEDISH FINANCIAL SUPERVISORY AUTHORITY)
- Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:
- 3. Date Initiated (MM/DD/YYYY):

04/22/2021 • Exact • Explanation If not exact, provide explanation:

- 4. Docket/Case Number: FI REF. NO. 17-20166
- 5. *Advisory Affiliate* Employing Firm when activity occurred which led to the regulatory action (if applicable):
- Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
- Describe the allegations related to this regulatory action (your response must fit within the space provided):
   THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY ALLEGED THAT RENAISSANCE TECHNOLOGIES LLC ("RENAISSANCE") HAD NOT TIMELY FILED NOTIFICATIONS REGARDING NET SHORT POSITIONS HELD BY RENAISSANCE-MANAGED FUNDS IN A SWEDISH LISTED SECURITY.
- 8. Current Status? C Pending C On Appeal C Final
- 9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

- 10. How was matter resolved: Decision
- 11. Resolution Date (MM/DD/YYYY):

05/17/2021	🖲 Exact	C Explar	ation
------------	---------	----------	-------

If not exact, provide explanation:

# 12. Resolution Detail:

- A. Were any of the following Sanctions Ordered (check all appropriate items)?
  - Monetary/Fine Amount: \$ 120,457.00
  - Revocation/Expulsion/Denial
  - Censure
  - 🗖 Bar

- Disgorgement/Restitution
- Cease and Desist/Injunction
- Suspension

B. Other Sanctions Ordered:

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:

THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY IMPOSED A SEK 1,000,000 FINE, WHICH WAS PAID BY RENAISSANCE IN U.S. DOLLARS ON MAY 17, 2021. THE AMOUNT OF THE FINE IN ITEM 12(A) ABOVE (USD 120,457) IS STATED IN U.S. DOLLARS USING THE EXCHANGE RATE ON THE DATE OF PAYMENT.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

IN SEPTEMBER 2017, RENAISSANCE SELF-REPORTED TO THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY THAT ON MULTIPLE OCCASIONS IN 2016 AND 2017, IT HAD FAILED TO TIMELY FILE NOTIFICATIONS WITH RESPECT TO NET SHORT POSITIONS HELD BY RENAISSANCE-MANAGED FUNDS IN A SPECIFIC SWEDISH LISTED SECURITY ("SHORT NOTIFICATIONS"). THE FAILURE WAS DUE TO A CODING ERROR RELATED TO AN AMBIGUITY AS TO WHETHER TRANSACTIONS IN THAT PARTICULAR SECURITY WERE EXEMPT FROM REPORTING FOLLOWING A CORPORATE TRANSACTION BY THE ISSUER. RENAISSANCE DETECTED THE ERROR IN CONNECTION WITH A ROUTINE REVIEW AND CORRECTED IT. ON APRIL 22, 2021, THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY DETERMINED THAT RENAISSANCE HAD NOT TIMELY FILED THE SHORT NOTIFICATIONS AND IMPOSED A FINE OF SEK 1,000,000 (USD 120,457). RENAISSANCE PAID THE FINE ON MAY 17, 2021.

CIVIL JUDICIAL ACTI	ON DISCLOSURE REPORTIN	G PAGE (ADV)		
		GENERAL IN	STRUCTIONS	
This Disclosure Reporti	ng Page (DRP ADV) is an 👩 II	NITIAL OR © AMENDED r	esponse used to report details for	r affirmative responses to Item 11.H. of Part
1A or Item 2.F. of Part	1B of Form ADV.			
		Civil .	ludicial	
Check Part 1A item(s)	being responded to:			
П 11.H(1)(а)	☑ 11.H(1)	(b)	□ 11.H(1)(c)	□ 11.H(2)
Check Part 1B item(s)	being responded to:			
<b>2</b> .F(1)	<b>2</b> .F(2)	2.F(3)	<b>2</b> .F(4)	<b>2</b> .F(5)
Use a separate DRP for with a completed Exec		he same event or <i>proceed</i>	<i>ing</i> may be reported for more that	n one <i>person</i> or entity using one DRP. File
	n more than one affirmative a civil judicial actions must be			e only one DRP to report details related to the
PART I				
A. The <i>person(s)</i> or e	entity(ies) for whom this DRP i	is being filed is (are):		
👩 You (the advis	ory firm)			
O You and one o	r more of your <i>advisory affiliat</i>	tes		
	of your advisory affiliates			
	•	•	<i>advisory affiliate</i> below (for individ dicate "non-registered" by checki	uals, Last name, First name, Middle name). ng the appropriate box.
ADV DRP - ADVIS	SORY AFFILIATE			
		No Info	rmation Filed	

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 or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority*, you may remove a DRP for an event you reported only in response to Item 11.H. (1)(a), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

- This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
- 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.

O Yes O No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its IARD or *CRD* records.

#### PART II

1. Court Action initiated by: (Name of regulator, *foreign financial regulatory authority, SRO*, commodities exchange, agency, firm, private plaintiff, etc.) RENAISSANCE APPEALED TO SPANISH NATIONAL HIGH COURT AND SPANISH SUPREME COURT THE CNMV DECISION DESCRIBED ABOVE IN A REG. DRP.

 Principal Relief Sought: Other
 Other Relief Sought: ANNULMENT OF SANCTION

- Filing Date of Court Action (MM/DD/YYYY):
   05/09/2019 Exact Explanation
   If not exact, provide explanation:
- Principal Product Type: Derivative(s)
   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):

SPANISH NATIONAL HIGH COURT (MADRID, SPAIN), CASE NO. 787/2019; SPANISH SUPREME COURT (MADRID, SPAIN), APPEAL NO. 4982/2020

- 6. Advisory Affiliate Employing Firm when activity occurred which led to the civil judicial action (if applicable):
- 7. Describe the allegations related to this civil action (your response must fit within the space provided): THE SPANISH NATIONAL SECURITIES MARKETS COMMISSION (THE "CNMV") DETERMINED THAT RENAISSANCE HAD ENTERED INTO TRADES ON BEHALF OF FUNDS THAT IT MANAGES IN VIOLATION OF A SPANISH SHORT SELLING BAN ON THE SECURITIES OF LIBERBANK IN 2017. RENAISSANCE REDUCED LONG POSITIONS IN LIBERBANK AFTER THE SHORT SELLING BAN HAD TAKEN EFFECT. RENAISSANCE APPEALED THIS DECISION, ON THE GROUNDS THAT THE CNMV HAD IMPROPERLY BROADENED THE SCOPE OF THE SPANISH REGULATION AND OF THE BAN BEYOND THEIR INTENT AND PLAIN LANGUAGE IN SANCTIONING RENAISSANCE GIVEN THAT RENAISSANCE DID NOT ENGAGE IN ANY SHORT SALE TRANSACTION.
- 8. Current Status? <sup>O</sup> Pending <sup>O</sup> On Appeal <sup>©</sup> 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):

• 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: Judgment Rendered
- 12. Resolution Date (MM/DD/YYYY):
  07/07/2021 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 Amount: \$ 174,034.00

Revocation/Expulsion/Denial

- Censure
- 🗖 Bar
- B. Other Sanctions:

- Disgorgement/Restitution
- Cease and Desist/Injunction

Yes No

 $\odot$ 

- **Suspension**
- 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:

RENAISSANCE PAID THE SPANISH NATIONAL SECURITIES MARKETS COMMISSION A FINE EQUAL TO 150,000 EUROS ON JUNE 26, 2019. (THE MONETARY FINE IN 13(A) WAS CONVERTED INTO U.S. DOLLARS USING THE EXCHANGE RATE ON THE DATE OF PAYMENT.)

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).

THIS JUDGMENT AFFIRMED THE DECISION OF THE SPANISH NATIONAL SECURITIES MARKETS COMMISSION AS DESCRIBED ABOVE IN A REGULATORY ACTION DRP. SEE QUESTION 13 OF THE REGULATORY ACTION DRP THAT DESCRIBES SANCTIONS PROCEEDING NO. 8/2018.

#### Part 2

# Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules?

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)
381736	RENAISSANCE TECHNOLOGIES LLC -	Other institutional, Private funds or pools
	FORM ADV PART 2A, MARCH 30, 2023	
396573	RENAISSANCE TECHNOLOGIES LLC -	Other institutional, Private funds or pools
	FORM ADV PART 2A, MARCH 27, 2024	

Part 3					
	CRS	Type(s)	Affiliate Info	Retire	
There are no CRS filings to display.					

#### **Execution Pages**

# DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

# Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

# Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under

penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: TIFFANY T. MICHEL Printed Name: TIFFANY T. MICHEL Adviser *CRD* Number: 106661

Date: MM/DD/YYYY 03/27/2024 Title: CHIEF COMPLIANCE OFFICER

#### NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

# 1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

# 2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

#### 3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

#### Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Printed Name: Adviser *CRD* Number: 106661 Date: MM/DD/YYYY Title: