FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

D	: D.	orain and Names B. F. CHAW 6.00. J. F.			ODD November 1007.70
		usiness Name: D. E. SHAW & CO., L.F	'.		CRD Number: 108679
		n-Annual Amendment - All Sections			Rev. 10/2021
4/	1/2024	3:29:59 PM			
W	/ARNIN			• • • • • • • • • • • • • • • • • • • •	of your registration, or criminal prosecution. You must keep
		this form updated by filing periodic	amendments. See Form ADV	General Instruction 4.	
		entifying Information			
	•	•		nd how we can contact you. If you are filing an to assist you with filing an umbrella registration	umbrella registration, the information in Item 1 should be
Α.		full legal name (if you are a sole propri SHAW & CO., L.P.	etor, your last, first, and midd	dle names):	
B.		ame under which you primarily conduct SHAW & CO., L.P.	your advisory business, if di	ferent from Item 1.A.	
	List o	n Section 1.B. of Schedule D any additio	nal names under which you co	nduct your advisory business.	
	(2) If	you are using this Form ADV to registe	er more than one investment	adviser under an umbrella registration, check the	nis box 🗹
	If you	ı check this box, complete a Schedule R ı	for each relying adviser.		
C.		s filing is reporting a change in your leg ur legal name or \square your primary busine	· · · · · · · · · · · · · · · · · · ·	ry business name (Item 1.B.(1)), enter the nev	v name and specify whether the name change is of
D.		you are registered with the SEC as an you report to the SEC as an exempt re	•		
		you have one or more Central Index K Number	ey numbers assigned by the	SEC ("CIK Numbers"), all of your CIK numbers:	
	1009				
E.	(1) If	you have a number (" <i>CRD</i> Number") a	ssigned by the <i>FINRA's CRD</i> s	ystem or by the IARD system, your <i>CRD</i> numbe	r: 108679
	If you	ır firm does not have a CRD number, ski _l	o this Item 1.E. Do not provide	e the CRD number of one of your officers, employ	ees, or affiliates.
	(2) If	you have additional <i>CRD</i> Numbers, you	ur additional CDD numbers		
	(2) 11	you have additional CRD Numbers, you	ar additional CRD Humbers.	No Information Filed	
				No mormation rilea	
_	Deles	and Office and Disease of Decisions			
F.	,	pal Office and Place of Business			
		Address (do not use a P.O. Box): Jumber and Street 1:		Number and Street 2:	
		166 AVENUE OF THE AMERICAS		NINTH FLOOR	
	C	City:	State:	Country:	ZIP+4/Postal Code:
	V	IEW YORK	New York	United States	10036
	ľ	f this address is a private residence, ch	neck this box: 🗖		
	r	egistration, or are registered, with one c whom you are registered. If you are appl	or more state securities author ying for SEC registration, if you	ities, you must list all of your offices in the state	t investment advisory business. If you are applying for or states to which you are applying for registration or with eporting to the SEC as an exempt reporting adviser, list the
		Days of week that you normally conduc Monday - Friday Other:	t business at your <i>principal oi</i>	ffice and place of business:	
		Jormal business hours at this location: PAM - 5 PM			
	(3) T	Telephone number at this location:			
		acsimile number at this location, if any 212-478-0100			

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

completed fiscal year?

	6				
G.	Mailing address, if different f	rom your <i>principal office and place o</i>	of business address:		
	Number and Street 1:	,	Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	If this address is a private r	residence, check this box:			
Н.	If you are a sole proprietor	state vour full residence address i	f different from your <i>principal office and pla</i>	ce of business address in Item 1 F	
	Number and Street 1:	state your rain residence address, r	Number and Street 2:	oc or business address in riem i.i	
	City:	State:	Country:	ZIP+4/Postal Code:	
					Yes No
I.	Do you have one or more we	ebsites or accounts on publicly avai	lable social media platforms (including, bu	t not limited to, Twitter, Facebook and LinkedIn)?	⊚ ೧
	as a portal through which to a more than one portal address	access other information you have po . Do not provide the addresses of we	ublished on the web, you may list the portal	cial media platforms on Section 1.1. of Schedule D. If a website without listing addresses for all of the other information. You all media platforms where you do not control the content. Do not evailable social media platforms.	may need to list
J.		ntact information of your Chief Com ve one. If not, you must complete I		rting adviser, you must provide the contact information for yo	our Chief
	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) addı	ress, if Chief Compliance Officer has	s one:		
	-	ou advise for providing chief compli		person or an investment company registered under the Inve erson's name and IRS Employer Identification Number (if any	
K.	Additional Regulatory Contac may provide that information	•	ne Chief Compliance Officer is authorized t	to receive information and respond to questions about this F	Form ADV, you
	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) add	ress, if contact person has one:			
L.	Do you maintain some or all principal office and place of bu	_	required to keep under Section 204 of the	Advisers Act, or similar state law, somewhere other than yo	Yes No
	If "yes," complete Section 1.L	of Schedule D.			
M.	Are you registered with a for	reign financial regulatory authority?			Yes No
	Answer "no" if you are not re	gistered with a foreign financial regu	latory authority, even if you have an affiliate	e that is registered with a foreign financial regulatory authority.	If "yes,"
	complete Section 1.M. of Sche	edule D.			Vac N
M	Are you a public reporting co	omnany under Sections 12 or 15(d)	of the Securities Exchange Act of 1934?		Yes No
ıN.	The you a public reporting co	impany under Sections 12 of 13(d)	or the Securities Exchange Act of 1934?		0 0
_	Did you be a day 1999	and in poorts are the first of the	on manch record first I.		Yes No
U.	If yes, what is the approxime \$1 billion to less than \$1	·	ii most recent fiscal year?		© 0

\$10 billion to less than \$50 billion

O \$50 billion or more

For purposes of Item 1.0. only, "ass the balance sheet for your most reco		than the assets you manage on behalf of client	ts. Determine your total assets using the total assets shown on
P. Provide your <i>Legal Entity Identifier</i> TNWE6LERP1CI9IDAZB80	if you have one:		
A legal entity identifier is a unique n	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			
List your other business names and th	e jurisdictions in which you use them.	You must complete a separate Schedule D S	ection 1.B. for each business name.
Name: D. E. SHAW ADVISER II, L.L.C. (RELYING ADVISER)		
Jurisdictions			
□ AL	□IL	□ NE	□sc
□ AK	□ IN	□ NV	□sD
□ AZ	Па	∥ □ NH	□ TN
□ AR	□ KS	∥ □ NJ	□⊤x
□ CA	□ KY	□ NM	□ UT
□ co	□ LA	₩ NY	□ VT
□ст	□ ME	□ NC	□ VI
□ DE	□ MD	□ ND	□ VA
	□ MA		□ WA
□ DC		□он	
□ FL	□ MI	□ок	□ wv
□ GA	☐ MN	□ OR	□ wı
□ GU	☐ MS	□ PA	□ wy
□н	□ мо	□ PR	☐ Other:
□ID	□ MT	□RI	
List your other business names and the Name: D. E. SHAW & CO. (LONDON), LI		You must complete a separate Schedule D S	ection 1.B. for each business name.
Jurisdictions			
□ AL	□ IL	□ NE	□sc
□ AK	□ IN	□ NV	□ SD
□ AZ	□ IA	□ NH	□ TN
□ AR	□ KS	□ NJ	□ TX
□ CA	□ KY	□ NM	□ UT
□ co	□ LA	□ NY	□ VT
□ CT	□ ME	□ NC	□ VI
□ DE	□ MD	□ ND	□ VA
□ DC	□ MA	ОН	□ WA
□ FL	□ мі	□ок	□ wv
□ GA	□ MN	□ OR	□ WI
GU	☐ MS	□ PA	□ wy
□н	□ мо	□ PR	✓ Other: UNITED KINGDOM
□ID	□мт	□RI	
List your other business names and th	e jurisdictions in which you use them.	You must complete a separate Schedule D S	ection 1.B. for each business name.
Name: D. E. SHAW & CO. (ASIA PACIFIC	C) LIMITED (RELYING ADVISER)		
Jurisdictions			
□ AL	□IL	□ NE	□sc
		INL	

□ AK	□ IN	□ NV	□ SD
□ AZ	□IA	□NH	□ TN
□ AR	□ KS	□NJ	□TX
□ CA	□ KY	□ NM	UT
□ co	□LA	□NY	□ VT
СТ	□ ME	□ NC	□VI
□ DE	□ MD	□ND	□ VA
□ DC	□ MA	□ он	□ wa
□FL	□ MI	□ OK	□ wv
□ GA	□ MN	□ OR	□ wi
□GU	□MS	□ PA	□ WY
□ні	□мо	□PR	☑ Other: HONG KONG
□ID	□мт	□RI	
List your other business names and the jurisc	lictions in which you use them. You must comp	olete a separate Schedule D Section 1.B. for ea	ch business name.
Name: D. E. SHAW MULTI-ASSET ADVISER, L.L	.C. (RELYING ADVISER)		
	,		
Jurisdictions			
	_	_	-
□ AL	□IL	□ NE	□sc
□ AK	□IN	□ NV	□ SD
□ AZ	□IA	□NH	□ TN
□ AR	□ KS	□ NJ	□ TX
□ CA	□ KY	□ NM	□ UT
Со	LA	☑ NY	□ VT
□ст	□ ME	□ NC	□VI
□ DE	□ MD	□ND	□ VA
□ DC	□ MA	□ он	□ wa
□FL	□ MI	□ок	□wv
□ GA	□MN	□ OR	□wı
□ GU	□MS	□ PA	□ WY
□ HI	Пмо	□ PR	Other:
□ID	□ MT	□RI	
List your other business names and the jurisc	lictions in which you use them. You must comp	olete a separate Schedule D Section 1.B. for ea	ch business name.
,	·	'	
N	DELY/ING ADVICED)		
Name: D. E. SHAW HELIANT ADVISER, L.L.C. (I	RELYING ADVISER)		
Jurisdictions			
□ AL	□IL	□ NE	□ sc
□ AK	□IN	□NV	□SD
□ AZ	□IA	□NH	□ TN
□ AR	□ KS	□ NJ	□ TX
□ CA	□ KY	□ NM	□ UT
□ co	□ LA	☑ NY	□ VT
□ст	□ ме	□ NC	□vi
DE	□ MD	□ ND	□ VA
□ DC	□ MA	□ он	□ wa
□FL	□мі	□ ок	□wv
□GA	□ MN	□ OR	□ wi
□GU	☐ MS	□ PA	□ wy
⊒н	□мо	□ PR	Other:
	□ MT	□ RI	

Name: D. E. SHAW COMPOSIT	E ADVISER, L.L.C. (RELYING ADVISER)		
Jurisdictions			
□ AL	□IL	□ NE	□ sc
□ AK	∥ □ IN	□ NV	□ SD
□ AZ	Па	□ NH	∥ □ TN
□ AR	□ KS	□ NJ	□ TX
CA	□ KY	□ NM	UT UT
СО	∥ □ LA	☑ NY	□ VT
СТ	□ ME	□ NC	∥ □ VI
□ DE	□ MD	□ND	∥ □ VA
DC	∥ □ MA	□он	□ wa
□ FL	□ MI	□ок	
GA	□ MN	□ OR	□ WI
GU	∥ □ MS	□ PA	□ WY
□нг	Г мо	□ PR	☐ Other:
ID	□ MT	□ RI	
ist your other business name ame: D. E. SHAW ADVISER, I		m. You must complete a separate Schedule D	Section 1.B. for each business name.
urisdictions	L.E.O. (NEETHING ADVISER)		
	F	F	По-
AL		□ NE	□ sc
AK	□ IN	□ NV	□ SD
AZ	∥ □ IA	□NH	∥ □ TN
AR	□ KS	□ NJ	□ TX
CA	□ KY	□ NM	□ UT
СО	□ LA	☑ NY	□ VT
CT	∥ □ ME	∥ □ NC	∥ □ VI
DE	□ MD	□ND	□ VA
DC	∥ □ MA	□он	□ WA
FL	∥ □ MI	□ок	∥ □ w∨
	□ MN		
GA		□ OR	□ WI
GU	□ MS	□ PA	□ WY
∃нı	Г мо	□ PR	☐ Other:
ĪD	□мт	□ RI	
	"	"	'l
	es and the jurisdictions in which you use the APITAL, L.L.C. (RELYING ADVISER)	m. You must complete a separate Schedule D	Section 1.B. for each business name.
ırisdictions			
AL	Піг	□ NE	□sc
AK	□ IN	□ NV	□ SD
AZ	□ IA	□ NH	□ TN
AR	□ KS	∥ □ NJ	□ TX
CA	□ KY	□ NM	□ UT
co	□ LA	☑ NY	□ VT
	□ ME	□ NC	
СТ			□ VI
DE	□ MD	□ ND	□ VA
DC	∥ □ MA	□ он	□ WA
FL	∥ □ MI	□ок	□ wv
Ī GA	□ MN	□ OR	□ WI
GU	□ MS	□ PA	□ WY
□ ні	□мо	□ PR	Other:

🗖 ID	∥ □ MT	∥ □ RI		
			, I	
List your other business nam	es and the jurisdictions in which you use the	em. You must complete a separate Schedule D	Section 1.B. for each business name.	
Name: D. E. SHAW ADVISER I	III I I C (DELVING ADVISED)			
Name. D. L. Shaw Advistr i	III, L.L.C. (KLLIING ADVISER)			
Jurisdictions				
	E	E	E	
□ AL	<u></u>	□ NE	□ sc	
∏ AK	□ IN	□ NV	□ SD	
□ AZ	□ IA	□ NH	□ TN	
☐ AR		□ NJ	□ TX	
□ CA	□ KY	□ NM	□ UT	
Со	□ LA	☑ NY	□ VT	
□ ст	□ ME	□ NC	□ VI	
□ DE	□ MD	□ND	□ VA	
□ DC	□ MA	□ он	∥ □ wa	
□ FL	□ MI	□ oĸ		
□GA	□ MN	□ OR	∥ ⊑ wi	
	□ MS	□ PA	□ WY	
□ GU				
□н	□ мо	□ PR	☐ Other:	
□ID	□ MT	□ RI		
			0 11 4 8 6 1 1 1	
List your other business nam	ies and the jurisdictions in which you use the	em. You must complete a separate Schedule D	Section 1.B. for each business name.	
Name: D. E. SHAW (SINGAPO	RE) PTE. LTD. (RELYING ADVISER)			
Jurisdictions				
☐ AL	□ IL	□ NE	□ sc	
□ AK	□ IN	□ NV	□ SD	
□ AZ	□ IA	□ NH	□ TN	
□ AR	□ KS	∥ □ NJ	∥ □ TX	
□ CA	□ KY	□ NM	∥ □ UT	
□ co	□ LA	□ NY	□ VT	
	□ ME	□ NC		
СТ				
□ DE	□ MD	□ ND	□ VA	
□ DC	□ MA	□ он	□ WA	
□ FL	□ мі	□ок	□ w∨	
□ GA	□ MN	□ OR	□ WI	
□ GU	□ MS	□ PA	∥ □ wy	
□ні	□мо	□ PR	☑ Other: SINGAPORE	
			E Other. SINGAPORE	
□ID	□мт	□ RI		
List your other business nam	es and the jurisdictions in which you use the	em. You must complete a separate Schedule D	Section 1.B. for each business name.	
3	,	' '		
Namo: D E SHAW ESC ADVIS	SER, L.L.C. (RELYING ADVISER)			
Name. D. L. Shaw Esc Advis	SER, E.E.C. (REETING ADVISER)			
Jurisdictions				
□ AL	□ IL	□ NE	□ SC	
□ AK	□ IN	□ NV	□ SD	
□ AZ	□ IA	□ NH	□ TN	
□ AR	□ KS	□ NJ	□ TX	
□ CA	□ KY	□ NM	□ UT	
□ co	□ LA	₩ NY	□ VT	
СТ	□ ME	□ NC	□ VI	
□ DE	□ MD	□ ND	□ VA	

□ DC	□ MA	□он	□ WA
□ FL	□ MI	□ок	□wv
□ GA	□ MN	□ OR	□wı
□ GU	□ms	□ PA	□wy
□ні	□мо	□ PR	☐ Other:
□ID	□ MT	□ RI	
	L IVII	T. I.	
List your other business names and the jurisd	lictions in which you use them. You must comm	olete a separate Schedule D Section 1.B. for ea	ch husiness name
List your other business names and the jurise	ictions in which you are them. You must comp	nete a separate seriedare b section 1.b. for ea	en business name.
Name: D. E. SHAW ALKALI ADVISER VI, L.L.C.	(RFLYING ADVISER)		
	()		
Jurisdictions			
□ AL	□IL	□ NE	□sc
□ ak	□IN	□NV	□SD
□ AZ	□IA	□NH	□TN
□ AR	□ KS	□NJ	□TX
□ CA	□ KY	□ NM	□ UT
СО	□LA	✓ NY	□VT
□ CT	□ ME	□ NC	□VI
□ DE	□ MD	□ ND	□ VA
□ DC	□ MA	ОН	□ WA
□ FL	□ мі	ОК	□wv
□ GA	□ MN	OR	□wı
□ GU	☐ MS	□ PA	□ wy
□нг	□ мо	□ PR	Other:
□ID	□ MT	□RI	
List your other business names and the jurisd	ictions in which you use them. You must comp	elete a separate Schedule D Section 1.B. for ea	ch business name.
Name: D. E. SHAW DIOPTER ADVISER, L.L.C. (RELYING ADVISER)		
Jurisdictions	_	_	
□ AL	□ IL	□ NE	□ sc
□ AK	□ IN	□ NV	SD
□ AZ	□ IA	□NH	□ TN
□ AR	□ KS	□ N1	□TX
□ CA	□ KY	□ NM	□ UT
СО	□LA	☑ NY	□VT
□ст	□ ME	□ NC	□VI
□ DE	□ MD	□ND	□VA
□ DC	□ MA	□ он	□ WA
□ FL	□ MI	□ок	□ wv
□ GA	□ MN	□ OR	□wı
□GU	□MS	□ PA	□wy
□ні	□ мо	□ PR	☐ Other:
□ID	□ MT	□ RI	
_			
CECTION 1 E Other Offices			

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: 2735 SAND HILL ROAD Number and Street 2: SUITE 105

City: Country: ZIP+4/Postal Code: State: MENLO PARK United States California 94025

If this address is a private residence, check this box:								
Telephone Number: 650-526-4300	Facsimile Number, if any: 650-526-4301							
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 <i>employees</i> perform investment advisory functions 3	How many <i>employees</i> perform investment advisory functions from this office location?							
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 ad	vicer (whether registered or even	ant from registration)						
(4) Commonly poor operator or commonly trading ad (5) Registered municipal advisor	visor (whether registered or exer	npt from registration)						
☐ (6) Accountant or accounting firm								
(7) Lawyer or law firm								
Describe any other <i>investment-related</i> business activities	conducted from this office location	on:						
Complete the following information for each office, other separate Schedule D Section 1.F. for each location. If you the largest twenty-five offices (in terms of numbers of en	are applying for SEC registration		duct investment advisory business. You must complete a h the SEC, or if you are an exempt reporting adviser, list only					
Number and Street 1: 821 ALEXANDER ROAD		Number and Street 2: SUITE 202						
City:	State:	Country:	ZIP+4/Postal Code:					
PRINCETON	New Jersey	United States	08540					
If this address is a private residence, check this box: $\ \square$								
Telephone Number: 212-478-0000	Facsimile Number, if any: 212-478-0100							
If this office location is also required to be registered with Branch Office Registration Form (Form BR), please provide		ority as a branch office location	for a broker-dealer or investment adviser on the Uniform					
How many <i>employees</i> perform investment advisory function 2	ons from this office location?							
Are other business activities conducted at this office local (1) Broker-dealer (registered or unregistered)	ion? (check all that apply)							
☐ (2) Bank (including a separately identifiable departmen ☐ (3) Insurance broker or agent	nt or division of a bank)							
(4) Commodity pool operator or commodity trading ad	visor (whether registered or exer	npt from registration)						
(5) Registered municipal advisor								
☐ (6) Accountant or accounting firm ☐ (7) Lawyer or law firm								
Describe any other <i>investment-related</i> business activities	conducted from this office location	on:						
Complete the following information for each office, other separate Schedule D Section 1.F. for each location. If you the largest twenty-five offices (in terms of numbers of en	are applying for SEC registration	•	duct investment advisory business. You must complete a h the SEC, or if you are an <i>exempt reporting adviser</i> , list only					

Number and Street 1: Number and Street 2:

555 THEODORE FREMD AVENUE		SUITE C300		
ity: VESTCHESTER	State: New York	Country: United States	ZIP+4/Postal Code: 10580	
VESTORIESTER	New Tork	office States	10300	
f this address is a private residence, check this	box:			
elephone Number:	Facsimile Number, i	any:		
12-478-0000	212-478-0100			
f this office location is also required to be regist Branch Office Registration Form (Form BR), pleas		_	ation for a broker-dealer or investment adviser on the Uniform	
low many <i>employees</i> perform investment adviso	ory functions from this office loo	eation?		
re other business activities conducted at this of	fice location? (check all that a	pply)		
(1) Broker-dealer (registered or unregistered)				
$ar{\ \ }$ (2) Bank (including a separately identifiable de	epartment or division of a bank)		
(3) Insurance broker or agent				
(4) Commodity pool operator or commodity tr	ading advisor (whether registe	red or exempt from registration)		
(5) Registered municipal advisor				
(6) Accountant or accounting firm				
(7) Lawyer or law firm				
Describe any other <i>investment-related</i> business a	activities conducted from this c	ffice location:		
	on. If you are applying for SEC	,	conduct investment advisory business. You must complete a vith the SEC, or if you are an exempt reporting adviser, list or	าly
lumber and Street 1:		Number and Street 2:		
80 LINDEN STREET		SECOND FLOOR		
City:	State:	Country:	ZIP+4/Postal Code:	
VELLESLEY	Massachusetts	United States	02482	
f this address is a private residence, check this	box:			
elephone Number:	Facsimile Number, if any	:		
212-478-0000	212-478-0100			
f this office location is also required to be regist Branch Office Registration Form (Form BR), pleas		-	ation for a broker-dealer or investment adviser on the Uniform	
low many <i>employees</i> perform investment adviso	ory functions from this office loa	eation?		
are other business activities conducted at this of	fice location? (check all that a	pply)		
(1) Broker-dealer (registered or unregistered)				
(2) Bank (including a separately identifiable do (3) Insurance broker or agent	epartment or division of a bank)		
(4) Commodity pool operator or commodity tr	ading advisor (whether registe	red or exempt from registration)		
(5) Registered municipal advisor				
(6) Accountant or accounting firm				
(7) Lawyer or law firm				
Describe any other <i>investment-related</i> business a	activities conducted from this c	ffice location:		

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: 7300 COLLEGE BOULEVARD		Number and Street 2: SUITE 620	
City:	State:	Country:	ZIP+4/Postal Code:
OVERLAND PARK	Kansas	United States	66210
If this address is a private residence, check this box: $\ \square$			
Telephone Number:	Facsimile Number, if a	any:	
212-478-0050	212-478-0060		
If this office location is also required to be registered with FI Branch Office Registration Form (Form BR), please provide th		•	ice location for a broker-dealer or investment adviser on the Uniform
How many <i>employees</i> perform investment advisory functions 1	from this office location	n?	
Are other business activities conducted at this office location	? (check all that apply)	
(1) Broker-dealer (registered or unregistered)			
\square (2) Bank (including a separately identifiable department of	r division of a bank)		
\square (3) Insurance broker or agent			
☐ (4) Commodity pool operator or commodity trading advisor	or (whether registered	or exempt from registration	n)
(5) Registered municipal advisor			
(6) Accountant or accounting firm			
(7) Lawyer or law firm			
Describe any other <i>investment-related</i> business activities con	nducted from this office	e location:	
•	e applying for SEC reg	·	ch you conduct investment advisory business. You must complete a ed only with the SEC, or if you are an exempt reporting adviser, list only
Number and Street 1:		Number and Street	
3960 HOWARD HUGHES PARKWAY	-	SUITE 500, OFFICE	
City: LAS VEGAS	State: Nevada	Country: United States	ZIP+4/Postal Code: 89169
	Nevada	omica states	
If this address is a private residence, check this box: \Box			
Telephone Number: 212-478-0000	Facsimile Number, 212-478-0100	if any:	
If this office location is also required to be registered with FI Branch Office Registration Form (Form BR), please provide the		•	ice location for a broker-dealer or investment adviser on the Uniform
How many <i>employees</i> perform investment advisory functions 1	from this office location	n?	
Are other business activities conducted at this office location	? (check all that apply)	
(1) Broker-dealer (registered or unregistered)			
\square (2) Bank (including a separately identifiable department of	r division of a bank)		
\square (3) Insurance broker or agent			
(4) Commodity pool operator or commodity trading advisor	or (whether registered	or exempt from registration	n)
☐ (5) Registered municipal advisor		, ,	
(6) Accountant or accounting firm			
(7) Lawyer or law firm			
Describe any other <i>investment-related</i> business activities con	nducted from this office	e location:	

	available social media platforms where you control the content (including, but not limited to, Twitter, ection 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.glassdoor.com/Overview/Working-at-D-E-Shaw-and-Co-Investment-Firm-EI_IE29290.11,42.htm
Address of Website/Account on Publicly Available Social Media Platform:	https://www.youtube.com/channel/UCTapQuEwzIFwGNAphDrWjew
Address of Website/Account on Publicly Available Social Media Platform:	https://medium.com/@the_deshaw_group
Address of Website/Account on Publicly Available Social Media Platform:	https://github.com/deshaw
Address of Website/Account on Publicly Available Social Media Platform:	http://www.deshaw.com/
Address of Website/Account on Publicly Available Social Media Platform:	https://www.indeed.com/cmp/DEShaw-&-CoInvestment-Firm
Address of Website/Account on Publicly Available Social Media Platform:	https://builtin.com/company/d-e-shaw-group
Address of Website/Account on Publicly Available Social Media Platform:	https://www.builtinnyc.com/company/d-e-shaw-group
Address of Website/Account on Publicly Available Social Media Platform:	https://www.facebook.com/profile.php?id=100076885534092
Address of Website/Account on Publicly Available Social Media Platform:	https://www.linkedin.com/company/deshaw-&-co.
Address of Website/Account on Publicly Available Social Media Platform:	https://twitter.com/DESHAWGROUP
Address of Website/Account on Publicly Available Social Media Platform:	https://www.google.com/ (The D. E. Shaw Group business profile)
Address of Website/Account on Publicly Available Social Media Platform:	https://www.instagram.com/thedeshawgroup/
Address of Website/Account on Publicly Available Social Media Platform:	https://www.threads.net/@thedeshawgroup
Address of Website/Account on Publicly Available Social Media Platform:	https://app.joinhandshake.com/emp/employers/24124

SECTION 1.L. Location of Books and Records

Complete the following information for each location at which you keep your books and records, other than your principal office and place of business. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept:

MICROSOFT CORPORATION

Number and Street 1: ONE MICROSOFT WAY Number and Street 2:

City: REDMOND	State: Washington	Country: United States	ZIP+4/Postal Code: 98052
KEDINIOND	wasiiiigtoii	officed States	90032
If this address is a private residence, check this box:			
Telephone Number: 425-882-8080	Facsimile number, if	any:	
This is (check one): O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this loca ELECTRONIC COPIES OF CERTAIN BOOKS AND RECORDS			
Name of entity where books and records are kept: STELLUS CAPITAL MANAGEMENT, LLC			
Number and Street 1:		Number and Street 2:	
4400 POST OAK PARKWAY		SUITE 2200	
City:	State:	Country:	ZIP+4/Postal Code:
HOUSTON	Texas	United States	77027
If this address is a private residence, check this box:			
Telephone Number: 713-292-5400	Facsimile numb	er, if any:	
This is (check one): O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this loca EXCEPT AS OTHERWISE DETAILED HEREIN, ALL REQUIR WITH STELLUS CAPITAL MANAGEMENT, LLC, AS SUB-ADV	ED BOOKS AND RECORI	DS ARE MAINTAINED IN ACCORDANCE	WITH RULE 204-2 EITHER AT ADVISER'S PRINCIPAL OFFICE OR
Name of entity where books and records are kept: AMAZON WEB SERVICES, INC.			
Number and Street 1:		Number and Street 2:	
410 TERRY AVENUE NORTH			
City:	State:	Country:	ZIP+4/Postal Code:
SEATTLE	Washington	United States	98109
If this address is a private residence, check this box:			
Telephone Number: 206-266-1000	Facsimile number, if	any:	
This is (check one): O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
O other.			
Briefly describe the books and records kept at this loca			
ELECTRONIC COPIES OF CERTAIN BOOKS AND RECORDS	5.		

Name IRON		tity where books and records are TAIN	e kept:			
		d Street 1:		Number and Street 2:		
	/IBERL	Y ROAD		2	710 4/0 1 10 1	
City: EAST	BRUNS	SWICK	State: New Jersey	Country: United States	ZIP+4/Postal Code: 08816	
If this	addre	ess is a private residence, check	this box:			
Teleph 732-6		Number: :00	Facsimile number, if an 732-651-2899	ny:		
	•	ck one): our branch offices or affiliates.				
⊙ at	hird-p	party unaffiliated recordkeeper.				
o oth	ner.					
ALL RE	EQUIR INTAII	NED AT IRON MOUNTAIN. THESE	AINTAINED AT OUR PRINCIPAL OFFIC	GENERAL LEDGERS, PAID INVOICES, I	. CERTAIN RECORDS THAT ARE GREATER THAN 2 YEA BANK STATEMENTS, SOFTWARE, AND OTHER ITEMS. I	
SECTIO)N 1.N	M. Registration with Foreign Fir	ancial Regulatory Authorities			
				No Information Filed		
I tem 2	SEC R	Registration/Reporting				
•			3		Item 2.A. only if you are applying for SEC registrations are 2 should be provided for the filing adviser only.	on or submitting
A. To	regis	ter (or remain registered) with the	ne SEC, you must check at least one ager eligible to register with the SEC	of the Items 2.A.(1) through 2.A.(1.	2), below. If you are submitting an <i>annual updating a</i> ction 2 provides information to help you determine v	
	•	e adviser):				
V	(1)	are a large advisory firm that	either:			
		(a) has regulatory assets unde	r management of \$100 million (in U.	S. dollars) or more; or		
					g its most recent annual updating amendment and is	registered
	(2)	are a mid-sized advisory firm are either:	that has regulatory assets under m	anagement of \$25 million (in U.S. do	ollars) or more but less than \$100 million (in U.S. dol	lars) and you
		(a) not required to be register	ed as an adviser with the state secu	rities authority of the state where yo	u maintain your <i>principal office and place of business</i> ;	or
		(b) not subject to examination	by the state securities authority of the	ne state where you maintain your <i>pi</i>	rincipal office and place of business;	
		Click HERE for a list of state	es in which an investment adviser, if re	egistered, would not be subject to exa	mination by the state securities authority.	
	(3)	Reserved				
	_	have your <i>principal office and p</i>	lace of business outside the United S	tates;		
	(5)		subadviser) to an investment com		ent Company Act of 1940:	
	(6)	are an investment adviser to	·	a business development company	pursuant to section 54 of the Investment Company	Act of 1940
	(7)	are a pension consultant with	respect to assets of plans having ar	n aggregate value of at least \$200,0	00,000 that qualifies for the exemption in rule 203A	2(a);
	(8)	are a related adviser under ru		<i>led</i> by, or is under common <i>control</i> w	th, an investment adviser that is registered with the	
		If you check this box, complete	-			
	(9)		203A-2(c) because you expect to be	eligible for SEC registration withi	n 120 days;	
	. ,	If you check this box, complete	•		-	
	(10		is required to register in 15 or more	states and is relying on rule 203A-2	(d);	
	•			J J		

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

(11) are an Internet adviser rely	ying on rule 203A-2(e);							
[(12) have received an SEC orde	er exempting you from the prohi	ibition against registration with the SEC;						
If you check this box, comple	ete Section 2.A.(12) of Schedule D	D.						
(13) are no longer eligible to re								
(10) are no longer engine to 10	man registered with the ele.							
State Securities Authority Notice Filings	s and State Reporting by Fxem	ant Reporting Advisers						
C. Under state laws, SEC-registered advicalled notice filings. In addition, exemple If this is an initial application or report SEC. If this is an amendment to direct subsequent filings or reports you subthem, uncheck the box(es) next to the	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 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	п							
☐ AL		∥ ⊑ NE	□ sc					
□ AK	□ IN	∥ □ NV	□ _{SD}					
□ AZ	□ IA	∥ □ NH	∥ □ TN					
□ AR	□ KS	🗖 NJ	□ TX					
□ CA	□ KY	□ _{NM}	□ UT					
□со	□ LA	▼ NY	□ VT					
			III					
СТ	☐ ME	□ NC	∥ □ vı					
□ DE	□ MD	□ ND	□ VA					
□ DC	∥ □ MA	∥ □ он	∥ □ wa					
□ FL	□ MI	□ ok	□ wv					
□ _{GA}	□ _{MN}	□ OR	∥ □ wı					
□ GU	□ MS	□ PA	□ wy					
			VV Y					
□ ні	МО	□ PR						
□ ID	□ MT	□ RI						
If you are amending your registration t filing fee for the coming year, your ame			n and you do not want to pay that state's notice filing	j or report				
SECTION 2.A.(8) Related Adviser								
If you are relying on the exemption in rule	·	n on registration because you <i>control</i> , are <i>controlled</i> ess is the same as that of the registered adviser, p	by, or are under common <i>control</i> with an investment of the following information:	ent adviser				
Name of Registered Investment Adviser								
CRD Number of Registered Investment Ad	viser							
SEC Number of Registered Investment Ad-	SEC Number of Registered Investment Adviser							
SECTION 2.A.(9) Investment Adviser Exp	nacting to be Eligible for Comp	niccion Dogictration within 120 Days						
			to be eligible for CEC registration within 120 days	VOLL OF				
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 <i>state securities authority</i> 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								
Inavereviewed the applicable state and rederal 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.
lf v	ou 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.
SEC.	TION 2.A.(12) SEC Exemptive <i>Order</i>
	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
	olication Number:
803	
Dat	e of <i>order</i> :
	n 3 Form of Organization
	ou are filing an <i>umbrella registration</i> , the information in Item 3 should be provided for the <i>filing adviser</i> only. How are you organized?
, v.	Corporation
	Sole Proprietorship
	C Limited Liability Partnership (LLP)
	O Partnership
	C Limited Liability Company (LLC)
	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.
ten	n 4 Successions
teri	Yes No
Α.	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)?
	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.
SFC	TION 4 Successions

No Information Filed

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.

 879
- B. (1) Approximately how many of the *employees* reported in 5.A. perform investment advisory functions (including research)?
 - (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*?
 - (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?

 0
 - (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?
 - (2) Approximately what percentage of your *clients* are non-*United States persons*? 23%
- 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 Client(s)	(2) Fewer than 5 Clients	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)			\$
(b) High net worth individuals			\$
(c) Banking or thrift institutions			\$
(d) Investment companies			\$
(e) Business development companies		-	\$
(f) Pooled investment vehicles (other than investment companies and business development companies)	31		\$ 120,474,556,565
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)			\$
(h) Charitable organizations			\$
(i) State or municipal <i>government entities</i> (including government pension plans)			\$

Substance companies Substance Substa		(j) Other investment advisers				\$		
Compared to the description of		(k) Insurance companies				\$		
Comparation or attend and accordance and index above		(I) Sovereign wealth funds and foreign official institutions				\$		
Comparisation Arrangements To use concentration for your invasional advisory services by (clock all that south):								
Components for your investment of your investment ally son's pervises by (clerk all that apply) Components for your investment ally son's pervises by (clerk all that apply)								
Exposition of the content of the con		, ,		ı		· · · · · · · · · · · · · · · · · · ·		
Exposition of the content of the con	Com	pensation Arrangements						
Fig. 12 A concertage of asers under your management		•						
Part American Am	L.	 ✓ (1) A percentage of assets under your management ✓ (2) Hourly charges ✓ (3) Subscription fees (for a newsletter or periodical) ✓ (4) Fixed fees (other than subscription fees) ✓ (5) Commissions ✓ (6) Performance-based fees 						
Fe 10 to goth periodic cardinations and regular supervisory in transported services to sequence to cardinates portificially 1.5 to goth periodic cardinations and regular supervisory in successful cardinates and focial number of accounts? 1.5 to flow Amunity 1.5 to flow Amunit		<u> </u>	nent					
1. 1. 1. 1. 1. 1. 1. 1.	Regi	ulatory Assets Under Management					Ves No	
Variety of the content of your regulatory used to under management and total number of accounts?	F.	(1) Do you provide continuous and regular supervisory or management services to se	ecurities portfolios?					
U.S. Delice Amount U.S. Delice Amount Island Island Number of Accounts			•				v v	
Non-biscretionary: (b) \$ C (c) \$ 120.474,566,565 (d) C 3 120.474,566,566 (d) C 3 120.474,5			2.22.20		Total Numbe	er of Accounts		
Non-biscretionary: (b) \$ C (c) \$ 120.474,566,565 (d) C 3 120.474,566,566 (d) C 3 120.474,5				(d)				
### TA Instruction 5.0 coptains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this from 30 What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to <i>citorits</i> who are non- <i>thited States</i> 19.278.360.561 1					0			
Silvant is the approximate amount of your total regulatory assets under management (reported in Item 5.F. (2)(c) above) attributable to <i>clients</i> who are non-United States persons? \$19,278,360,561 Item 5 Information About Your Advisory Business - Advisory Activities		Total: (c) \$ 120,474,556,565		(f)	31			
Advisory Activities		persons?	ent (reported in Item 5.F.	.(2)(c) ab	ove) attributa	ble to <i>clients</i> who are no	n- <i>United States</i>	
Advisory Activities	Item	5 Information About Your Advisory Business - Advisory Activities						
(1) Financial planning services (2) Portfolio management for individuals and/or small businesses (3) Portfolio management for individuals and/or small businesses (3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940) (5) Portfolio management for businesses (other than investment companies) (6) Portfolio management for businesses (other than small businesses) or institutional <i>clients</i> (other than registered investment companies and other pooled investment vehicles) (7) Selection of other advisers (including <i>private fund</i> managers) (8) Publication of periodicals or newsletters (9) Security ratings or pricing services (10) Market timing services (11) Educational seminars/workshops (12) Other(specify): Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D. H. If you provide financial planning services, to how many <i>clients</i> did you provide these services during your last fiscal year? (2) 26 - 50 (3) 1 - 10 (1) 1- 25 (2) 26 - 50 (3) 1 - 10 (4) 125 (5) 26 - 50 (5) 1 - 100 (6) 101 - 250 (7) 251 - 500 (8) More than 500								
C) Portfolio management for individuals and/or small businesses Portfolio management for individuals and/or small businesses Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940) Portfolio management for pooled investment vehicles (other than investment companies) Portfolio management for businesses (other than small businesses) or institutional <i>clients</i> (other than registered investment companies and other pooled investment vehicles) Pension consulting services Portfolio management for businesses (other than small businesses) Portfolio management for businesses (other than investment companies) Portfolio management for pooled investment vehicles (other than registered investment companies and other pooled investment vehicles) Portfolio management for pooled investment pooled investment company (other (specify)) Portfolio management for pooled investment pooled investment company portions and other pooled investment company portfolio pooled investment company portfolio pooled investment company portfolio pooled investment companies and other pooled investment pooled investment company portfolio pooled investment pooled investment pooled investment company portfolio pooled investment pooled inve	G.	What type(s) of advisory services do you provide? Check all that apply.						
Garage G								
Company Act of 1940) (4) Portfolio management for pooled investment vehicles (other than investment companies) (5) Portfolio management for businesses (other than small businesses) or institutional <i>clients</i> (other than registered investment companies and other pooled investment vehicles) (6) Pension consulting services (7) Selection of other advisers (including <i>private fund</i> managers) (8) Publication of periodicals or newsletters (8) Security ratings or pricing services (9) Security ratings or pricing services (10) Market timing services (11) Educational seminars/workshops (12) Other(specify): Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subsidiviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D. H. If you provide financial planning services, to how many <i>clients</i> did you provide these services during your last fiscal year? (8) 0 (1) 10 (1) 125 (2) 6-50 (5) 1-100 (1) 1-25 (2) 51-500 (More than 500		C,	olonmont commants = " !!	ot bours :-	ado an al1'	on purcuent to continue 5	1 of the Investment	
 ✓ (4) Portfolio management for pooled investment vehicles (other than investment companies)		(c)	elopinent companies" the	ai nave m	aue an electio	on pursuant to section 54	+ OF THE INVESTMENT	
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(7) Selection of other advisers (including <i>private fund</i> managers) (8) Publication of periodicals or newsletters (9) Security ratings or pricing services (10) Market timing services (11) Educational seminars/workshops (12) Other(specify): Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D. If you provide financial planning services, to how many clients did you provide these services during your last fiscal year? © 0		The state of the s						
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Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D. H. If you provide financial planning services, to how many clients did you provide these services during your last fiscal year? © 0 1 - 10 11 - 25 26 - 50 51 - 100 101 - 250 251 - 500 More than 500								
1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D. H. If you provide financial planning services, to how many clients did you provide these services during your last fiscal year? O 1 - 10 O 11 - 25 O 26 - 50 O 51 - 100 O 101 - 250 O 251 - 500 O More than 500								
© 0 1 - 10 11 - 25 26 - 50 51 - 100 101 - 250 251 - 500 More than 500		1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number				_		
1 - 10 11 - 25 26 - 50 51 - 100 101 - 250 251 - 500 More than 500	H.	If you provide financial planning services, to how many <i>clients</i> did you provide these s	services during your last	fiscal year	~?			
1 - 10 11 - 25 26 - 50 51 - 100 101 - 250 251 - 500 More than 500				-				
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 26 - 50 51 - 100 101 - 250 251 - 500 More than 500 		V						
O 101 - 250 O 251 - 500 O More than 500								
C 251 - 500 C More than 500		O 51 - 100						
More than 500								
		Many than 500						

(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	
Ι.	(1) Do you participate in a wrap fee program?(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\$	0	•	
	(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 Schedule 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 through a wrap fee program, check Item 5.I.(1) or enter any amounts in response to Item 5.I.(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	No ©	
	(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	
K.	Separately Managed Account Clients	V	N	
	(1) Do you have regulatory assets under management attributable to clients other than those listed in Item 5.D.(3)(d)-(f) (separately managed account clients)?	Yes Ö	⊙	
	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?	0	0	
	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?	0	0	
	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 ten percent or more of this remaining amount of regulatory assets under management?	0	0	
	If yes, complete Section 5.K.(3) of Schedule D for each custodian.			
L.	Marketing Activities	Voc	No	
	(1) Do any of your advertisements include:	Yes	NO	
	(a) Performance results?	•	0	
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	•	0	
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	•	
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	•	
	(e) Third-party ratings?	•	0	
	(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 testimonials, endorsements, or third-party ratings?	0	•	
	(3) Do any of your advertisements include hypothetical performance?	•	0	
	(4) Do any of your advertisements include predecessor performance?	0	•	

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

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.

Asset 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) Sovereign Bonds	%	%
(vi) Investment Grade Corporate Bonds	%	%
(vii) Non-Investment Grade Corporate Bonds	%	%
(viii) Derivatives	%	%
(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) Cash and Cash Equivalents	%	%
(xii) Other	%	%

Generally describe any assets included in "Other"

b) /	Asset Type	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) Sovereign Bonds	%
(vi) Investment Grade Corporate Bonds	%
(vii) Non-Investment Grade Corporate Bonds	%
(viii) Derivatives	%
(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) Cash and Cash Equivalents	%
(xii) Other	%

Generally describe any assets included in "Other"

☐ 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) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity 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	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity 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	\$	\$

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.

SECT	ION 5.K.(3) Custodians for Separately Managed Accounts	
	No Information Filed	
	6 Other Business Activities	
In th	s Item, we request information about your firm's other business activities.	
	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.	
В.	(1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?	Yes No
	(1) Are you actively engaged in any other business not listed in Hem o.A. (other than giving investment advice): (2) If yes, is this other business your primary business?	0 C
		0 6
	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
	(3) Do you sell products or provide services other than investment advice to your advisory clients?	0 6
	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.	

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*.

Α.	This part of Item 7 requires you to provide information about you and your <i>related persons</i> , including foreign affiliates. Your <i>related persons</i> are all of your <i>advisory affiliates</i> and any <i>person</i> that is under common <i>control</i> 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
	(9) trust company (10) accountant or accounting firm (11) lawyer or law firm
	(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.
SEC	CTION 7.A. Financial Industry Affiliations
Cor	mplete a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.
1.	Legal Name of <i>Related Person</i> : D. E. SHAW DIOPTER GENERAL PARTNER, L.L.C.
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW DIOPTER GENERAL PARTNER, L.L.C.
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		
	(l)	insurance company or agency		
	(m)			
	(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		
,	Da.	value control or any value controlled by the moleted marcon?	Yes	
6.	ро у	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	⊙
7.	Are	you and the related person under common control?	•	_
	7 0		٠	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		0
	(b)	If the answer is yes, under what exemption?		
	(D)	if the answer is yes, under what exemption:		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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.		
		No Information Filed		
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	\odot	\circ
12.	Do y	you and the <i>related person</i> share the same physical location?	\odot	\circ
1.	_	al Name of <i>Related Person</i> : E. SHAW INVESTMENT MANAGEMENT, L.L.C.		
2.		nary Business Name of <i>Related Person</i> : SHAW INVESTMENT MANAGEMENT, L.L.C.		
	D. L	. SHAW HWESTMENT MANAGEMENT, E.E.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
		- 64222		
	or			
	Othe	er en		
4.	Rela	ated Person's		
		CRD Number (if any):		
		135284		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Rela	ated 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 accounting firm		
	(k)	□ accountant or accounting firm □ lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		

	(p) 🗹 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes ©	
7.	Are you and the related person under common contro?	•	0
8.	 (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>? (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>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: □ 	O O	O
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	
10.	 (b) If the answer is yes, under what exemption? (a) Is the related person registered with a foreign financial regulatory authority? (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. No Information Filed 	0	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
	Legal Name of <i>Related Person</i> : RENEWABLE ENERGY ASSETCO SIDECAR, L.L.C. Primary Business Name of <i>Related Person</i> : RENEWABLE ENERGY ASSETCO SIDECAR, L.L.C.		
	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 (l) insurance company or agency (m) pension consultant (n) real estate broker or dealer (s) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) vertical partner, managing member (or equivalent) of pooled investment vehicles	7 4V	No
6.	Do you control or are you controlled by the related person?	Yes ©	
7	Are you and the related person under common control?	_	_

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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:		
	()			No
9.		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	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	\odot
	(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.		
11	. Do v	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?		0
	. 20)		•	
12	. Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : E. SHAW DIOPTER MANAGER, L.L.C.		
	D. L	SHAW DIOFFER MANAGER, E.E.C.		
2.		nary Business Name of <i>Related Person</i> : E. SHAW DIOPTER MANAGER, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
	01			
4.		ated Person's CDD Number (if any)		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.		ated Person is: (check all that apply) Description of the property of the control of the contro		
	(a) (b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
		registered security-based swap dealer		
	(e) (f)	 □ major security-based swap participant ☑ 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 □ accountant or accounting firm 		
	(j) (k)	lawyer or law firm		
	(1)	insurance company or agency		
	(n) (o)	real estate broker or dealer 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	No
6.	Do y	you control or are you controlled by the related person?	0	\odot
7.	Are	you and the related person under common control?		0
8.	(a) (b)	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> ? 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	_	•
	(5)	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> ?	O	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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:	Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? 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	0	•
11.	Do y	you and the related person share any supervised persons?	•	0
10	Day	you and the related nerson share the same physical legation?	_	
12.	ро у	you and the <i>related person</i> share the same physical location?	•	0
	D.E.	al Name of <i>Related Person</i> : SHAW SECURITIES, L.L.C. hary Business Name of <i>Related Person</i> : SHAW SECURITIES, L.L.C.		
	D.E.	SHAW SECURITIES, L.L.C.		
3.		nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 10745		
	or			
	Othe	er 		
4.		cred Person's CRD Number (if any): 24332		
	(b)	CIK Number(s) (if any): No Information Filed		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) (o) (p)	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 real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes	No
6.	Do y	you control or are you controlled by the related person?	•	0
7.	Are :	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.		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> ?	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>clients'</i> assets: 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:	Yes	NI~
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	res O	
	(b)	If the answer is yes, under what exemption?		

10.	(a)	Is the related person registered with a foreign financial regulatory authority?	\odot	0
	(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.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Canada - Ontario Securities Commission		
11.	Do y	you and the related person share any supervised persons?	\odot	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	Lega	al Name of <i>Related Person</i> :		
' '	_	. SHAW RENEWABLE INVESTMENTS, L.L.C.		
2.		ary Business Name of <i>Related Person</i> : . SHAW RENEWABLE INVESTMENTS, L.L.C.		
3.	Rela -	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe			
4.		ted Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(2)	No Information Filed		
5.	Rela	ted 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)	L trust company		
		accountant or accounting firm		
	(k)	lawyer or law firm		
		insurance company or agency		
		pension consultant		
		real estate broker or dealer		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(P)	spensor, general partner, managing member (or equivalent) or pooled investment vehicles	Yes	Nc
6.	Do v	you control or are you controlled by the related person?		
	- ~ y		•	0
7.	Are v	you and the related person under common control?	6	0
, .	7110	you and the related person and the comment comment	٠	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.		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		
	(b)	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> ?	О	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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		
0	(2)	If the related person is an investment advisor, is it exempt from registration?	Yes	
9.		If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10	(0)	Is the related person registered with a foreign financial regulatory authority?	_	_
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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		
11	Do v	ou and the related person share any supervised persons?	_	_
' ' '	y	and the related person share any supervised persons.	(•)	0

12.		0	•
1.	Legal Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C.		
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 (t) trust company (j) accountant or accounting firm (k) lawyer or law firm (l) insurance company or agency (m) pension consultant (n) real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes N	
	Do you control or are you controlled by the related person?	0	
1.	Are you and the <i>related person</i> under common <i>control</i> ?	•	٥
8.	 (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>? (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>' fundor 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</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: 	O das	
	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	Vac N	ıla.
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes N	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	⊙
	(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. No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0

2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C.			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	or			
	Other			
4.	Related Person's			
٠.	(a) CRD Number (if any):			I
				1
	(b) CIK Number(s) (if any): No Information Filed			
5	Related Person is: (check all that apply)			
J.	(a) Droker-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			
	(e) I 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 			
	(k) lawyer or law firm (l) insurance company or agency			
	(m) pension consultant			
	(n) real estate broker or dealer			
	 (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 			
	(b) E sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Ye	s N	10
6.	Do you control or are you controlled by the related person?	0	(⊙
7.	Are you and the related person under common control?	•	(0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	C) (•
	(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> fundor securities that are maintained at the <i>related person</i> ?	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>clients'</i> assets:			
	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: The provided HTML is a second of the provided HTML is a second			
	in this address is a private residence, effect this box.	Ye	s N	10
9.	(a) If the related person is an investment adviser, is it exempt from registration?	O	(0
	(b) If the answer is yes, under what exemption?			
10	(a) Is the related person registered with a foreign financial regulatory authority?	_		_
10.	(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	(•
	No Information Filed			
11.	Do you and the related person share any supervised persons?	•	(
12.	Do you and the <i>related person</i> share the same physical location?	e) (0
1.	Legal Name of Related Person:			
	RENEWABLE ENERGY ASSETCO III MANAGER, L.L.C.			
2.	Primary Business Name of <i>Related Person</i> :			
	RENEWABLE ENERGY ASSETCO III MANAGER, L.L.C.			
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(c) (if any).		
	(b) CIK Number(s) (if any): No Information Filed		
5.	Related Person is: (check all that apply) (a)		
	(m) pension consultant (n) real estate broker or dealer		
	(o) 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	No
6.	Do you control or are you controlled by the related person?	•	С
7.	Are you and the related person under common control?	•	С
8.	 (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>? (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>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: D 		0
	If this address is a private residence, theta this box.	Yes	. No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	С
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(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		•
11.	Do you and the related person share any supervised persons?	•	С
12.	Do you and the <i>related person</i> share the same physical location?	0	©
1.	Legal Name of <i>Related Person</i> : D. E. SHAW MANAGER II, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW MANAGER II, L.L.C.		
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 Nulliber(s) (ii aliy).		No Information Filed	d		
5.	(b) ☐ other investment advise (c) ☐ registered municipal ad (d) ☐ registered security-base (e) ☐ major security-based so (f) ☑ commodity pool operate (g) ☐ futures commission men (h) ☐ banking or thrift institut (i) ☐ trust company (j) ☐ accountant or accountin (k) ☐ lawyer or law firm (l) ☐ insurance company or a (m) ☐ pension consultant (n) ☐ real estate broker or de (o) ☐ sponsor or syndicator or	pal securities dealer, or government securities (including financial planners) dvisor sed swap dealer swap participant tor or commodity trading advisor (whether erchant aution agency	er registered or exempt from r			
6.	Do you <i>control</i> or are you <i>controll</i>	lled by the related person?			Yes	s No
7.	Are you and the related person ur	nder common control?			•	C
8.	 (b) If you are registering or regoperationally independent (por securities that are maintage) (c) If you have answered "yes" Number and Street 1: City: 	(pursuant to rule 206(4)-2(d)(5)) from th tained at the <i>related person</i> ? " to question 8.(a) above, provide the loc State:	wered "yes," to question 8.(a) he <i>related person</i> and thus are	above, have you overcome the presumption that you are not not required to obtain a surprise examination for your <i>clients'</i> funds office responsible for <i>custody</i> of your <i>clients'</i> assets:		0
	·	residence, check this box: \square			Yes	, No
9.	(a) If the related person is an int(b) If the answer is yes, under	nvestment adviser, is it exempt from regis what exemption?	stration?		0	С
	. (a) Is the <i>related person</i> registe	ered with a <i>foreign financial regulatory aut</i> e name and country, in English of each <i>fo</i>	· ·	ority with which the <i>related person</i> is registered.		0
12.	. Do you and the <i>related person</i> sha	nare the same physical location?			•	С
	Legal Name of <i>Related Person</i> : D. E. SHAW RE (BERMUDA), LTD. Primary Business Name of <i>Related</i>	ed Person:				
2.	D. E. SHAW RE (BERMUDA), LTD.	a rersen.				
3.	Related Person's SEC File Number - or Other	r (if any) (e.g., 801-, 8-, 866-, 802-)				
4.	Related Person's (a) CRD Number (if any):					
	(b) CIK Number(s) (if any):		No Information Filed	d		
5.	Related Person is: (check all that a	apply) pal securities dealer, or government secur	rities broker or dealer			

	(b)	o) 🗖 other investment adviser (including financial planners)		
	(c)) 🗖 registered municipal advisor		
	(d)	l) 🗖 registered security-based swap dealer		
	(e)	e) 🗖 major security-based swap participant		
	(f)			
	(g)			
	(h)			
	(i)			
	(j) (k)			
	(I)			
		n) D pension consultant		
	•	n) \square real estate broker or dealer		
	(o)	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	No
	6. Do	o you control or are you controlled by the related person?	\odot	0
	7. Ar	re 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	•
	(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	0	0
		operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds		
		or securities that are maintained at the related person?		
	(c)			
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
		Tithis dadress is a private residence, crisek time sex.	Yes	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. (a)) Is the related person registered with a foreign financial regulatory authority?	•	0
	(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.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Bermuda - Bermuda Monetary Authority		
	11. Do	o you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
	12. Do	o you and the <i>related person</i> share the same physical location?	0	•
-				
	1 .	and Name of Delated Dames		
		egal Name of <i>Related Person:</i> . E. SHAW & CO. (BERMUDA), LTD.		
	υ.	L. STIWW & GO. (BERWIGENY, ETB.		
	2. Pri	rimary Business Name of Related Person:		
		. E. SHAW & CO. (BERMUDA), LTD.		
	3. <i>Re</i>	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
- 11	or Ot			
	Οt	thor		
		ther		
	4. <i>R</i> ∈			
		elated Person's		
	4. <i>R€</i> (a)	elated Person's		
		elated Person's i) CRD Number (if any): ii) CIK Number(s) (if any):		
	(a)	elated Person's i) CRD Number (if any):		
	(a)	elated Person's i) CRD Number (if any): ii) CIK Number(s) (if any):		
	(a)	elated Person's O CRD Number (if any): O CIK Number(s) (if any): No Information Filed		
	(a) (b) 5. <i>Re</i>	elated Person's CRD Number (if any): No Information Filed Person is: (check all that apply)		
	(a) (b) 5. <i>Re</i> (a)	elated Person's O CRD Number (if any): No Information Filed elated Person is: (check all that apply) D broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(a) (b) 5. <i>Re</i> (a) (b)	elated Person's i) CRD Number (if any): No Information Filed elated Person is: (check all that apply) by CIK Number(s) (if any): No Information Filed		
	(a) (b) 5. Re (a) (b) (c)	elated Person's (i) CRD Number (if any): (ii) CIK Number(s) (if any): (iii) No Information Filed (iii) Person is: (check all that apply) (iii) broker-dealer, municipal securities dealer, or government securities broker or dealer (iii) other investment adviser (including financial planners) (iii) registered municipal advisor		
	(a) (b) 5. <i>Re</i> (a) (b)	elated Person's CRD Number (if any): No Information Filed Pelated Person is: (check all that apply) by broker-dealer, municipal securities dealer, or government securities broker or dealer of the investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer		

	(g)) \square futures commission merchant		
	(h)) 🗖 banking or thrift institution		
	(i)	☐ trust company		
	(j)			
	(k)			
	(l)			
	(m			
	(n)			
	(o)			
	(p)	sponsor, general partner, managing member (or equivalent) or pooled investment vehicles	Yes	No
\parallel_{ϵ}	o. Do	o you control or are you controlled by the related person?	• •	
	,. De	s you control of all o you controlled by the related person.	•	U
-	Δr	re you and the <i>related person</i> under common <i>control</i> ?	_	_
'	. 711	e you and the related person under common controls	•	0
	3. (a)) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	_	•
	(b)			
	(D)	operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds	О	0
		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 related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: 🗖		
			Yes	No
9). (a)) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	\circ
	(b)) If the answer is yes, under what exemption?		
1	0. (a)) Is the related person registered with a foreign financial regulatory authority?	\odot	\circ
	(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.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		Bermuda - Bermuda Monetary Authority		
1	1. Do	Bermuda - Bermuda Monetary Authority by you and the related person share any supervised persons?	•	0
1	1. Do		•	0
				0
		by you and the related person share any supervised persons?		
		by you and the related person share any supervised persons?		
1	2. Do	by you and the <i>related person</i> share any <i>supervised persons</i> ? by you and the <i>related person</i> share the same physical location?		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location?		
1	2. Do	by you and the <i>related person</i> share any <i>supervised persons</i> ? by you and the <i>related person</i> share the same physical location?		
1	2. Do	by you and the <i>related person</i> share any <i>supervised persons</i> ? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share any <i>supervised persons</i> by you and the <i>related person</i> share any <i>supervised persons</i> by you and the <i>related person</i> share any <i>supervised persons</i> considering the same physical location?		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location?		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons?		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons? by you and the related person share any supervised persons?		
1	2. Do	by you and the <i>related person</i> share any <i>supervised persons</i> ? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share the same physical location? by you and the <i>related person</i> share any <i>supervised persons</i> : c. SHAW HELIANT MANAGER, L.L.C. by you and the <i>related person</i> share any <i>supervised persons</i> : c. SHAW HELIANT MANAGER, L.L.C.		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by gal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. climary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. cleated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
1	2. Do	by you and the <i>related person</i> share any <i>supervised persons</i> ? by you and the <i>related person</i> share the same physical location? ggal Name of <i>Related Person</i> : E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of <i>Related Person</i> : E. SHAW HELIANT MANAGER, L.L.C. glated <i>Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. glated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person: E. SHAW HELIANT MANAGER, L.L.C. billiant MANAGER, L.L.C. belated Person's SEC File Number (If any) (e.g., 801-, 8-, 866-, 802-) billiant MANAGER, L.L.C. bi		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. glated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share any supervised person: E. SHAW HELIANT MANAGER, L.L.C. binary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. belated Person's SEC File Number (If any) (e.g., 801-, 8-, 866-, 802-) bither belated Person's (PRD Number (If any):		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share any supervised persons: E. SHAW HELIANT MANAGER, L.L.C. bimary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. belated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther belated Person's CRD Number (if any):		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. selated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther selated Person's (CRO Number (if any):		
1	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. selated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther selated Person's (CRO Number (if any):		
1 2 2	2. Do	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. selated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther selated Person's (CRO Number (if any):		
1 2 2	2. Do . Le D. 2. Pri D. 3. Re or Ot (a) (b)	p you and the related person share any supervised persons? po you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Polated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) Atther Selated Person's O CRD Number (if any): O CIK Number(s) (if any): No Information Filed		
1 2 2	2. Do . Le D. 2. Pri D. 3. Re or Ot (a) (b)	by you and the related person share any supervised persons? by you and the related person share the same physical location? gall Name of Related Person: E. SHAW HELIANT MANACER, L.L.C. simary Business Name of Related Person: E. SHAW HELIANT MANACER, L.L.C. selated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) sther selated Person's CRD Number (if any): No Information Filed plated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer		
1 2 2	2. Do . Le D. . Pri D. . Re (a) (b)	by you and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. glated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther clated Person's ORD Number (if any): No Information Filed No Information Filed		
1 2 2	2. Do . Le D. 2. Pri D. 3. Re or Ot (a) (b)	by you and the related person share any supervised persons? by you and the related person share the same physical location? gal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) Atther Related Person's SEC File Number (if any): No Information Filed No Information Filed No Information Filed No Information Filed Displaced Person is: (check all that apply)		
1 2 2	2. Do . Le D. . Pri D. 3. Re (a) (b) (b)	ayou and the related person share any supervised persons? by you and the related person share the same physical location? ggal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Solated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) Ither Solated Person's (CRO Number (if any): OCIK Number(s) (if any): No Information Filed Person is: (check all that apply) of their investment adviser (including financial planners) of registered municipal advisor		
1 2 2	2. Do . Le D. . Pri D. . Re (a) (b) (c) (d)	by you and the related person share any supervised persons? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person share the same physical location? by you and the related person: E. SHAW HELIANT MANAGER, L.L.C. blated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther blated Person's CERD Number (if any): No Information Filed blated Person is: (check all that apply) CIK Number(s) (it any): No Information Filed blated Person is: (check all that apply) CIK number(s) (it any): No Information Filed blated Person is: (check all that apply) CIK number(s) (it any): No Information Filed blated Person is: (check all that apply) CIK number(s) (it any): No Information Filed blated Person is: (check all that apply) CIK number(s) (it any): No Information Filed		
1 2 2	2. Do . Le D. . Pri D. . Re (a) (b) (c) (d) (e)	by you and the related person share any supervised persons? by you and the related person share the same physical location? gal Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Imary Business Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Stated Person's SEC File Number (If any) (e.g., 801-, 8-, 866-, 802-) After Selated Person's CRD Number (If any): OCR Number (If any): No Information Filed No Information Filed Displaced Person is: (check all that apply) Displaced Person is: (check a		
1 2 2	2. Do . Le D. . Pri D. . Re (a) (b) (c) (d) (e) (f)	by you and the related person share any supervised persons? by you and the related person share the same physical location? gal Name of Related Person: F. SHAW HELIANT MANAGER, L.L.C. Imary Business Name of Related Person: F. SHAW HELIANT MANAGER, L.L.C. Seleted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) ther Seleted Person's CIK Number (if any): ORD Number (if any): No Information Filed Alafed Person is: (check all that apply) Cit on the related municipal securities dealer, or government securities broker or dealer Cit on the registered security-based swap dealer Cit on the registered security-based swap participant Cit on the right security-based swap participant Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
3	2. Do . Le D. . Re or Ot . Re (a) (b) (c) (d) (e) (f) (g)	ayou and the related person share any supervised persons? ayou and the related person share the same physical location? again Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. In SHAW HELI		
3	2. Do . Le D. . Pri D. . Re (a) (b) (c) (d) (e) (f) (g)	you and the related person share any supervised persons? you and the related person share the same physical location? gall Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Imany Business. Name of Related Person: E. SHAW HELIANT MANAGER, L.L.C. Stated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) there stored Person's C. AD Number (if any): No Information Filed No Information Filed No Information Filed District Person is: (chock all that apply) District Person is: (chock all that apply)		

	(I)	insurance company or agency		ľ
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
ó.	Do y	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes	No ①
7.	Are	you and the related person under common control?	•	0
3.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	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>clients'</i> assets: 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: \Box	Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		
, .	(b)	If the answer is yes, under what exemption?		0
10	(0)	Le the related person registered with a fersion financial regulatory outhority?		
IU.	(a)		0	⊙
	(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. No Information Filed		
11.	Doy	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1	Lea:	al Name of <i>Related Person</i> :		
	_	E. SHAW VALENCE INTERNATIONAL FUND GP, L.L.C.		
2.		nary Business Name of <i>Related Person</i> : E. SHAW VALENCE INTERNATIONAL FUND GP, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Oth	er e		
1.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
<u>.</u>	Rela	ated 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) (f)	 □ major security-based swap participant ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 		
	(i) (g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(1-)	1	Yes	No

'	5. Do	you control or are you controlled by the related person?	0	•
	7. Ar	e you and the <i>related person</i> under common <i>control</i> ?	•	0
:	8. (a) (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> ?		© C
	9. (a)) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	No O
	(b)) If the answer is yes, under what exemption?	~	~
	10. (a)) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0	•
	(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		
	11. Dc	you and the related person share any supervised persons?	•	0
	12. Dc	you and the <i>related person</i> share the same physical location?	•	0
	D.	gal Name of <i>Related Person</i> : E. SHAW CEOF GP, L.L.C. imary Business Name of <i>Related Person</i> :		
		E. SHAW CEOF GP, L.L.C.		
	3. <i>Re</i> -	elated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Ot	her		
	4. <i>Re</i> (a)	elated Person's) CRD Number (if any):		
	(b)) CIK Number(s) (if any): No Information Filed		
		No illiormation i lieu		
	5. Re (a) (b) (c) (d) (e) (f) (j) (k) (l) (m (n)	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		
	(o) (p)			
				No
	5. Do	you control or are you controlled by the related person?	0	•
	7. Ar	e you and the <i>related person</i> under common <i>control</i> ?	•	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	•

		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 related person and thus are not required to obtain a surprise examination for your clients' fur or securities that are maintained at the related person?	nds	()
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:			
		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:			
		If this address is a private residence, check this box.	Yes	s N	lo
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	(0
	(b)	If the answer is yes, under what exemption?			
10.		Is the related person registered with a foreign financial regulatory authority?	0	6	•
	(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. No Information Filed			
11.	. Do y	you and the related person share any supervised persons?	•		3
			~	ì	,
12.	. Do y	you and the <i>related person</i> share the same physical location?	•	(0
					_
					_
1.	Lega	al Name of <i>Related Person</i> :			
	D. E.	E. SHAW MULTI-ASSET MANAGER, L.L.C.			
2.	Drim	mary Business Name of <i>Related Person</i> :			
۷.		E. SHAW MULTI-ASSET MANAGER, L.L.C.			
3.	Relat	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or				
	Othe	er			
4.		ated Person's CRD Number (if any):			
	(a)	The Number (if diffy).			
	(b)	CIK Number(s) (if any):			
		No Information Filed			
5.	Rela	ated Person is: (check all that apply)			
		broker-dealer, municipal securities dealer, or government securities broker or dealer			
	(b)	other investment adviser (including financial planners)			
	(c) (d)	registered municipal advisor registered security-based swap dealer			
	(e)	major security-based swap participant			
	` ,	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			
	(l)	insurance company or agency			
	(m)	pension consultant			
	(n)	real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(b)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
6	Do v	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	Yes		
6.	БО у	you control of are you controlled by the related person!	0	(9
7.	Are '	you and the related person under common contro?	•	,	_
-)		•	(3
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	6	•
	(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	O		
		operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' fur		-1	
		or securities that are maintained at the <i>related person</i> ? If you have answered "yos" to question 8 (a) above, provide the location of the <i>related person</i> 's effice responsible for custody of your clients' assets:			
	(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> assets: 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: L	Voc	Na
9.		Yes I	
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (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. No Information Filed 	0	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : D. E. SHAW INVESTMENT MANAGEMENT OFFSHORE GP, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW INVESTMENT MANAGEMENT OFFSHORE GP, L.L.C.		
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)	Yes	No
6.	Do you control or are you controlled by the related person?	•	0
7.	Are you and the related person under common control?	•	0
8.	 (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>? (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>? 	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>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes I	Nο
9.		O	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•

	(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		
11.	. Do you and	the related person share any supervised persons?	•	0
12.	. Do you and	the <i>related person</i> share the same physical location?	~ ⊙	
1.	-	e of <i>Related Person</i> : E ENERGY ASSETCO II MANAGER, L.L.C.		
2.	•	siness Name of <i>Related Person</i> : E ENERGY ASSETCO II MANAGER, L.L.C.		
3.	Related Per	son's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- Or			
	or Other			
4.	Related Pers	son's umber (if any):		
	(b) CIK Nu	umber(s) (if any): No Information Filed		
5.	(a)	son is: (check all that apply) roker-dealer, municipal securities dealer, or government securities broker or dealer ther investment adviser (including financial planners) egistered municipal advisor egistered security-based swap dealer najor security-based swap participant		
	(f) ☐ cc (g) ☐ fu (h) ☐ ba (i) ☐ tr	ommodity pool operator or commodity trading advisor (whether registered or exempt from registration) utures commission merchant anking or thrift institution ust company		
	(k)	ecountant or accounting firm wyer or law firm surance company or agency ension consultant		
	(o) 🗖 sk	eal estate broker or dealer consor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles consor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do you <i>con</i>	trol or are you controlled by the related person?	•	0
7.	Are you and	d the <i>related person</i> under common <i>control</i> ?	•	0
8.	(b) If you operat	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> ? 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 clients in the 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 urities that are maintained at the <i>related person</i> ?	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>clients'</i> assets: er and Street 1: State: Number and Street 2: Country: ZIP+4/Postal Code:		
	•	address is a private residence, check this box: \square	V	N 1-
9.	(a) If the	related person is an investment adviser, is it exempt from registration?	Yes	
	(b) If the	answer is yes, under what exemption?	~	~
10.	. (a) Is the	related person registered with a foreign financial regulatory authority?	0	•
	(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		
11.	. Do you and	the related person share any supervised persons?	•	0
1 2	Do you one	the related person share the same physical location?	_	_

	Large Norma of Deleted Person.		
۱.	Legal Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER III, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> :		
	D. E. SHAW ALKALI GENERAL PARTNER III, L.L.C.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
1.	Related Person's		
	(a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
_	Related Person is: (check all that apply)		
٦.	(a) Droker-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		
	(I) Insurance company or agency		
	(m) pension consultant		
	 (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 		
	 (b) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
		Yes	
ο.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	⊙	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	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>clients'</i> assets:		
	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: The property of the prop		
_		Yes	
1.	(a) If the related person is an investment adviser, is it exempt from registration?(b) If the answer is yes, under what exemption?	0	0
10.	(a) Is the related person registered with a foreign financial regulatory authority?	\circ	•
	(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		
11.	Do you and the related person share any supervised persons?	\odot	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : D. E. SHAW COMPOSITE MANAGER, L.L.C.		

2. Primary Business Name of Related Person:

	D. E. SHAW COMPOSITE MANAGER, L.L.C.		
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		
	(I) insurance company or agency (m) pension consultant		
	(m) pension consultant (n) real estate broker or dealer		
	(o) 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	. No
6.	Do you control or are you controlled by the related person?	0	
7.	Are you and the related person under common control?	•	С
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	0	С
	(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> assets: Number and Street 1: Number 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: \square	Yes	. No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?		
10	(a) Is the related person registered with a foreign financial regulatory authority?	0	_
10.	(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	O	٠
11.	Do you and the related person share any supervised persons?	•	С
12.	Do you and the <i>related person</i> share the same physical location?	•	С
1.	Legal Name of <i>Related Person</i> : D. E. SHAW TERRELLA FUND GP, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW TERRELLA FUND GP, L.L.C.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		

	Related Person's (a) CRD Number (if any):		
	(b) CIK Number(s) (if any): No Information Filed		
	Related Person is: (check all that apply) (a)		
	 (h) □ banking or thrift institution (i) □ trust company (j) □ accountant or accounting firm (k) □ lawyer or law firm (l) □ insurance company or agency (m) □ pension consultant (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 	Vas	a Ni
6.	Do you control or are you controlled by the related person?	Yes	
		~	•
7.	Are you and the <i>related person</i> under common <i>control</i> ?	•	(
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	e
	 (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>? (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> assets: Number and Street 1: 	0	(
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: \Box	V	- NI
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes	
	(b) If the answer is yes, under what exemption?		•
10.		0	6
	(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. No Information Filed		
11.	Do you and the related person share any supervised persons?	•	(
12.	Do you and the <i>related person</i> share the same physical location?	⊙	(
			_
	Legal Name of <i>Related Person</i> : D. E. SHAW MULTI-ASSET MANAGER GP, L.L.C.		
	Primary Business Name of <i>Related Person</i> : D. E. SHAW MULTI-ASSET MANAGER GP, L.L.C.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or		
	Other		
	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 (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 (l) insurance company or agency (m) pension consultant (n) real estate broker or dealer (s) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor or general partner, managing member (or equivalent) of pooled investment vehicles		
6.		Yes	No ©
7.	Are you and the related person under common control?		0
8.	 (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>? (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>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets:		⊙
9.	If this address is a private residence, check this box: (a) If the <i>related person</i> is an investment adviser, is it exempt from registration? (b) If the answer is yes, under what exemption?	Yes	No O
	 (a) Is the related person registered with a foreign financial regulatory authority? (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. No Information Filed Do you and the related person share any supervised persons? 		•
	. Do you and the related person share the same physical location?		0
1.	Legal Name of <i>Related Person</i> : D. E. SHAW MANAGER, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW MANAGER, L.L.C.		
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 (l) ☐ insurance company or agency (m) ☐ pension consultant (n) ☐ real estate broker or dealer (o) ☐ 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 I	Nc
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	0
8.	 (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>? (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>' function 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</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: 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: □ 		0
9.	(a) If the related person is an investment adviser, is it exempt from registration?	Yes I	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? (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	0	•
11.	. Do you and the related person share any supervised persons?	•	0
12.	2. Do you and the <i>related person</i> share the same physical location?	•	0
	Legal Name of <i>Related Person</i> : D. E. SHAW ASYMPTOTE INTERNATIONAL FUND GP, L.L.C. Primary Business Name of <i>Related Person</i> :		
2.	D. E. SHAW ASYMPTOTE INTERNATIONAL FUND GP, L.L.C.		
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)		

	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n)	real estate broker or dealer		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	s No
6.	Do y	you control or are you controlled by the related person?	0	•
7.	Are	you and the related person under common control?	•	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	•
	(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> ?	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>clients'</i> assets: 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 related person is an investment adviser, is it exempt from registration?	0	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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. No Information Filed		
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : E. SHAW ALL COUNTRY GLOBAL ALPHA EXTENSION CUSTOM FUND GP, L.L.C.		
2.		nary Business Name of <i>Related Person</i> : E. SHAW ALL COUNTRY GLOBAL ALPHA EXTENSION CUSTOM FUND GP, L.L.C.		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any): No Information Filed		
5.	Rela	ated Person is: (check all that apply)		
		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b) (c)	other investment adviser (including financial planners) 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) (j)	 □ trust company □ accountant or accounting firm 		
	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(m)			
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		

Ш			Yes	i No
	6.	Do you control or are you controlled by the related person?	•	0
	7.	Are you and the related person under common control?	•	0
	8.	(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> ?	0	•
		(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> ?		Ö
		(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> assets:		
		Number and Street 1: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: \square	Yes	. No
	9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		0
		(b) If the answer is yes, under what exemption?		
	10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
		(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.		
	11.	No Information Filed Do you and the <i>related person</i> share any <i>supervised persons</i> ?	0	0
			~	~
	12.	Do you and the <i>related person</i> share the same physical location?	•	0
L				
	1.	Legal Name of <i>Related Person</i> :		
		RENEWABLE ENERGY ASSETCO MANAGER, L.L.C.		
	2.	Primary Business Name of <i>Related Person</i> :		
		RENEWABLE ENERGY ASSETCO MANAGER, L.L.C.		
	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)		
		(h) banking or thrift institution		
		(i) □ trust company(j) □ accountant or accounting firm		
		(k) I lawyer or law firm		
		(I) ☐ insurance company or agency (m) ☐ pension consultant		
		(n) real estate broker or dealer (a) spensor or syndicator of limited partnerships (or equivalent), excluding peoled investment vehicles		
		 (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ▼ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
	4			No.
	Ο.	Do you control or are you controlled by the related person?	⊙	0
	7.	Are you and the related person under common control?	•	0
	8.	(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> ?	0	•

	(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> ?	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>clients'</i> assets:		
		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:		
0	()		Yes	
9.			0	0
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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.		
11	Dov	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?	_	_
	БО у	and the related person share any supervised persons:	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1	Logic	al Nama of Delated Paragra		
Ι.	_	al Name of <i>Related Person</i> : . SHAW ALL COUNTRY GLOBAL ALPHA PLUS SPECIAL FUND GP, L.L.C.		
2.		nary Business Name of <i>Related Person</i> : . SHAW ALL COUNTRY GLOBAL ALPHA PLUS SPECIAL FUND GP, L.L.C.		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er e		
4.	Rela	ited Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any): No Information Filed		
5	Rela	ted Person is: (check all that apply)		
Ο.		broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d) (e)	registered security-based swap dealer major security-based swap participant		
	(e) (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 □ insurance company or agency		
	(i) (m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	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	No
6.	Do y	you control or are you controlled by the related person?	•	0
7.	Are	you and the related person under common control?	•	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	•
	(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> ?	0	
	(c)	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> assets:		
	(C)	Number and Street 1: Number and Street 1:		
		City: State: Country: ZIP+4/Postal Code:		

	If this address is a private residence, check this box: L	Voc	Nia
9.		Yes	
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (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. No Information Filed 	0	•
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
	Legal Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER V, L.L.C.		
	Primary Business Name of <i>Related Person</i> : D. E. SHAW ALKALI GENERAL PARTNER V, L.L.C.		
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		
	Related Person is: (check all that apply) (a)	Yes	No
6.	Do you control or are you controlled by the related person?	0	
7.	Are you and the related person under common control?	•	0
	 (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>? (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>? (c) If you have answered "yes," to question 9.(a) shave provide the location of the related person's office responsible for custody of your clients' assets: 	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>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: 🗖	Yes	No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•

	(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		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	•	0
1.	Legal Name of <i>Related Person</i> : D. E. SHAW COMPOSITE INTERNATIONAL FUND GP, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW COMPOSITE INTERNATIONAL FUND GP, L.L.C.		
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.		Yes	No
6.	Do you control or are you controlled by the related person?	0	•
8.	 (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>? (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>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code: 	0 0 0	•
	If this address is a private residence, check this box:	Yes	No
9.		O	
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (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. No Information Filed 	0	•
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?		0

	Legal Name of Related Person:		
	D. E. SHAW & CO., L.L.C. Primary Business Name of <i>Bolated Barson</i> :		
	Primary Business Name of <i>Related Person</i> : D. E. SHAW & CO., L.L.C.		
	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
	Related Person's (a) CRD Number (if any):		
	(b) CIK Number(s) (if any):		
	No Information Filed		
	Related Person is: (check all that apply) (a)	Yes	No
٠.	Do you control or are you controlled by the related person?	0	
	Are you and the related person under common control?	•	С
	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?	0	С
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	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:		
		Yes	No
١.	(a) If the related person is an investment adviser, is it exempt from registration?	0	С
	(b) If the answer is yes, under what exemption?		
Ο.	(a) Is the related person registered with a foreign financial regulatory authority?	0	e
	(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		~
1.	Do you and the related person share any supervised persons?	•	С
2.	Do you and the <i>related person</i> share the same physical location?	•	С
	Legal Name of <i>Related Person</i> : D. E. SHAW U.S. BROAD MARKET CORE ALPHA PLUS SPECIAL FUND GP, L.L.C.		

2. Primary Business Name of *Related Person*:

	D. E. SHAW U.S. BROAD MARKET CORE ALPHA PLUS SPECIAL FUND GP, L.L.C.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's		
Τ.	(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		
	 (a) blocket-dealer, municipal securities dealer, or government securities blocket of dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor 		
	 (d)		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(h) banking or thrift institution		
	(i)		
	(k) lawyer or law firm		
	(I) ☐ insurance company or agency(m) ☐ pension consultant		
	 (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 		
	 (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
6.	Do you control or are you controlled by the related person?	Yes ©	
7.	Are you and the related person under common control?	•	C
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	e
	(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> ?	0	C
	(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> assets: Number and Street 1: Number 2:		
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
0	(a) If the related narrow is an investment advisor is it assembly from registration?	Yes	
9.	(a) If the related person is an investment adviser, is it exempt from registration?(b) If the answer is yes, under what exemption?	0	C
10			
10.	(a) Is the related person registered with a foreign financial regulatory authority?(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.No Information Filed	0	•
11.	Do you and the related person share any supervised persons?	•	C
12.	Do you and the <i>related person</i> share the same physical location?	•	C
1.	Legal Name of Related Person:		
	D. E. SHAW INVESTMENT MANAGEMENT (SHANGHAI) CO., LTD.		
2.	Primary Business Name of <i>Related Person</i> : D. E. SHAW INVESTMENT MANAGEMENT (SHANGHAI) CO., LTD.		
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.	Relation (a) (b) (c) (d) (e) (f)	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)		
	(g) (h) (i) (j) (k) (l) (m) (n) (o)	futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer 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	No
6.	Do y	you control or are you controlled by the related person?	⊙	С
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	С
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(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> ?		c
	(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> assets: 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:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	⊙	С
	(b)	If the answer is yes, under what exemption? PARTICIPATING AFFILIATE RELYING ON UNIAO DE BANCOS DE BRASILEIROS S.A., NO-ACTION LETTER (JULY 28, 1992) AND SUBSEQUENT LETTERS		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	•	С
	(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.		
		Name of Country/English Name of Foreign Financial Regulatory Authority		
		China, People's Republic of - China Securities Regulatory Commission		
		you and the <i>related person</i> share any <i>supervised persons</i> ?	•	С
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : E. SHAW VOLTAIC GENERAL PARTNER, L.L.C.		
2.		mary Business Name of <i>Related Person</i> : E. SHAW VOLTAIC GENERAL PARTNER, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Oth	uer		
4.	Rela (a)	ated Person's CRD Number (if any):		

	(b) (CIK Number(s) (if any): No Information Filed		
5.	(a) [1 (b) [1 (c) [1 (d) [1 (d	broker-dealer, municipal securities dealer, or government securities broker or dealer of the 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 real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do yo	ou control or are you controlled by the related person?	Yes	s No
7.	Are yo	ou and the related person under common control?	•	0
8.	(b) I	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> ? 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</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets: Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		0
		If this address is a private residence, check this box: \square	Yes	s No
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration? If the answer is yes, under what exemption?	0	0
10.		Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? 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	0	•
11.	Do yo	ou and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do yo	ou and the <i>related person</i> share the same physical location?	•	0
1.	_	Name of <i>Related Person</i> : SHAW ESC MANAGER, L.L.C.		
2.		ary Business Name of <i>Related Person</i> : SHAW ESC MANAGER, L.L.C.		
3.	Relate -	ed Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other			
4.		ed Person's CRD Number (if any):		
	(b) (CIK Number(s) (if any): No Information Filed		
5.		ed Person is: (check all that apply) 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□ trust company		
	(i) (j)	accountant or accounting firm		
	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
		pension consultant		
		real estate broker or dealer		
	(o)	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	No
6.	Do ?	you control or are you controlled by the related person?	0	\odot
7.	Are	you and the related person under common control?	⊙	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	~
	(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		
	(D)	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> fundor securities that are maintained at the <i>related person</i> ?	S O	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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: \Box		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
7.	` ,		0	0
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	0
	(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.		
		No Information Filed		
11	. Do y	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?	_	_
12	. DO 3	you and the related person share the same physical location:	⊙	0
1	امم ا	al Name of <i>Related Person</i> :		
١.	_	IEWABLE ENERGY ASSETCO, L.L.C.		
2.	Prim	nary Business Name of <i>Related Person</i> :		
	REN	EWABLE ENERGY ASSETCO, L.L.C.		
3.	Rela -	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or			
	Othe	er		
4.		ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
	(-)	No Information Filed		
_	C .	ated Davison in (shook all that apply)		
5.		ated Person is: (check all that apply)		
	(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment advisor (including financial planners)		
	(b)	other investment adviser (including financial planners) registered municipal advisor		
	(c) (d)	registered municipal advisor 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)		
	(a)	futures commission merchant		

	(h)	banking or thrift institution		
	(i)	trust company		
		accountant or accounting firm		
	` ,	□ lawyer or law firm □ insurance company or agency		
		pension consultant		
		real estate broker or dealer		
	(o)	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	No
6.	Do y	you control or are you controlled by the related person?	\odot	0
_	A	and the related some or wider common sector D		
/.	Are y	you and the related person under common control?	⊙	0
8.	(2)	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> ?	_	_
0.		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> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		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:		
		if this address is a private residence, theck this box. \square	Yes	. Nc
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?		0
		If the answer is yes, under what exemption?		
	(5)	The answer is yes, and or what exemption.		
10.	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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. No Information Filed		
11.	. Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	\odot	0
12.	. Do y	you and the <i>related person</i> share the same physical location?	\circ	⊙
				_
1.	Lega	al Name of <i>Related Person</i> :		
	_	. SHAW ALKALI GENERAL PARTNER VI, L.L.C.		
2.		nary Business Name of <i>Related Person</i> :		
	D. E.	E. SHAW ALKALI GENERAL PARTNER VI, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or			
	Othe	er en		
1	Dolo	ated Person's		
4.		CRD Number (if any):		
	(4)	one namber (il dily).		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
5.	Pola	ated Person is: (check all that apply)		
0.		broker-dealer, municipal securities dealer, or government securities broker or dealer		
		other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	` ,	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(3)	futures commission merchant		
	(h) (i)	□ banking or thrift institution□ trust company		
	(i)	accountant or accounting firm		
		☐ lawyer or law firm		
	(1)	insurance company or agency		
	(m)	pension consultant		

	(n)	pompare or syndrotron of limiting port handless (or equivalents), auchioning pool of investment variables. Spring a general or syndrotron or limiting port handless (or equivalent) of pooled investment variables. Spring was with the interest parameter by the interest preparative or great was the interest parameter or preparative or previous control or previous parameter or previous control or previous parameter or previous parameters parameters or previous parameters parameter		
	(o)			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Vaa	. N
6.	Do y	you control or are you controlled by the related person?		No ©
	,		~	
7.	Are	you and the related person under common control?	\odot	\circ
8.	(a)	Does the related person act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_
Ο.	(a) (b)			•
	(5)	operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds	0	0
	(c)			
		If this address is a private residence, check this box: L	Vos	. No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?		0
	(b)	If the answer is yes, under what exemption?	~	~
10.			0	\odot
	(b)			
11.	Doy	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	•	0
1.	_			
	D. E.	SHAW MANAGER III, L.L.C.		
2.	Prim	nary Business Name of <i>Related Person</i> :		
	D. E	. SHAW MANAGER III, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	-			
	or Othe	er		
4.				
	(a)	CAD Number (if any).		
	(b)			
		No information rifed		
5.	Rela	ated Person is: (check all that apply)		
	(b)	other investment adviser (including financial planners)		
	(c)			
	(d)			
	(e)			
	(i) (g)			
	(h)			
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(n)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding peoled investment vehicles		
	(o) (p)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	117		Yes	No
6.	Do y	you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	•

	Are you and the related person under common controls	•	0
8.	 (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>? (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>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: 	0	0
	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	.,	
9.	(a) If the related person is an investment adviser, is it exempt from registration?		No
7.	(b) If the answer is yes, under what exemption?	O	0
	(b) If the answer is yes, under what exemption:		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(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.		
	No Information Filed		
11.	. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙	0
12.	. Do you and the <i>related person</i> share the same physical location?	_	0
		٠	0
1	Legal Name of <i>Related Person</i> :		
1.	D. E. SHAW ALKALI MANAGER VI, L.L.C.		
2.	Primary Business Name of <i>Related Person</i> :		
	D. E. SHAW ALKALI MANAGER VI, L.L.C.		
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) Droker-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) \square futures commission merchant		
	(h) banking or thrift institution		
	 (i) □ trust company (j) □ accountant or accounting firm 		
	(k) lawyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant		
	(n) real estate broker or dealer		
	 (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) ☑ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
	(F) = -F12, go	Yes	No No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	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.	(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	0	0
	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> ?	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>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:	
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes No
	(b)	If the answer is yes, under what exemption?	
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0 0
	(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.	0 0
11	. Do s	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
			0 0
12	. Do <u>y</u>	you and the <i>related person</i> share the same physical location?	© 0
1.	_	al Name of <i>Related Person</i> : SHAW ALKALI HOLDINGS VI, L.L.C.	
2.		nary Business Name of <i>Related Person</i> : SHAW ALKALI HOLDINGS VI, L.L.C.	
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	- or		
	Oth	er en	
4.		ated Person's	
	(a)	CRD Number (if any):	
	(b)	CIK Number(s) (if any): No Information Filed	
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (k) (l)	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 real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes No
6.	Doy	you control or are you controlled by the related person?	O ©
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	⊙ c
8.	(a) (b)	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> ? 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> ?	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>clients'</i> assets: 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:	Yes No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0 0

	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(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. No Information Filed		
11.	Do 3	you and the related person share any supervised persons?	•	0
12.	Do ১	you and the <i>related person</i> share the same physical location?	•	0
1.	_	al Name of <i>Related Person</i> : EWABLE ENERGY ASSETCO III, L.L.C.		
2.		nary Business Name of <i>Related Person</i> : EWABLE ENERGY ASSETCO III, L.L.C.		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or			
	Othe	er		
4.	Rela	ated Person's		
	(a)	CRD Number (if any):		
	(b)	CIK Number(s) (if any):		
		No Information Filed		
	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o) (p)	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 real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes	
6.	Do y	you control or are you controlled by the related person?	•	0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) (b)	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> ? 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> ?	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>clients'</i> assets: Number and Street 2: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
			Yes	No
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration? If the answer is yes, under what exemption?	0	0
	ω)	in the answer is yes, under what exemption:		
10.		Is the related person registered with a foreign financial regulatory authority?	0	\odot
	(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. No Information Filed		
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0

12.	Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of <i>Related Person</i> : RENEWABLE ENERGY ASSETCO SIDECAR MANAGER, L.L.C.	
2.	Primary Business Name of <i>Related Person</i> : RENEWABLE ENERGY ASSETCO SIDECAR MANAGER, L.L.C.	
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)	
	(c) \square 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) \square lawyer or law firm	
	(I) Insurance company or agency	
	(m) pension consultant	
	 (n) □ real estate broker or dealer (o) □ 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 No
5.	Do you control or are you controlled by the related person?	⊙ ೧
7.	Are you and the related person under common control?	⊙ ○
8.	(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> ?	0 0
	(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> ?	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>clients'</i> assets: Number and Street 1: Number 2:	
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:	
		Yes 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.	(a) Is the related person registered with a foreign financial regulatory authority?	0 0
	(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	
11.	Do you and the related person share any supervised persons?	• o
12.	Do you and the <i>related person</i> share the same physical location?	0 0
1.	Legal Name of Related Person:	

2.	mary Business Name of <i>Related Person</i> : NEWABLE ENERGY ASSETCO II, L.L.C.	
3.	lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	her	
4.	lated Person's	
	CRD Number (if any):	
	CIK Number(s) (if any):	
	No Information Filed	
5.	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 linsurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
6.	you control or are you controlled by the related person?	Yes No
7.	e you and the <i>related person</i> under common <i>control</i> ?	⊙ ○
8.	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0 0
	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 related person and thus are not required to obtain a surprise examination for your clients' for securities that are maintained at the related person?	
	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> assets: Number and Street 1: Number and Street 2:	
	City: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	Yes No
9.	If the related person is an investment adviser, is it exempt from registration?	0 0
	If the answer is yes, under what exemption?	
10.	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ?	0 0
	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.	
11	No Information Filed	
11.	you and the <i>related person</i> share any <i>supervised persons</i> ?	⊙ ○
12.	you and the <i>related person</i> share the same physical location?	○ ⊙
lten	Private Fund Reporting	
· tCII	Titrato Fana Reporting	Yes No
В. А	you an adviser to any <i>private fund</i> ?	© 0

RENEWABLE ENERGY ASSETCO II, L.L.C.

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.

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.

	Funds per Page: 15 Total Funds: 13	
A. PRIVATE FUND		
nformation About the <i>Private Fund</i>		
mornation About the Frivate Fund		
1. (a) Name of the <i>private fund</i> :		
D. E. SHAW ALKALI PORTFOLIOS II, L.L.	L.C.	
(b) Private fund identification number: (include the "805-" prefix also)		
805-3031545284		
2. Under the laws of what state or country is	s the private fund organized:	
State:	Country:	
Delaware	United States	
 (a) Name(s) of General Partner, Manager, Name of General Partner, Manager, Trus 	Trustee, or Directors (or <i>persons</i> serving in a similar capacity):	
D. E. SHAW MANAGER, L.L.C.	stee, or billector	
(b) If filing an umbrella registration, identify	ry the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.	
Filing Adviser/Relying Adviser Name		
D. E. SHAW ADVISER, L.L.C.		
4 TI I I O I C I C I I I I I I I I I I I I	mount about at least and.	
4. The <i>private fund</i> (check all that apply; you r		
\square (1) qualifies for the exclusion from the α	definition of investment company under section 3(c)(1) of the Investment Company Act of 1940	
\square (1) qualifies for the exclusion from the α		
 ☐ (1) qualifies for the exclusion from the c ☑ (2) qualifies for the exclusion from the c 	definition of investment company under section 3(c)(1) of the Investment Company Act of 1940	
 ☐ (1) qualifies for the exclusion from the c ☑ (2) qualifies for the exclusion from the c 	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940	
 ☐ (1) qualifies for the exclusion from the c ☑ (2) qualifies for the exclusion from the c 	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered.	Yes No
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement?	Yes No ⊙ O
(1) qualifies for the exclusion from the continuous (2) qualifies for the exclusion from the continuous (2) qualifies for the exclusion from the continuous (3) qualifies for the exclusion from the continuous (4) qualifies for the exclusion from the continuous (5) qualifies for the exclusion from the continuous (4) qualifies for the exclusion from the continuous (5) qualifies for the exclusion from the continuous (6) qualifies for	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? fund identification number (if any) of the feeder funds investing in this private fund?	
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund Name of private fund	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number	
(1) qualifies for the exclusion from the continuous (2) qualifies for the exclusion from the continuous (2) qualifies for the exclusion from the continuous (3) qualifies for the exclusion from the continuous (4) qualifies for the exclusion from the continuous (5) qualifies for the exclusion from the continuous (4) qualifies for the exclusion from the continuous (5) qualifies for the exclusion from the continuous (6) qualifies for	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729	
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund (5) Name of private fund (6) D. E. SHAW ALKALI FUND II, L.P.	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729	
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund (5) Name of private fund (6) D. E. SHAW ALKALI FUND II, L.P.	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 e definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729	
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund (5) Name of private fund (6) D. E. SHAW ALKALI FUND II, L.P.	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 deach foreign financial regulatory authority with which the private fund is registered. No Information Filed deder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729 11, L.P. 805-8806917257	
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund D. E. SHAW ALKALI FUND II, L.P. D. E. SHAW ALKALI INTERNATIONAL FUND II (c) Is this a "feeder fund" in a master-feet (d) If yes, what is the name and private fund	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 deach foreign financial regulatory authority with which the private fund is registered. No Information Filed deder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729 11, L.P. 805-8806917257	⊙ O
(a) Is this a "master fund" in a master-feed (b) If yes, what is the name and private fund D. E. SHAW ALKALI INTERNATIONAL FUND I (c) Is this a "feeder fund" in a master-feed (b) Is this a "feeder fund" in a master-feed (c) Is this a "feeder fund" in a master-feed (c) Is this a "feeder fund" in a master-feed (c) Is this a "feeder fund" in a master-feed (c)	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 redefinition of investment company under section 3(c)(7) of the Investment Company Act of 1940 reach foreign financial regulatory authority with which the private fund is registered. No Information Filed reder arrangement? Frivate fund identification number 805-4415176729 11, L.P. 805-8806917257	⊙ O
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (b) If yes, what is the name and private fund D. E. SHAW ALKALI FUND II, L.P. D. E. SHAW ALKALI INTERNATIONAL FUND II (c) Is this a "feeder fund" in a master-feet (d) If yes, what is the name and private fund	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 redefinition of investment company under section 3(c)(7) of the Investment Company Act of 1940 reach foreign financial regulatory authority with which the private fund is registered. No Information Filed reder arrangement? Frivate fund identification number 805-4415176729 11, L.P. 805-8806917257	⊙ O
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (5) If yes, what is the name and private fund (6) D. E. SHAW ALKALI FUND II, L.P. D. E. SHAW ALKALI INTERNATIONAL FUND II (7) Is this a "feeder fund" in a master-feet (8) If yes, what is the name and private fund (9) Name of private fund:	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 redefinition of investment company under section 3(c)(7) of the Investment Company Act of 1940 reach foreign financial regulatory authority with which the private fund is registered. No Information Filed reder arrangement? Frivate fund identification number 805-4415176729 11, L.P. 805-8806917257	⊙ O
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) List the name and country, in English, of eaction (4) Is this a "master fund" in a master-feet (5) If yes, what is the name and private fund (6) D. E. SHAW ALKALI FUND II, L.P. D. E. SHAW ALKALI INTERNATIONAL FUND II (7) Is this a "feeder fund" in a master-feet (8) If yes, what is the name and private fund (9) Name of private fund: **Private fund** Private fu	e definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 redefinition of investment company under section 3(c)(7) of the Investment Company Act of 1940 reach foreign financial regulatory authority with which the private fund is registered. No Information Filed reder arrangement? Frivate fund identification number 805-4415176729 11, L.P. 805-8806917257	⊙ O
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) qualifies for the exclusion from the control (4) and (5) qualifies for the exclusion from the control (5) qualifies for the exclusion from the control (5) qualifies for the exclusion from the control (6) qualifies for the exclusi	edefinition of investment company under section 3(c)(1) of the Investment Company Act of 1940 edefinition of investment company under section 3(c)(7) of the Investment Company Act of 1940 each foreign financial regulatory authority with which the private fund is registered. No Information Filed eder arrangement? und identification number (if any) of the feeder funds investing in this private fund? Private fund identification number 805-4415176729 805-8806917257 eder arrangement? und identification number (if any) of the master fund in which this private fund invests?	Yes No
(1) qualifies for the exclusion from the control (2) qualifies for the exclusion from the control (3) qualifies for the exclusion from the control (4) and (5) qualifies for the exclusion from the control (5) qualifies for the exclusion from the control (5) qualifies for the exclusion from the control (6) qualifies for the exclusi	definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 definition of 1940 definition of investment Comp	Yes No

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 the feeder funds answer

the following questions:

•	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 the feeder fully 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 the feeder fully 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 the feeder fully 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 the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) for each of the feeder fully a single Schedule D, Section 7.B.(1) fo
	r the following questions:
(a)	Name of the private fund:
	D. E. SHAW ALKALI FUND II, L.P.
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-4415176729
(c)	Under the laws of what state or country is the <i>private fund</i> organized:
(-)	State: Country:
	Cayman Islands
(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
	D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C.
	D. E. SHAW AEKALI GENERAL LAKTNER II, E.E.G.
(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
	Filing Adviser/Relying Adviser Name
	D. E. SHAW ADVISER, L.L.C.
	B. E. SHIWW ABVISER, E.E.C.
<i>(</i>)	
(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 Pegulatory Authority
	Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Monetary Authority
	Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Monetary Authority
If you a	Cayman Islands - Cayman Islands Monetary Authority
•	Cayman Islands - Cayman Islands Monetary Authority
•	Cayman Islands - Cayman Islands 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 each of the feeder full
answer	Cayman Islands - Cayman Islands 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 each of the feeder furthe following questions:
answer (a)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the <i>private fund</i> : D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P.
answer	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number:
answer (a)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also)
answer (a)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number:
answer (a)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also)
answer (a)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized:
answer (a) (b)	Cayman Islands - Cayman Islands 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 each of the feeder fur rethe following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country:
answer (a) (b)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized:
answer (a) (b)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands
answer (a) (b)	Cayman Islands - Cayman Islands Monetary Authority are filling 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 the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
answer (a) (b)	Cayman Islands - Cayman Islands 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 each of the feeder fur r the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund Identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Directors
answer (a) (b)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
answer (a) (b) (c) (d) (1)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C.
answer (a) (b) (c) (d) (1)	Cayman Islands - Cayman Islands 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 each of the feeder fur the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C.
answer (a) (b) (c) (d) (1)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND III, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C. If filing an umbrolia registration, identify the filing adviser and/or relying advisor(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name
answer (a) (b) (c) (d) (1)	Cayman Islands - Cayman Islands 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 each of the feeder for the following questions: Name of the private fund: D. E. SHAW ALKALI INTERNATIONAL FUND II, L.P. Private fund identification number: (include the "805-" prefix also) 805-8806917257 Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER II, L.L.C.

	Name of Country/English Name of Foreign Financial Regulatory Authority	
	Cayman Islands - Cayman Islands 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 interest and each class (or series) invests substantially all of its assets in a single master fund.	
		No
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 whethe	o
	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> ?	0
9.		No ©
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:	
	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> : \$ 250,976	
<u>Ow</u>	nership	
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 1,000,000	
	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 th fund).	ne
13.	Approximate number of the <i>private fund's</i> beneficial owners: 0	
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :	
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:	
	0% Ye s	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?	0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :	
You	r Advisory Services	
17.		No ⊙
	(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 to question 17.(a) is "no," leave this question blank.	
	No Information Filed	
10	() D	No
10.	(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 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 answer to question 18.(a) is "no leave this question blank.	⊙ ⊃,"
	No Information Filed	

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

(f)

		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.		
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0%		
Driv	vate Offering		
FIIV	<u>rate offering</u>	Yes	Nο
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		
	021-205241		
	021-205242		
3. SE	ERVICE PROVIDERS		
Aud	ditors		
		Yes	No
23.	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	0	\odot
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	0	\circ
	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 (b) through (f) separately for each auditing firm.	te questi	ons
	No Information Filed		
	(g) Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?	Yes	
	(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 opinions?		
	O 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.		
<u>Prin</u>	me Broker		
2.4	(a) Dans the private for dues are an arrive brokens?	Yes	
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 the <i>private fund</i> uses. If the <i>private fund</i> uses more prime broker, you must complete questions (b) through (e) separately for each prime broker.	C than one	
	No Information Filed		
Cus	<u>stodian</u>		
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?	Yes ©	
	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 <i>private fund</i> uses more that 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 <i>private fund</i> uses. If the <i>private fund</i> uses more the custodian, you must complete questions (b) through (g) separately for each custodian.	ıan one	
	(b) Legal name of custodian: HSBC BANK USA, N.A.		

(c) Primary business name of custodian:

HSBC BANK USA, N.A.

		todian's office responsible for <i>custody</i> of the <i>private</i> in	3,	
	City: NEW YORK	State: New York	Country: United States	
				Yes No
	(e) Is the custodian a relate	ed person of your firm?		○ ●
	(f) If the custodian is a bro	oker-dealer, provide its SEC registration number (if a	ny):	
	- CRD Number (if any):			
	(g) If the custodian is not a		ave an SEC registration number, provide its legal entity iden	tifier (if any)
Admini	strator			
				Yes No
26. (a)	·	administrator other than your firm?		○ ⊙
	If the answer to question 26. (b) through (f) separately for		low. If the <i>private fund</i> uses more than one administrator, yo	ou must complete questions
		No In	formation Filed	
07 5				
27. Dui		percentage of the <i>private fund's</i> assets (by value) w	as valued by a <i>person</i> , such as an administrator, that is not	your related person?
		(i) such <i>person</i> carried out the valuation procedure (established for that asset, if any, including obtaining any rele	evant quotes, and (ii) the
val	uation used for purposes of inv	vestor subscriptions, redemptions or distributions, a	nd fee calculations (including allocations) was the valuation	determined by such <i>person</i> .
N / l A				
Market	<u>ers</u>			Yes No
28. (a)	Does the <i>private fund</i> use the	services of someone other than you or your <i>emplo</i> y	vees for marketing purposes?	0.0
	question 28.(a) is "yes," response	,	t, finder, introducer, municipal advisor or other solicitor, or s h marketer the <i>private fund</i> uses. If the <i>private fund</i> uses mo	imilar person. If the answer to
		No In	formation Filed	
A. PRIVA	TE FUND			
Informa	ition About the <i>Private Fund</i>			
1. (a)	Name of the private fund:			
	D. E. SHAW ALKALI PORTFOLIC	OS III, L.L.C.		
(b)	Private fund identification num (include the "805-" prefix also			
	805-1200207843	<i>J</i>)		
	720207010			
2. Und		country is the <i>private fund</i> organized:		
	State: Delaware	Country:		
		United States		
	Name(s) of General Partner, Name of General Partner, Manageme	Manager, Trustee, or Directors (or <i>persons</i> serving in		

(b) If filing	an <i>umbrella registration</i> , identify the <i>filing</i>	g adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private	te fund.
	ser/Relying Adviser Name ADVISER, L.L.C.		
D. L. SIIVW	ADVIOLIN, L.L.O.		
Γhe <i>private</i>	fund (check all that apply; you must chec	ck at least one):	
(1) qual	ifies for the exclusion from the definition	of investment company under section 3(c)(1) of the Investment Compan	y Act of 1940
(2) qual	ifies for the exclusion from the definition	of investment company under section 3(c)(7) of the Investment Compan	ny Act of 1940
ist the nam	ne and country, in English, of each <i>foreig</i>	n financial regulatory authority with which the private fund is registered.	
		No Information Filed	
			Yes
a) Is this a	n "master fund" in a master-feeder arrar	igement?	•
b) If yes, v	what is the name and <i>private fund</i> identif	ication number (if any) of the feeder funds investing in this private fund?	
Name of <i>pi</i>	rivate fund	Private fund identifica	ation number
	ALKALI FUND III, L.P.	805-8460803103	
D. E. SHAW	ALKALI INTERNATIONAL FUND III, L.P.	805-3185989197	
			Ye
c) Is this a	ı "feeder fund" in a master-feeder arran	gement?	
		ication number (if any) of the master fund in which this <i>private fund</i> inves	Costs?
	rnat is the name and <i>private rund</i> identifi f <i>private fund</i> :	reaction number (ii arry) of the master fund in which this <i>private fund</i> inves	
Name o	private rand.		
Private	<i>fund</i> identification number:		
	the "805-" prefix also)		
-	g questions:	for a master-feeder arrangement according to the instructions to this Sec	
Additional	Feeder Fund Information : 2 Record(s) Filed.	
		B.(1) for a master-feeder arrangement according to the instructions to th	is Section 7.B.(1), for each of the feeder funds
	the following questions:		
(a)	Name of the <i>private fund</i> :		
	D. E. SHAW ALKALI FUND III, L.P.		
(b)	Private fund identification number:		
(5)	(include the "805-" prefix also)		
	805-8460803103		
(c)	Under the laws of what state or countr		
	State:	Country: Cayman Islands	
		Cayman Islanas	
(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,	Γrustee or Director	
	D. E. SHAW ALKALI GENERAL PARTNER	III, L.L.C.	
(d) (2)	If filing an umbrella registration, identify	the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) t	this <i>private fund</i> :
	Filing Adviser/Relying Adviser Name	е	
	D. E. SHAW & CO., L.P.		
(e)	The private fund (check all that apply; y	vou must check at least one):	
(~)		the definition of investment company under section 3(c)(1) of the Investn	ment Company Act of 1940
	• • •	the definition of investment company under section 3(c)(7) of the Investment the definition of investment company under section 3(c)(7) of the Investment company under sectio	
	(2) qualifies for the exclusion from	and assumed or investment company under section s(c)(7) of the mivesti	none company not or 1740

(a) Is this <i>private fund</i> 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 <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> ?	(f)	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.
2. If you are filling a single Schools. B. Nortice 7 K. (1) for a medical-reader errongement according to the instructions to this sending 7 K. (1), for once at the tender turces answer the following specialists. (a) Name of the sense final Control of the Instruction of the Instructions of the Instructions (Instruction of the Instruction of the Instructions of the Instruction of the Instr		Name of Country/English Name of Foreign Financial Regulatory Authority
active the following dissistance (in Number of the provise found found in the provise found i		Cayman Islands - Cayman Islands Monetary Authority
active the following dissistance (in Number of the provise found found in the provise found i		
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Die SHAW ALKALI INTERTIALIENDE LAND HILLE. (Policies for distribution number (Policies for work along) - Soft-318/08/0197 (2) Under the laws of what state or country is the private fund organized: - Soft-318/08/0197 (3) Under the laws of what state or country is the private fund organized: - Soft-318/08/0197 (3) Under the laws of what state or country is the private fund organized: - Soft-318/08/0197 (3) Name(3) or Centeral Partiner, Manager, Tursde or Director - Caption Islands - Organized Partiner, Manager, Tursde or Director - Organized Soft-318 (3) It filling an unberten repetation locating the fung adviser end/or relying anidear(3) that sponsor(3) or manage(3) this private runo - Filling Adviser/Relying Adviser Name - Organized Relying		
Weder faced bleed focus on unitates:	(a)	Name of the private fund:
Occurring the tops of extent shots or country is the private fend organized. Sinte Country Crymen Islands (c) (1) Name(s) of Ceneral Partner, Manager, incusee or Directors (or persons serving in a similar capacity); Name of General Partner, Manager, incusee or Directors (c) (2) If filing an underelal partner, Manager, incusee or Directors (d) (e) If filing an underelal registration, identify the filing advisor and/or registry advisor(s) or manage(s) this private fund. (d) (filing Advisor/Registry Advisor Name (e) E-SHAW & CO LET. (e) This private fund (press at III led apply you must ideals at level end; (filing Advisor/Registry Advisor Name (g) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (g) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (g) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (g) Q) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (g) Uss the name and country in English of such Aveign financial Regulatory authority with which the private fund is registered. Name of Country/English Name of Foreign Financial Regulatory Authority (Coryman Islands: Coryman Islands) Manager investing in a impact fund (master rune"). A fund would also be a "needer fund" investing in a 'master fund' from purposes of this question only, anywork 'yea' if the fund invests to person fund (ii) Is this private fund a "fund of funds"? (b) It the private fund a "fund of funds"? (c) If you, does the private fund of funds "fund of the fund invests to person fund to purpose of this question only, anywork 'yea' if the fund invests to person fund and purpose of the funds of the funds of the funds of the fund of the funds of funds to the private fund Company Act of 1940 (piles of fund is t		D. E. SHAW ALKALI INTERNATIONAL FUND III, L.P.
But	(b)	Private fund identification number:
Dictor the lews of what state or quantity is the private fund organized State: Country: Coymen Islands		(include the "805-" prefix also)
(a) (1) Name(s) of General Partner, Manager, Trustee or Director D. F. SHAW ALKA I GENERAL PARTNER HILL L.C. (a) (2) If tiling an umbreka registration, Identity the thing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. (b) If tiling an umbreka registration, Identity the thing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. (b) If tiling an umbreka registration, Identity the thing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. (c) If tiling an umbreka registration, Identity the thing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. (d) If tiling an umbreka registration, Identity the thing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. (e) The private fund (checks at that apply; you must check at least one). (f) Q) qualifies for the addission from the definition of investment company under section 3(g)(1) of the Investment Company Act of 1940. (f) Q) qualifies for the addission from the definition of investment company under section 3(g)(1) of the Investment Company Act of 1940. (g) qualifies for the addission from the definition of investment company under section 3(g)(1) of the Investment Company Act of 1940. (g) List the name and country. In English, of each foreign financial regulatory authority. Cayman Islands - Cayman Islands Monatory Authority. (G) Is this provide fund a fund of funds of the additional provision of the private fund invests in a single fund (checker funds). In the additional private fund of funds of the private fund of funds of the private fund investing in a imaster fund to purposes of this question in it issued multiple classes (or series) of shares or interest need each class (or socks) invests substantially all of their baseds in a single fund (checker funds). In the private fund of funds or registered funds or registered funds or registered investment companies. (e) If you, the private fund of funds or r		805-3185989197
Country Common Islands (d) (1) Name(s) of Ceneral Partner, Manager, Trustee or Director D. F. SHAW ALKA LIGHTERAL PARTNER III. L.L.C. (d) (2) If filing an umbreita registration, identity the hing acviser and/or reying adviser(s) that sponsor(s) or manage(s) this private fund. Filing Adviser/Reying Adviser Name D. F. SHAW ALKA LIGHTERAL PARTNER III. L.L.C. (e) If private fund (check all that apply, you must check at least one):		
Cayman Islands (d) (1) Name(s) of Ceneral Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Directors D. E. SHAW ALKALI CENERAL PARTNER III, LLC. (d) (2) If filing an unbreitan registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. (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(p)(1) of the Investment Company Act of 1940 [] (2) qualifies for the exclusion from the definition of investment company under section 3(p)(1) of the Investment Company Act of 1940 [] (3) Ebit the name and country, in English of each Resign financial regulatory authority with which the private fund is registered. Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Monotary Authority NOTE: For purposes of questions 6 and 7: in a muster-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master rund"). A fund would also be a "reader fund" investing in a "master fund". NOTE: For purposes of questions 6 and 7: in a muster-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all of their assets in a single fund condition of service investigation and investing in a finaster rund". A fund would also be a "reader fund" investing in a finaster fund. NOTE: For purposes of this question only, answer "yes" if the fund investing in a single master fund. Political funds fund of funds. Political funds fund and funds in runds minages by you or by a related person? C. Western purposes of this question only, answer "yes" if the fund investing to be a reader provided in instruction is a Political person? C. Western purposes of this question only, answer "yes" if the fund invest	(c)	
(a) (1) Name(s) of Ceneral Partner, Manager, Trustee or Directory D. E. SHAW ALKALI CENERAL PARTNER III, L.L.C. (b) (2) If thing an umbrotila registration, identify the filling advisor and/or relying advisor(s) that spensor(s) or manage(s) this private fund. Filling Advisor Relying Advisor Name D. E. SHAW & CO., L.P. (e) The provate fund (check all that apply; you must check at least one):		·
Name of General Partner, Manager, Trustee or Director		Cayman Islands
D. E. SHAW ALKALI GENERAL PARTNER III, L.L.C. (d) (2) If filing an unthrelia registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name	(d) (1)	
(d) (2) If filing an umbrella registration, identify the filing advisor and/or relying advisor(s) that sponsor(s) or manage(e) this private fund: Filing Advisor/Relying Advisor Name		•
Filing Adviser/Relying Adviser Name		D. E. SHAW ALKALI GENERAL PARTNER III, L.L.C.
Filing Adviser/Relying Adviser Name		
D. E. SHAW & CO., E.P. (c) 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 (3) List the name and country, in English, of each fureign financial regulatory authority with which the private fund is registered. Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Manetary Authority Cayman Islands - Cayman Islands Manetary Authority (4) A tind would also be a "Teeder fund" investing in a "master fund" for purposes of this question if it issued multiple classes (or series) or shares or interest and each class (or series) invests substantially all of its assets in a single master fund. (5) Is this private fund a "fund of funds"? (6) Is this private fund a "fund of funds"? (7) NOTE: For purposes of this quostion 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. (6) If yes, does the private fund invest in funds managed by you or by a related person? Ourling 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.)? What type of fund is the private fund? Private fund Private fund? Private fund Private fund? Private fund Private fund: Current gross asset value of the private fund:	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
(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 (3) List the name and country, in English, of each <i>Foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of Foreign Financial Regulatory Authority Caymen Islands - Caymen Islands Monetary Authority ("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 interest and each class (or series) invests substantially all of its assets in a single master fund. Yet (a) Is this <i>private fund</i> a "fund of funds"? (C) 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 heavy 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> ? (c) Yes 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 thin "money market funds," to the extent provided in instruction 6.e.)? 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 <i>private fund</i> : NOTE: For definitions of those fund types, please see Instruction 6 of the Instructions to Part 1A. Current gross asset value of the <i>private fund</i> :		Filing Adviser/Relying Adviser Name
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(a) Is this <i>private fund</i> 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 <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> ? Yes 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.)? 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 <i>private fund</i> : NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		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 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 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.)? What type of fund is the private fund? In hedge fund I liquidity fund Private equity fund real estate fund securitized asset fund venture capital fund Other private fund: NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	(a) Is this μ	
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Vest 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.)? What type of fund is the <i>private fund</i> ? hedge fund I liquidity fund Private equity fund real estate fund securitized asset fund venture capital fund Other <i>private fund</i> : NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	•	
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.)? 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 <i>private fund</i> : NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A. Current gross asset value of the <i>private fund</i> :		
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hedge fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other <i>private fund</i> : NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A. Current gross asset value of the <i>private fund</i> :		
NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A. Current gross asset value of the <i>private fund</i> :	What type o	of fund is the private fund?
Current gross asset value of the <i>private fund</i> :	• hedge fu	und $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :
	NOTE: For a	definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.
	•	ss asset value of the <i>private fund</i> :

<u>Ownership</u>

	\$ 1,000,000		
	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 fund).	of th	е
	Approximate number of the <i>private fund's</i> beneficial owners: 0		
	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 0%		
	(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 qualified clients?	Yes	
	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
<u> You</u>	ur Advisory Services	Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?		• •
	(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 to question 17.(a) is "no," this question blank.	_	_
	No Information Filed		
		Yes	No
	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	
	(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 answer to question 18.(a) leave this question blank.	is "no	, "
	No Information Filed		
10	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	Yes	
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.	0	•
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0%		
Priv	vate Offering		
	Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	Yes •	
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number		
	021-240409		
	021-240410		
. SE	ERVICE PROVIDERS		
<u>Aud</u>	<u>litors</u>	Yes	No
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?		. IVO
	(2) 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 <i>private fund</i> uses more than one auditing firm, you must complete (b) through (f) separately for each auditing firm.		
	No Information Filed		

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

· · · · · ·	last annual updating amendment contain unqualified opinions?	
at promptly file on amondment to you		
et promptly file on amandment to you		
is promptly file an amendment to you	ur Form ADV to update your response when the report is available.	
rokers?		Yes N
	elow for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses	C G more than one
•	·	
No In	formation Filed	
iding the prime brokers listed above	e) to hold some or all of its assets?	Yes No
	·	
I(s) Filed.		
	·	ore than one
ponsible for <i>custody</i> of the <i>private f</i>	fund's assets (city, state and country):	
State:	Country:	
New York	United States	Yes No
firm?		res No
		0 0
de its SEC registration number (if a	ıny):	
or is a proker-dealer but does not n	ave an SEC registration number, provide its legal entity identifier (if any)	
	through (e) separately for each provided in the prime brokers listed above and to questions (b) through (g) be rough (g) separately for each custom (s) Filed. Spond to questions (b) through g) through (g) separately for each custom (g) separately	and to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses through (e) separately for each prime broker. No Information Filed Mo Information Filed ding the prime brokers listed above) to hold some or all of its assets? and to questions (b) through (g) below for each custodian the private fund uses. If the private fund uses morough (g) separately for each custodian. (s) Filed. Spond to questions (b) through g) below for each custodian the private fund uses. If the private fund uses must through (g) separately for each custodian. Depond to questions (b) through g) below for each custodian the private fund uses. If the private fund uses must through (g) separately for each custodian. Depond to questions (b) through g) below for each custodian the private fund uses. If the private fund uses must have go to the private fund uses must have go to the private fund's assets (city, state and country): State: Country: New York United States

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

0%

Yes No

	valuation used for purposes of investor subscriptions, redemptions or distributions,	and ree calculations (including allocations) was the valuation determi	ned by such <i>person</i> .
Ma	<u>rketers</u>		Yes No
28.	(a) Does the <i>private fund</i> use the services of someone other than you or your <i>emplo</i>	oyees for marketing purposes?	0 0
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consulta question 28.(a) is "yes," respond to questions (b) through (g) below for each sumust complete questions (b) through (g) separately for each marketer.	ant, finder, introducer, municipal advisor or other solicitor, or similar $p\epsilon$	erson. If the answer to
	No	Information Filed	
ΔΡ	RIVATE FUND		
Α. Ι	AVAIL LOND		
Info	rmation About the <i>Private Fund</i>		
1.	(a) Name of the <i>private fund</i> :		
	D. E. SHAW ASYMPTOTE PORTFOLIOS, L.L.C.		
	(b) Private fund identification number:		
	(include the "805-" prefix also) 805-6240797695		
	803-0240797093		
2.	Under the laws of what state or country is the <i>private fund</i> organized:		
	State: Country: Delaware United Stat	res	
3.	(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		
	D. E. SHAW MANAGER, L.L.C.		
	(b) If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s,</i>) that appropriate ar manage (a) this private fund	
	Filing Adviser/Relying Adviser Name	that sponsor(s) or manage(s) this <i>private fund</i> .	
	D. E. SHAW ADVISER, L.L.C.		
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 s	·	
	(2) qualifies for the exclusion from the definition of investment company under s	ection 3(c)(7) of the Investment Company Act of 1940	
5.	List the name and country, in English, of each foreign financial regulatory authority wi	th which the <i>private fund</i> is registered.	
	No Inf	formation Filed	
			Yes No
6.	(a) Is this a "master fund" in a master-feeder arrangement?		⊙ ○
	(b) If yes, what is the name and private fund identification number (if any) of the fe		
	Name of private fund	Private fund identification number	
	D. E. SHAW ASYMPTOTE FUND, L.L.C.	805-4652243598	
			Yes No
	(c) Is this a "feeder fund" in a master-feeder arrangement?		0 0
	(d) If yes, what is the name and private fund identification number (if any) of the many	aster fund in which this <i>private fund</i> invests?	
	Name of private fund:		
	Private fund identification number:		
	(include the "805-" prefix also)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardle arrangement or reporting on the funds separately.	ss of whether you are filing a single Schedule D, Section 7.B.(1) for th	e master-feeder
	Grant and the state of the stat		

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), for each of the feeder funds answer

the following	g questions:	
Additional	Feeder Fund Information : 1 Record(s) 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 each of the feeder the following questions:	funds
(a)	Name of the <i>private fund</i> :	
(4)	D. E. SHAW ASYMPTOTE FUND, L.L.C.	
(b)	Private fund identification number:	
	(include the "805-" prefix also) 805-4652243598	
	000-4002243096	
(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	
	D. E. SHAW MANAGER, L.L.C.	
(1) (0)		
(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> :	
	D. E. SHAW ADVISER, L.L.C.	
	·	
(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 (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	
("master fur and each cla	urposes 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 and"). 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 in uss (or series) invests substantially all of its assets in a single master fund.	
	rivate fund a "fund of funds"?	0
•	urposes 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 w o <i>private funds</i> or registered investment companies.	hethe
(b) If yes, o	loes the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0
		Yes
	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 y market funds," to the extent provided in Instruction 6.e.)?	0
What type o	f fund is the <i>private fund</i> ?	
• hedge fu	nd $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :	
NOTE: For d	efinitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	
Current gros	ss asset value of the <i>private fund</i> :	
\$ 67,493,03		
nership		
Minimum inv	vestment commitment required of an investor in the <i>private fund</i> :	

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

\$ 1,000,000

13.	Approximate number of the <i>private fund's</i> beneficial owners: 9		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 69%		
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 22%		
	(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?	Yes No	
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
You	ur Advisory Services	Vac Ne	_
17.	(a) Are you a subadviser to this <i>private fund</i> ?	Yes No	
	(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 to question 17.(a) is "no," this question blank.		
	No Information Filed		1
		Yes No	ב
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 0)
	(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 answer to question 18.(a) leave this question blank.	is "no,"	
	No Information Filed		
		Yes No)
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0 0	J
	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	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?	© O	
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number 021-176660		
B. S	SERVICE PROVIDERS		
Au	<u>ditors</u>		
23	(a) (1) Are the private fund's financial statements subject to an annual audit?	Yes No	
20.	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	00	
	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 (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 complet questions (b) through (f) separately for each auditing firm.	e	
	(b) Name of the auditing firm: ERNST & YOUNG LLP		

fund).

	City	State:	Country:	
	City: NEW YORK	New York	United States	
				Yes
(d)) Is the auditing firm an <i>indeper</i>	ndent public accountant?		•
(e)	Is the auditing firm registered	with the Public Company Accounting Oversi	ight Board?	•
	If yes, Public Company Accour	nting Oversight Board-Assigned Number:		
(f)	If "yes" to (e) above, is the au	uditing firm subject to regular inspection by	the Public Company Accounting Oversight Board in accordance with its rules?	•
\ Aro t	the private fund's audited financi	ial statements for the most recently comple	ted fiscal year distributed to the <i>private fund's</i> investors?	Y
	•	,	,	6
			r last annual updating amendment contain unqualified opinions?	
	es O No O Report Not Yet Received		our Form ADV to update your response when the report is available.	
n yo	a check Report Not Tel Received	, you must promptly me an amenament to yo	our Form No to apaste your response when the report is available.	
Broke	<u>r</u>			
) Does	s the <i>private fund</i> use one or mo	re prime brokers?		Ye
	•	·	below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses mo	
prim	e broker, you must complete qu	lestions (b) through (e) separately for each	prime broker.	
Add	litional Prime Broker Informat	ion : 9 Record(s) Filed.		
on	e prime broker, you must comp	s "yes," respond to questions (b) through (e lete questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses reach prime broker.	more thar
(b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC	lete questions (b) through (e) separately for		more thar
(b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC			more thar
(b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC	lete questions (b) through (e) separately for		more thai
(b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered CRD Number (if any):	lete questions (b) through (e) separately for	r each prime broker.	more thar
(b)	e prime broker, you must composite prime broker: Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered - CRD Number (if any): Location of prime broker's office City:	lete questions (b) through (e) separately for ed with the SEC, its registration number:	state and country): Country:	more thar
(b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office	lete questions (b) through (e) separately for ed with the SEC, its registration number:	state and country):	
(b) (c) (d)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON	lete questions (b) through (e) separately for ed with the SEC, its registration number:	state and country): Country: United Kingdom	
(b) (c) (d) (e)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, State: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e)	state and country): Country: United Kingdom 's assets? P) below for each prime broker the private fund uses. If the private fund uses	Yes ⊙
(b) (c) (d) (e)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i>	state and country): Country: United Kingdom 's assets? P) below for each prime broker the private fund uses. If the private fund uses	Yes ⊙
(b) (c) (d)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e) lete questions (b) through (e) separately for	state and country): Country: United Kingdom 's assets? P) below for each prime broker the private fund uses. If the private fund uses	Yes
(b) (c) (d) (e) (b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is a prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC, NEW YOR	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e) lete questions (b) through (e) separately for	state and country): Country: United Kingdom 's assets? P) below for each prime broker the private fund uses. If the private fund uses	Yes
(b) (c) (d) (e) (f) (b)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is a prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC, NEW YOR	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e) lete questions (b) through (e) separately for RK BRANCH	state and country): Country: United Kingdom 's assets? P) below for each prime broker the private fund uses. If the private fund uses	Yes ⊙
(b) (c) (d) (e) (f) (c) (c)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is a prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC, NEW YOR If the prime broker is registered. CRD Number (if any):	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e) lete questions (b) through (e) separately for RK BRANCH	state and country): Country: United Kingdom 's assets? E) below for each prime broker the private fund uses. If the private fund uses or each prime broker.	Yes
(b) (c) (d) (e) (f) (c) (c)	e prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: LONDON Does this prime broker act as the answer to question 24.(a) is a prime broker, you must comp Name of the prime broker: BARCLAYS BANK PLC, NEW YOR If the prime broker is registered. CRD Number (if any):	lete questions (b) through (e) separately for ed with the SEC, its registration number: ce used principally by the <i>private fund</i> (city, state: custodian for some or all of the <i>private fund</i> s "yes," respond to questions (b) through (e) lete questions (b) through (e) separately for RK BRANCH ed with the SEC, its registration number:	state and country): Country: United Kingdom 's assets? E) below for each prime broker the private fund uses. If the private fund uses or each prime broker.	Yes ⊙

	'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the <i>pr</i> each prime broker.	rivate fund uses more than
(b) Name of the prime broker: BARCLAYS CAPITAL INC.			
8 - 41342	I with the SEC, its registration number:		
CRD Number (if any): 19714			
(d) Location of prime broker's office	used principally by the <i>private fund</i> (city, st	ate and country):	
City: NEW YORK	State: New York	Country: United States	
			Yes
(e) Does this prime broker act as cu	ustodian for some or all of the private fund's	assets?	•
		below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses.	rivate fund uses more than
one prime broker, you must comple	te questions (b) through (e) separately for ϵ	each prime broker.	
(b) Name of the prime broker: BARCLAYS CAPITAL SECURITIES,	, LTD.		
(c) If the prime broker is registered	I with the SEC, its registration number:		
-	I with the SEC, its registration number:		
(c) If the prime broker is registered - CRD Number (if any):	I with the SEC, its registration number:		
- CRD Number (if any):	I with the SEC, its registration number: e used principally by the <i>private fund</i> (city, st	ate and country):	
- CRD Number (if any): (d) Location of prime broker's office City:		Country:	
CRD Number (if any): (d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	-	Yes
- CRD Number (if any): (d) Location of prime broker's office City: LONDON	e used principally by the <i>private fund</i> (city, st	Country: United Kingdom	Yes ⊙
CRD Number (if any): (d) Location of prime broker's office City: LONDON	e used principally by the <i>private fund</i> (city, st State:	Country: United Kingdom	
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut If the answer to question 24.(a) is '	e used principally by the <i>private fund</i> (city, st State: ustodian for some or all of the <i>private fund's</i>	Country: United Kingdom assets? below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses.	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cultiple of the complete of the co	e used principally by the <i>private fund</i> (city, st State: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses.	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut one prime broker, you must complete the complete of the prime broker: BNP PARIBAS SECURITIES CORP	e used principally by the <i>private fund</i> (city, st State: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses.	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut as cut and complete the prime broker, you must complete the prime broker: BNP PARIBAS SECURITIES CORP	e used principally by the <i>private fund</i> (city, state: State: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses.	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut one prime broker, you must complete (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP (c) If the prime broker is registered 8 - 32682 CRD Number (if any): 15794	e used principally by the <i>private fund</i> (city, state: State: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the private fund uses. If the preach prime broker.	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut one prime broker, you must comple (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP (c) If the prime broker is registered 8 - 32682 CRD Number (if any): 15794 (d) Location of prime broker's office City:	e used principally by the <i>private fund</i> (city, state: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the private fund uses. If the preach prime broker. ate and country): Country:	•
CRD Number (if any): (d) Location of prime broker's office City: LONDON (e) Does this prime broker act as cut one prime broker, you must comple (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP (c) If the prime broker is registered 8 - 32682 CRD Number (if any): 15794 (d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, state: ustodian for some or all of the <i>private fund's</i> 'yes," respond to questions (b) through (e) te questions (b) through (e) separately for e	Country: United Kingdom assets? below for each prime broker the private fund uses. If the preach prime broker.	•

one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker: BOFA SECURITIES, INC.			
(c) If the prime broker is registere 8 - 69787 CRD Number (if any): 283942	d with the SEC, its registration number:		
(d) Location of prime broker's offic	e used principally by the private fund (cit	y, state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New fork	United States	Yes No
(e) Does this prime broker act as o	custodian for some or all of the <i>private fu</i>	und's assets?	⊙ C
•	"yes," respond to questions (b) through ete questions (b) through (e) separately	(e) below for each prime broker the <i>private fund</i> uses. for each prime broker.	If the <i>private fund</i> uses more than
(b) Name of the prime broker: DEUTSCHE BANK AG			
(c) If the prime broker is registere	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's offic	e used principally by the <i>private fund</i> (cit	y, state and country):	
City: FRANKFURT	State:	Country: Germany	
			Yes No
(e) Does this prime broker act as of	custodian for some or all of the private fu	und's assets?	⊙ 0
one prime broker, you must complete (b) Name of the prime broker: DEUTSCHE BANK SECURITIES I (c) If the prime broker is registere 8 - 17822 CRD Number (if any): 2525	ete questions (b) through (e) separately		If the <i>private fund</i> uses more than
NEW YORK	New York	United States	Yes No
(e) Does this prime broker act as of	custodian for some or all of the <i>private fu</i>	und's assets?	⊙ C
	"yes," respond to questions (b) through ete questions (b) through (e) separately	(e) below for each prime broker the <i>private fund</i> uses. for each prime broker.	If the <i>private fund</i> uses more than
MACQUARIE BANK LTD.			
(c) If the prime broker is registere	d with the SEC, its registration number:		
-			

CRD Number (if any):

(3)	City:	orincipally by the <i>private fund</i> (city, s State:	Country:	
	SYDNEY		Australia	
(e)	Does this prime broker act as custodia	n for some or all of the <i>private fund</i>	's assets?	
<u>n</u> Does	s the <i>private fund</i> use any custodians (inc	cluding the prime brokers listed abo	ve) to hold some or all of its assets?	
If the		spond to questions (b) through (g) I	pelow for each custodian the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more than
Addi	itional Custodian Information : 12 Rec	cord(s) Filed.		
	the answer to question 25.(a) is "yes," r stodian, you must complete questions (b		below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ustodian.	ivate fund uses more tha
(b)	Legal name of custodian: BARCLAYS BANK PLC			
(c)	Primary business name of custodian: BARCLAYS BANK PLC			
(d)	The location of the custodian's office re	esponsible for <i>custody</i> of the <i>private</i> State:	e fund's assets (city, state and country): Country:	
	LONDON		United Kingdom	
(e)	Is the custodian a related person of you	ur firm?		
(f)	If the custodian is a broker-dealer, pro	vide its SEC registration number (if	any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, G5GSEF7VJP5I7OUK5573	, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity	identifier (if any)
If t	the answer to question 25.(a) is "yes," r	respond to questions (b) through g)	below for each custodian the <i>private fund</i> uses. If the <i>pri</i>	<i>ivate fund</i> uses more tha
cus	stodian, you must complete questions (b	o) through (g) separately for each c	ustodian.	
(b)	Legal name of custodian: BARCLAYS BANK PLC, NEW YORK BRAN	СН		
(c)	Primary business name of custodian: BARCLAYS BANK PLC, NEW YORK BRAN	СН		
(d)	The location of the custodian's office re	·		
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of you	ur firm?		
(f)	If the custodian is a broker-dealer, pro	vide its SEC registration number (if	any):	
	=			

(c) Primary business name of custodian:

BLACK ROCK, INC.

(d) The location of the custodi	an's office responsible for custody of the private for	und's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
			Yes No
(e) Is the custodian a related p	person of your firm?		0 0
(f) If the custodian is a broker	r-dealer, provide its SEC registration number (if a	ny):	
- CRD Number (if any):			
(g) If the custodian is not a br 549300LRIF3NWCU26A80	roker-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity id</i>	dentifier (if any)
·	a) is "yes," respond to questions (b) through g) b questions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> te fund uses. If the <i>priva</i> te fund uses.	ate fund uses more than one
(b) Legal name of custodian: BNP PARIBAS SECURITIES	CORP.		
(c) Primary business name of BNP PARIBAS SECURITIES			
(d) The location of the custodi	an's office responsible for <i>custody</i> of the <i>private f</i> or	und's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a <i>related</i> (Yes No
(f) If the custodian is a broker 8 - 32682	r-dealer, provide its SEC registration number (if a	ıy):	
CRD Number (if any): 15794			
(g) If the custodian is not a br		ave an SEC registration number, provide its <i>legal entity id</i>	dentifier (if any)
custodian, you must complete	a) is "yes," respond to questions (b) through g) b questions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> te fund uses if the private fund	ate fund uses more than one
(b) Legal name of custodian: BOFA SECURITIES, INC.			
(c) Primary business name of BOFA SECURITIES, INC.	custodian:		
(d) The location of the custodi	an's office responsible for <i>custody</i> of the <i>private for</i>	und's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related p	person of your firm?		Yes No ○ •
(f) If the custodian is a broker 8 - 69787	r-dealer, provide its SEC registration number (if a	ny):	
CRD Number (if any): 283942			
(g) If the custodian is not a br 549300HN4UKV1E2R3U73	roker-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity id</i>	dentifier (if any)

11	he answer to question 25.(a) is "y todian, you must complete question			stodian the <i>private fund</i> uses. I	the <i>private fund</i> uses more tha	n one
(b)	Legal name of custodian: COMPUTERSHARE LIMITED					
(c)	Primary business name of custod COMPUTERSHARE LIMITED	ian:				
(d)	The location of the custodian's of City: BOSTON	fice responsible for <i>custody</i> of State: Massachusetts	f the <i>private fund's</i> assets (city,	, state and country): Country: United States		
(e)	Is the custodian a related person	of your firm?				Yes No
(f)	If the custodian is a broker-deale	r, provide its SEC registration	number (if any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-d	ealer, or is a broker-dealer b	ut does not have an SEC regist	tration number, provide its <i>lega</i>	al entity identifier (if any)	
	he answer to question 25.(a) is "y todian, you must complete question			stodian the <i>private fund</i> uses. I	f the <i>private fund</i> uses more tha	n one
(b)	Legal name of custodian: DEUTSCHE BANK AG					
(c)	Primary business name of custod DEUTSCHE BANK AG	ian:				
(d)	The location of the custodian's of City: FRANKFURT	fice responsible for <i>custody</i> o	f the <i>private fund's</i> assets (city, State:	, state and country): Country: Germany		
(e)	Is the custodian a related person	of your firm?				Yes No
(f)	If the custodian is a broker-deale	r, provide its SEC registration	number (if any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-d 7LTWFZYICNSX8D621K86	ealer, or is a broker-dealer b	ut does not have an SEC regist	tration number, provide its <i>lega</i>	al entity identifier (if any)	
	he answer to question 25.(a) is "y todian, you must complete question			stodian the <i>private fund</i> uses. I	f the <i>private fund</i> uses more tha	n one
(b)	Legal name of custodian: DEUTSCHE BANK SECURITIES INC).				
(c)	Primary business name of custod DEUTSCHE BANK SECURITIES INC					
(d)	The location of the custodian's of	,		•		
	City:	State:		Country:		

United States

New York

NEW YORK

(f) If the custodian is a broker-dealer, p			
0 17000	provide its SEC registration number (if a	ny):	
8 - 17822			
CRD Number (if any): 2525			
(a) If the custodian is not a broker deal	lor, or is a broker dealer but does not b	ave an SEC registration number, provide its <i>legal entity identifier</i> (if any)
9J6MBOOO7BECTDTUZW19	ier, or is a proker-dealer but does not in	ave all SEC registration number, provide its legal entity lucitumer (п апу)
If the answer to question 25.(a) is "yes custodian, you must complete questions		pelow for each custodian the <i>private fund</i> uses. If the <i>private fund</i> stodian.	uses more than one
(b) Legal name of custodian: HSBC BANK USA, N.A.			
(c) Primary business name of custodian HSBC BANK USA, N.A.	:		
(d) The location of the custodian's office			
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a <i>related person</i> of	your firm?		Yes No ○ •
(f) If the custodian is a broker-dealer, p	provide its SEC registration number (if a	ny):	
- CDD Number (if any)			
CRD Number (if any):			
(g) If the custodian is not a broker-deal	ler, or is a broker-dealer but does not h	ave an SEC registration number, provide its <i>legal entity identifier</i> (if any)
If the answer to question 25.(a) is "yes custodian, you must complete questions		pelow for each custodian the <i>private fund</i> uses. If the <i>private fund</i> stodian.	uses more than one
			uses more than one
custodian, you must complete questions (b) Legal name of custodian:	s (b) through (g) separately for each cus		uses more than one
 custodian, you must complete questions (b) Legal name of custodian:	(b) through (g) separately for each custors: e responsible for <i>custody</i> of the <i>private t</i>	fund's assets (city, state and country):	uses more than one
custodian, you must complete questions (b) Legal name of custodian: MACQUARIE BANK LIMITED (c) Primary business name of custodian MACQUARIE BANK LIMITED	s (b) through (g) separately for each cus	stodian.	uses more than one
 custodian, you must complete questions (b) Legal name of custodian:	s (b) through (g) separately for each custors: e responsible for <i>custody</i> of the <i>private t</i> State:	fund's assets (city, state and country): Country:	uses more than one Yes No ○ ••
 custodian, you must complete questions (b) Legal name of custodian:	s (b) through (g) separately for each custors: e responsible for <i>custody</i> of the <i>private t</i> State: your firm?	fund's assets (city, state and country): Country: Australia	Yes No
 custodian, you must complete questions (b) Legal name of custodian: MACQUARIE BANK LIMITED (c) Primary business name of custodian MACQUARIE BANK LIMITED (d) The location of the custodian's office City: SYDNEY 	s (b) through (g) separately for each custors: e responsible for <i>custody</i> of the <i>private t</i> State: your firm?	fund's assets (city, state and country): Country: Australia	Yes No

Administrator

Yes No

	nation : 1 Record(s) Filed.		
If the answer to question 26.(a) questions (b) through (f) separa		low. If the <i>private fund</i> uses more than one administrat	or, you must complete
(b) Name of administrator:			
CITCO FUND SERVICES (CAY	'MAN ISLANDS) LTD		
(c) Location of administrator (ci	ity, state and country).		
City:	State:	Country:	
JERSEY CITY	New Jersey	United States	
			Yes
(d) Is the administrator a <i>relate</i>	ed person of your firm?		0
(e) Does the administrator prepared	pare and send investor account statements to the	e private fund's investors?	
	stors) $_{ar{\mathbb{C}}}$ Some (provided to some but not all inves		
11	6.(e) is "no" or "some," who sends the investor a the (rest of the) <i>private fund's</i> investors, respond	ccount statements to the (rest of the) <i>private fund's</i> inv	vestors? If investor accoun
uation used for purposes of investo	or subscriptions, redemptions or distributions, and	fee calculations (including allocations) was the valuation	on determined by such pe
	or subscriptions, redemptions or distributions, and	fee calculations (including allocations) was the valuati	
<u>ers</u>	or subscriptions, redemptions or distributions, and vices of someone other than you or your <i>employed</i>		on determined by such <i>pe</i>
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28.(a) is "yes," responding	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant,		or similar <i>person</i> . If the ans
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28.(a) is "yes," responding	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer.	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, c	or similar <i>person</i> . If the ans
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," responding must complete questions (b) through	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer.	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the an
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28.(a) is "yes," responding	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer.	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the ans
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," responding must complete questions (b) throughter than the private fund with the Private Fund in the privat	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer.	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the ans
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," responding must complete questions (b) throughter than the private fund to the private fund whether the private fund to the pri	vices of someone other than you or your <i>employed</i> the <i>person</i> acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer. No Info	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the ans
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," respond to must complete questions (b) throughter than the private fund: Name of the <i>private fund</i> : D. E. SHAW COMPOSITE PORTFOLIC Private fund identification number: (include the "805-" prefix also)	vices of someone other than you or your employed the person acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer. No Info	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the an
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," respond to must complete questions (b) through the serve to the private fund: D. E. SHAW COMPOSITE PORTFOLI Private fund identification number:	vices of someone other than you or your employed the person acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer. No Info	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the an
Does the <i>private fund</i> use the serve You must answer "yes" whether the question 28. (a) is "yes," respond to must complete questions (b) through the serve that the serve	vices of someone other than you or your employed the person acts as a placement agent, consultant, to questions (b) through (g) below for each such ugh (g) separately for each marketer. No Info	es for marketing purposes? finder, introducer, municipal advisor or other solicitor, o marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	or similar <i>person</i> . If the an

Country:

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

United States

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

State:

Delaware

D. E. SHAW & CO., L.L.C.

Yes No

⊙ ⊙

	iser/Relying Adviser Name		
	/ & CO., L.P.		
e <i>private i</i>	fund (check all that apply; you must check at least one):		
•		any under section 3(c)(1) of the Investment Company Act of 1940	
	·	any under section 3(c)(7) of the Investment Company Act of 1940	
t the nam	ne and country, in English, of each foreign financial regulatory	<u> </u>	
		No Information Filed	
			Ye
	a "master fund" in a master-feeder arrangement?		•
	what is the name and <i>private fund</i> identification number (if an		
•	rivate fund	Private fund identification number	
	/ COMPOSITE FUND, L.L.C.	805-7610105191	
	/ COMPOSITE GRAPHITE FUND, L.L.C.	805-4477657591	
	/ COMPOSITE GRAPHITE INTERNATIONAL FUND, L.P.	805-9155904143	
E. SHAW	/ COMPOSITE INTERNATIONAL FUND	805-1179779865	
			\ /
le this s	a "fooder fund" in a master fooder arrangement?		Ye
	a "feeder fund" in a master-feeder arrangement?		(
•	what is the name and <i>private fund</i> identification number (if an	y) of the master fund in which this <i>private fund</i> invests?	
Name of	f private fund:		
Drivato f	fund identification number:		
	e the "805-" prefix also)		
	nt or reporting on the funds separately.	ent regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-fee	eder
		arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	
e following	ling a single Schedule D, Section 7.B.(1) for a master-feeder		
dditional	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional 7. If you a	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed.		s ans
dditional 7. If you a	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information : 4 Record(s) 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 each of the feeder funds	s ans
dditional If you a	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions:	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information : 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional If you a	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number:	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also)	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number:	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to th	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized:	s ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State:	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country:	ans
dditional 7. If you a answer (a)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized:	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Directors	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States (or persons serving in a similar capacity):	s ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States	ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-feer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States (or persons serving in a similar capacity):	ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-fer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States (or persons serving in a similar capacity):	ans
dditional 7. If you a answer (a) (b)	ling a single Schedule D, Section 7.B.(1) for a master-feeder g questions: Feeder Fund Information: 4 Record(s) Filed. are filing a single Schedule D, Section 7.B.(1) for a master-feer the following questions: Name of the private fund: D. E. SHAW COMPOSITE FUND, L.L.C. Private fund identification number: (include the "805-" prefix also) 805-7610105191 Under the laws of what state or country is the private fund State: Delaware Name(s) of General Partner, Manager, Trustee or Directors Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C.	arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds seder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder to organized: Country: United States (or persons serving in a similar capacity):	s ans

		(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. No Information Filed
7.	answer	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 the feeder funds the following questions:
	(a)	Name of the <i>private fund</i> : D. E. SHAW COMPOSITE GRAPHITE FUND, L.L.C.
	(b)	Private fund identification number:
		(include the "805-" prefix also) 805-4477657591
	(c)	Under the laws of what state or country is the <i>private fund</i> organized:
		State: Country: Delaware United States
		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
		D. E. SHAW COMPOSITE MANAGER, L.L.C.
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
		D. E. SHAW & CO., L.P.
		D. L. SHAW & CO., E.I.
		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 <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed
7.	-	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 the feeder funds the following questions:
	(a)	Name of the private fund:
		D. E. SHAW COMPOSITE GRAPHITE INTERNATIONAL FUND, L.P.
	(b)	Private fund identification number: (include the "805-" prefix also)
		805-9155904143
	(c)	Under the laws of what state or country is the <i>private fund</i> organized:
	(-)	State: Country: Cayman Islands
	(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
		D. E. SHAW COMPOSITE INTERNATIONAL FUND GP, L.L.C.
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
		Filing Adviser/Relying Adviser Name
		D. E. SHAW & CO., L.P.

	(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)		
	(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.	
		Name of Country/English Name of Foreign Financial Regulatory Authority Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY	
	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), for each of the feeder	funds
	answer	the following questions:	
	(a)	Name of the private fund:	
		D. E. SHAW COMPOSITE INTERNATIONAL FUND	
	(b)	Private fund identification number:	
		(include the "805-" prefix also)	
		805-1179779865	
	(c)	Under the laws of what state or country is the <i>private fund</i> organized:	
		State: Country: Cayman Islands	
		odyman islands	
	(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	
		D. E. SHAW & CO., L.L.C.	
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name	
		D. E. SHAW & CO., L.P.	
	(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	
		Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY	
	NOTE: For p	ourposes 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	e fund
	("master fur	nd"). 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 in	
	and each cla	ass (or series) invests substantially all of its assets in a single master fund.	Yes N
	(a) Is this p	private fund a "fund of funds"?	0 (
	NOTE: For p	ourposes 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 v	
		o <i>private funds</i> or registered investment companies.	
	they are als	o <i>private funds</i> or registered investment companies. does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0
	they are als		
	they are als (b) If yes, o		O (
	they are als (b) If yes, c	does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	
	they are als (b) If yes, c During your than "money	does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? 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	Yes N
O.	they are als (b) If yes, c During your than "money What type o	does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? 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 y market funds," to the extent provided in Instruction 6.e.)?	Yes N

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> :	
	\$ 56,195,571,418	
<u>Ow</u>	vnership	
12.	Minimum investment commitment required of an investor in the private fund:	
	\$ 1,000,000	
	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 fund).	of the
13.	Approximate number of the <i>private fund's</i> beneficial owners:	
	480	
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 14%	
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 20%	
		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?	0 0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :	
	47%	
You	ur Advisory Services	
17	(a) Are you a subadvisor to this private fund	Yes No
17.	(a) Are you a subadviser to this <i>private fund</i>?(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 to question 17.(a) is "no,"	O O
	this question blank.	leave
	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 0
	(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 answer to question 18.(a) is leave this question blank.	is "no,"
	No Information Filed	
		Yes No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0 0
	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%	
Pri	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?	⊙ ○
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):	
	Form D file number	
	021-129860 021-129861	
	021-146386	
	021-146388	
B. S	ERVICE PROVIDERS	
Aud	<u>ditors</u>	

23. (a) (1) Are the *private fund's* financial statements subject to an annual audit?

⊙ ○

	tional Auditor Information : 1 Record(s) Filed.		
	ne 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 comp stions (b) through (f) separately for each auditing firm.	olete	
(b)	Name of the auditing firm: ERNST & YOUNG 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	No
(d)	Is the auditing firm an independent public accountant?	•	0
e)	Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number: 42		
(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
e th	ne private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?		es l
	of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified opinions?		,
	s O No O Report Not Yet Received		
	check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.		
<i>y</i>			
<u>oker</u>		V	es l
			;5 I
oes	the <i>private fund</i> use one or more prime brokers?		ħ
f the	the <i>private fund</i> use one or more prime brokers? 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 broker, you must complete questions (b) through (e) separately for each prime broker.	6	
f the orime	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	6	
f the prime Addi If th one	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 broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information: 70 Record(s) Filed. 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 prime broker, you must complete questions (b) through (e) separately for each prime broker.	than c	one
f the prime Addi If the one	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 broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information: 70 Record(s) Filed. 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 c	one
f the prime Addi If the one (b)	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 broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information: 70 Record(s) Filed. 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 mo prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	than c	one
f the prime Addi If the one (b)	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 broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information: 70 Record(s) Filed. 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 mo prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANCO SANTANDER, S.A.	than c	one
f the prime Addi If the one (b)	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 broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information: 70 Record(s) Filed. 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 mo prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANCO SANTANDER, S.A. If the prime broker is registered with the SEC, its registration number:	than c	one
the rime Addir If the one (b)	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 broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information: 70 Record(s) Filed. 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 prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANCO SANTANDER, S.A. If the prime broker is registered with the SEC, its registration number:	than c	one
f the rime Addi If the one (b)	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 broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information: 70 Record(s) Filed. 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 mo prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANCO SANTANDER, S.A. If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	than d	n
Addi If the one (b) (c)	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 broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information: 70 Record(s) Filed. 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 prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANCO SANTANDER, S.A. If the prime broker is registered with the SEC, its registration number:	than c	1

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(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

(c) If the prime broker is registered with			
(c) If the prime broker is registered with	th the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office use	ed principally by the <i>private fund</i> (city, state and	country):	
City: WILMINGTON	State: Delaware	Country: United States	
WILMINGTON	Delaware	Sinted States	Yes No
(e) Does this prime broker act as custo	dian for some or all of the <i>private fund's</i> assets		⊙ C
•	s," respond to questions (b) through (e) below f questions (b) through (e) separately for each pri	or each prime broker the <i>private fund</i> uses. If the me broker.	orivate fund uses more than
(b) Name of the prime broker: BANK OF AMERICA N.A.			
(c) If the prime broker is registered wit	th the SEC, its registration number:		
CRD Number (if any):			
	ed principally by the <i>private fund</i> (city, state and		
City: NEW YORK	State: New York	Country: United States	
			Yes No
(e) Does this prime broker act as custo	dian for some or all of the private fund's assets		⊙ ○
	s," respond to questions (b) through (e) below fluestions (b) through (e) separately for each pri	or each prime broker the <i>private fund</i> uses. If the me broker.	orivate fund uses more than
one prime broker, you must complete q	· · · · · · · · · · · · · · · · · · ·		orivate fund uses more than
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL	uestions (b) through (e) separately for each pri		orivate fund uses more than
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL	uestions (b) through (e) separately for each pri		orivate fund uses more than
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complex of the prime broker is registered with the complex of the complex of the prime broker is registered with the complex of the comple	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and	country):	orivate fund uses more than
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with CRD Number (if any):	uestions (b) through (e) separately for each pri	me broker.	private fund uses more than
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker. (d) Location of prime broker is office used the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered.	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and	country): Country: Canada	ves No.
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker. (d) Location of prime broker is office used the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered.	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and State:	country): Country: Canada	Yes No
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and State:	country): Country: Canada or each prime broker the <i>private fund</i> uses. If the	Yes No ⊙ O
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and State: dian for some or all of the <i>private fund</i> 's assets:	country): Country: Canada or each prime broker the <i>private fund</i> uses. If the	Yes No ⊙ O
one prime broker, you must complete q (b) Name of the prime broker: BANK OF MONTREAL (c) If the prime broker is registered with the complete quantity of the prime broker is registered with the complete quantity of the prime broker's office used the complete quantity of the answer to question 24. (a) is "yestone prime broker, you must complete quantity of the prime broker:	th the SEC, its registration number: ed principally by the <i>private fund</i> (city, state and State: dian for some or all of the <i>private fund's</i> assets: s," respond to questions (b) through (e) below for the private fund (e) separately for each private fund).	country): Country: Canada or each prime broker the <i>private fund</i> uses. If the	Yes No ⊙ C

CRD Number (if any):

City: NEW YORK	State: New York	Country: United States	
WEW TORK	New Tork	officed States	Yes No
(e) Does this prime broker act as o	custodian for some or all of the <i>private fund's</i>	assets?	⊙ ○
•	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e <i>private fund</i> uses more than
(c) If the prime broker is registere	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office City: LONDON	e used principally by the <i>private fund</i> (city, st State:	ate and country): Country: United Kingdom	
(e) Does this prime broker act as of	custodian for some or all of the <i>private fund's</i>	assets?	Yes No ⊙ ○
(b) Name of the prime broker: BARCLAYS BANK PLC, NEW YOR(c) If the prime broker is registereCRD Number (if any):	K BRANCH d with the SEC, its registration number:		
(d) Location of prime broker's office City: NEW YORK	e used principally by the <i>private fund</i> (city, st State: New York	ate and country): Country: United States	
(e) Does this prime broker act as of	custodian for some or all of the private fund's	assets?	Yes No
 one prime broker, you must complete (b) Name of the prime broker: BARCLAYS CAPITAL INC. (c) If the prime broker is registere 8 - 41342 CRD Number (if any): 	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e <i>private fund</i> uses more than
19714(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	ate and country):	
City: NEW YORK	State: New York	Country: United States	
INLVV TURN	New YOLK	United States	Yes No
(e) Does this prime broker act as of	custodian for some or all of the private fund's	assets?	o 0

one prime broker, you must complete	questions (b) through (e) separately fo	·	the <i>private fund</i> uses more than
(b) Name of the prime broker: BARCLAYS CAPITAL SECURITIES, L	.TD.		
(c) If the prime broker is registered w	vith the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office u	sed principally by the <i>private fund</i> (city,	state and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Does this prime broker act as cus	todian for some or all of the <i>private fund</i>	l's assets?	Yes No ⊙ ○
	<u> </u>		
1		e) below for each prime broker the <i>private fund</i> uses. If	the <i>private fund</i> uses more than
	questions (b) through (e) separately fo	r each prime broker.	
(b) Name of the prime broker: BMO CAPITAL MARKETS CORP.			
(c) If the prime broker is registered w	vith the SEC, its registration number:		
CRD Number (if any): 16686			
(d) Location of prime broker's office u	sed principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country: United States	
WILMINGTON	Delaware	Sinted States	Voc No
			Yes No
	Delaware todian for some or all of the <i>private fund</i>		© C
(e) Does this prime broker act as cust lift the answer to question 24.(a) is "ye	todian for some or all of the <i>private fund</i> es," respond to questions (b) through (e	e) below for each prime broker the <i>private fund</i> uses. If	● ○
(e) Does this prime broker act as cust lift the answer to question 24.(a) is "ye	todian for some or all of the private fund	e) below for each prime broker the <i>private fund</i> uses. If	● ○
(e) Does this prime broker act as cust lift the answer to question 24.(a) is "ye	todian for some or all of the <i>private fund</i> es," respond to questions (b) through (e	e) below for each prime broker the <i>private fund</i> uses. If	● ○
(e) Does this prime broker act as customated and the complete (b) Name of the prime broker:	es," respond to questions (b) through (c) questions (b) through (c) separately fo	e) below for each prime broker the <i>private fund</i> uses. If	● ○
(e) Does this prime broker act as customated answer to question 24.(a) is "ye one prime broker, you must complete (b) Name of the prime broker: BNP PARIBAS	es," respond to questions (b) through (c) questions (b) through (c) separately fo	e) below for each prime broker the <i>private fund</i> uses. If	● ○
(e) Does this prime broker act as customated answer to question 24. (a) is "ye one prime broker, you must complete (b) Name of the prime broker: BNP PARIBAS (c) If the prime broker is registered we complete to the prime broker is registered when the prime broker is registered we complete to the prime broker is registered when the prime broker is registered we complete to the prime broker is registered when the prime broker	es," respond to questions (b) through (c) questions (b) through (c) separately fo	e) below for each prime broker the <i>private fund</i> uses. If reach prime broker.	● ○
(e) Does this prime broker act as customated and the prime broker. You must complete (b) Name of the prime broker: BNP PARIBAS (c) If the prime broker is registered was a customated and the prime broker. CRD Number (if any):	es," respond to questions (b) through (c) questions (b) through (e) separately for with the SEC, its registration number:	e) below for each prime broker the private fund uses. If reach prime broker. state and country): Country:	● ○
(e) Does this prime broker act as customated and the prime broker. You must complete (b) Name of the prime broker: BNP PARIBAS (c) If the prime broker is registered was a customated and the prime broker. CRD Number (if any):	es," respond to questions (b) through (c) questions (b) through (e) separately for with the SEC, its registration number:	e) below for each prime broker the <i>private fund</i> uses. If r each prime broker.	⊙ ○

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:

(c) If the prime broker is register	ered with the SEC, its registration n	umber:		
- CRD Number (if any):				
(d) Location of prime broker's o	ffice used principally by the <i>private i</i>	fund (city, state and cour	ntry):	
City: GEORGE TOWN	Si	tate:	Country:	
GEORGE TOWN			Cayman Islands	Yes
(e) Does this prime broker act a	as custodian for some or all of the p	rivate fund's assets?		•
	is "yes," respond to questions (b) nplete questions (b) through (e) sep	_		uses. If the <i>private fund</i> uses more than
(b) Name of the prime broker: BNP PARIBAS SA				
(c) If the prime broker is registed	ered with the SEC, its registration n	umber:		
CRD Number (if any):				
•	ffice used principally by the <i>private i</i>	fund (city, state and cou		
City: PARIS	State:		Country: France	
				Yes
(e) Does this prime broker act a	as custodian for some or all of the p	rivate fund's assets?		•
one prime broker, you must con (b) Name of the prime broker: BNP PARIBAS SECURITIES C (c) If the prime broker is registed 8 - 32682 CRD Number (if any): 15794	nplete questions (b) through (e) sep	parately for each prime but the but th	oroker.	uses. If the <i>private fund</i> uses more that
City: NEW YORK	State: New York		Country: United States	
				Yes
(e) Does this prime broker act a	as custodian for some or all of the p	rivate fund's assets?		•
•	nplete questions (b) through (e) sep		·	uses. If the <i>private fund</i> uses more than
	ered with the SEC, its registration n	umber:		
- CRD Number (if any)				
- CRD Number (if any):				

BNP PARIBAS PRIME BROKERAGE INTERNATIONAL, LTD.

•	ice used principally by the <i>private fund</i> (city, stat	3 .	
City: MUMBAI	State:	Country: India	
(e) Does this prime broker act as	s custodian for some or all of the private fund's as	ssets?	Yes No ⊙ O
	is "yes," respond to questions (b) through (e) be plete questions (b) through (e) separately for ea	elow for each prime broker the <i>private fund</i> uses. If the	e <i>private fund</i> uses more than
(b) Name of the prime broker: BOFA SECURITIES, INC.			
(c) If the prime broker is register 8 - 69787	red with the SEC, its registration number:		
CRD Number (if any): 283942			
(d) Location of prime broker's officity:	ice used principally by the <i>private fund</i> (city, stat State:	e and country): Country:	
NEW YORK	New York	United States	
(e) Does this prime broker act as	s custodian for some or all of the <i>private fund's</i> as	ssets?	Yes No ⊙ ○
(c) If the prime broker is registerCRD Number (if any):	red with the SEC, its registration number:		
•	ice used principally by the <i>private fund</i> (city, stat	•	
City: TORONTO	State:	Country: Canada	
(a) Does this prime broker set as	a custodian for some or all of the private fundice	acata?	Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fund's</i> as	ssets?	• ○
•	is "yes," respond to questions (b) through (e) be plete questions (b) through (e) separately for ea	elow for each prime broker the <i>private fund</i> uses. If the ch prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: CANADIAN IMPERIAL BANK OF	COMMERCE, NY BRANCH		
(c) If the prime broker is register	red with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's officity:	ice used principally by the <i>private fund</i> (city, stat State:	e and country): Country:	
NEW YORK	New York	United States	
(e) Does this prime broker act as	s custodian for some or all of the private fund's as	ssets?	Yes No ⊙ ∩
(-, - coc and prime broker det do	1.1.10 a.a 1.0. Jointo of all of the private rand 3 a		(*) (°)

(h)	Name of the prime broker:			
(D)	CIBC WORLD MARKETS CORP.			
(c)	If the prime broker is registered with the	ne SEC, its registration number:		
	CRD Number (if any):			
(d)	Location of prime broker's office used p	rincipally by the <i>private fund</i> (city, state	and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
				Yes N
(e)	Does this prime broker act as custodian	for some or all of the <i>private fund's</i> ass	sets?	© (
	ne answer to question 24.(a) is "yes," re prime broker, you must complete ques		ow for each prime broker the <i>private fund</i> uses. If the μ n prime broker.	private fund uses more than
b)	Name of the prime broker: CITIBANK N.A.			
(c)	If the prime broker is registered with the	e SEC, its registration number:		
	CRD Number (if any):			
(d)	Location of prime broker's office used p City:	rincipally by the <i>private fund</i> (city, state State:	and country): Country:	
	NEW YORK	New York	United States	
(e)	Does this prime broker act as custodian	for some or all of the private fund's as:	sets?	Yes N
	ne answer to question 24.(a) is "yes," re prime broker, you must complete ques	- · · · · · · · · · · · · · · · · · · ·	ow for each prime broker the <i>private fund</i> uses. If the μ n prime broker.	orivate fund uses more than
(b)	Name of the prime broker: CITIGROUP GLOBAL MARKETS INC.			
c)	If the prime broker is registered with the 8 - 8177	ie SEC, its registration number:		
	CRD Number (if any): 7059			
d)	Location of prime broker's office used p			
	City: NEW YORK	State: New York	Country: United States	
	Does this prime broker act as custodian	n for some or all of the private fund's as	sets?	Yes M
ر ۾`	poes this brille prover act as castodial	i to some of all of the private fullus as:	JO (J)	⊙ (

(b) Name of the prime broker:

CITIGROUP GLOBAL MARKETS LTD

(c) If the prime broker is regis	tered with the SEC, its registration nu	ımber:	
- CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fu</i>	und (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	
(e) Does this prime broker act	as custodian for some or all of the pri	ivate fund's assets?	Yes No
	a) is "yes," respond to questions (b) tl mplete questions (b) through (e) sepa	hrough (e) below for each prime broker the <i>private fund</i> uses. If arately for each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: CREDIT SUISSE AG			
(c) If the prime broker is regis	stered with the SEC, its registration nu	ımber:	
- CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fu</i>	und (city, state and country):	
City:	State:	Country:	
ZURICH		Switzerland	Yes N
(e) Does this prime broker act	as custodian for some or all of the pri	ivate fund's assets?	• C
	mplete questions (b) through (e) sepa	hrough (e) below for each prime broker the <i>private fund</i> uses. If arately for each prime broker.	the <i>private runa</i> uses more than
(c) If the prime broker is regis	tered with the SEC, its registration nu	ımber:	
CRD Number (if any):			
	office used principally by the <i>private fu</i>		
City: LONDON	State:	Country: United Kingdom	
LONDON		omea Migaem	Yes No
(e) Does this prime broker act	as custodian for some or all of the pri	ivate fund's assets?	⊙ C
	a) is "yes," respond to questions (b) tl mplete questions (b) through (e) sepa	hrough (e) below for each prime broker the <i>private fund</i> uses. If arately for each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: CREDIT SUISSE SECURITIES	S (EUROPE) LIMITED		
(c) If the prime broker is regis	stered with the SEC, its registration nu	ımber:	
- CRD Number (if any):			
- -			

City:	office used principally by the <i>private</i> State:	Country:		
LONDON		United Kingdom		Yes No
(e) Does this prime broker act	as custodian for some or all of the p	orivate fund's assets?		⊙ C
•	a) is "yes," respond to questions (b) omplete questions (b) through (e) sep	•	e broker the <i>private fund</i> uses. If the <i>p</i>	private fund uses more than
(b) Name of the prime broker: CREDIT SUISSE SECURITIE				
(c) If the prime broker is regis 8 - 422	stered with the SEC, its registration n	number:		
CRD Number (if any): 816				
(d) Location of prime broker's City:	office used principally by the <i>private</i> State:		untry:	
NEW YORK	New York	Un	ited States	Vac N
(e) Does this prime broker act	: as custodian for some or all of the $ ho$	private fund's assets?		Yes No ⊙ C
- CRD Number (if any):	stered with the SEC, its registration notes of the second			
City:	State:	Country:		
LONDON		United Kingdom		Yes No
(e) Does this prime broker act	as custodian for some or all of the $ ho$	private fund's assets?		⊙ C
	a) is "yes," respond to questions (b) omplete questions (b) through (e) sep		e broker the <i>private fund</i> uses. If the <i>j</i>	private fund uses more than
(b) Name of the prime broker: DEUTSCHE BANK AG				
(c) If the prime broker is regis - CRD Number (if any):	stered with the SEC, its registration n	number:		
(d) Location of prime broker's	office used principally by the <i>private</i>	fund (city, state and country):		
City:	, , , , , , , , , , , , , , , , , , , ,	State:	Country:	
FRANKFURT			Germany	Yes No
(e) Does this prime broker act	as custodian for some or all of the $ ho$	orivate fund's assets?		⊙ C

If the answer to question 24.(a) is one prime broker, you must comple				. If the <i>private fund</i> uses more than
(b) Name of the prime broker: DEUTSCHE BANK AG LONDON				
(c) If the prime broker is registered	d with the SEC, its registration num	nber:		
- CRD Number (if any):				
(d) Location of prime broker's office	e used principally by the <i>private fun</i>	nd (city, state and country)	:	
City: LONDON	State:	Country: United Kingdo	m	
(e) Does this prime broker act as c	ustodian for some or all of the <i>priv</i>	rate fund's assets?		Yes No ⊙ ○
(c) I see the prime stener ast as a		4.0 14.14 0 4.000101		• 0
If the answer to question 24.(a) is one prime broker, you must comple	•		·	. If the <i>private fund</i> uses more than
(b) Name of the prime broker: DEUTSCHE BANK SECURITIES IN	NC.			
(c) If the prime broker is registered 8 - 17822	d with the SEC, its registration num	nber:		
CRD Number (if any): 2525				
(d) Location of prime broker's office		nd (city, state and country)		
City: NEW YORK	State: New York		Country: United States	
(e) Does this prime broker act as c	ustodian for some or all of the <i>priv</i> .	rate fund's assets?		Yes No ⊙ C
If the answer to question 24.(a) is one prime broker, you must comple	•		·	. If the <i>private fund</i> uses more than
(b) Name of the prime broker: GOLDMAN SACHS BANK USA				
(c) If the prime broker is registered	d with the SEC, its registration num	nber:		
- CRD Number (if any):				
(d) Location of prime broker's office		nd (city, state and country)		
City: NEW YORK	State: New York		Country: United States	
(e) Does this prime broker act as c	ustodian for some or all of the <i>priv</i> .	rate fund's assets?		Yes No ⊙ ○
	<u> </u>			~ ~
If the answer to question 24.(a) is	"yes," respond to questions (b) thi	rough (e) below for each p	orime broker the <i>private fund</i> uses	. If the <i>private fund</i> uses more than

(b) Name of the prime broker:
GOLDMAN SACHS INTERNATIONAL

one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(C)	in the prime broker is registered with the SEC, its i	registration number.			
	- CRD Number (if any):				
(d)	Location of prime broker's office used principally by	y the <i>private fund</i> (city, st	ate and country):		
	City: State: LONDON		Country: United Kingdom		
(e)	Does this prime broker act as custodian for some of	or all of the <i>private fund's</i>	assets?		Yes N
If t	he answer to question 24.(a) is "yes," respond to q	uestions (b) through (e)	below for each prim	ne broker the <i>private fund</i> uses. If tl	ne <i>private fund</i> uses more than
one	prime broker, you must complete questions (b) the	rough (e) separately for (each prime broker.		
(b)	Name of the prime broker: HSBC BANK PLC				
(c)	If the prime broker is registered with the SEC, its r	registration number:			
	- CRD Number (if any):				
(d)	Location of prime broker's office used principally by	·	_		
	City: State: LONDON		Country: United Kingdom		
(0)	Does this prime broker act as custodian for some of	or all of the private fund's	accate?		Yes N
	he answer to question 24.(a) is "yes," respond to q prime broker, you must complete questions (b) the	·		ne broker the <i>private fund</i> uses. If the	ne <i>private fund</i> uses more than
(b)	Name of the prime broker: HSBC SECURITIES (USA) INC.				
(c)	If the prime broker is registered with the SEC, its r	registration number:			
	CRD Number (if any):				
(d)	Location of prime broker's office used principally by	y the <i>private fund</i> (city, st	rate and country):		
	City: WILMINGTON	State: Delaware		Country: United States	
(e)	Does this prime broker act as custodian for some of	or all of the <i>private fund's</i>	assets?		Yes N ⊙ (
If t	ne answer to question 24.(a) is "yes," respond to q	uestions (b) through (e)	below for each prim	ne broker the <i>private fund</i> uses. If the	ne <i>private fund</i> uses more than
	prime broker, you must complete questions (b) the				
(b)	Name of the prime broker: J. ARON & COMPANY				
(c)	If the prime broker is registered with the SEC, its r	registration number:			
	CRD Number (if any):				
(d)	Location of prime broker's office used principally by	y the <i>private fund</i> (city, st	ate and country):		

	NEW YORK	New York	Un	nited States		
					Yes	No
(e)	Does this prime broker act as custodian for som	ne or all of the <i>private fund's</i> assets?			\odot	0
				e broker the <i>private fund</i> uses. If the <i>private fund</i> uses more	than	
one	e prime broker, you must complete questions (b)	through (e) separately for each prime	e broker.			
(b)	Name of the prime broker:					
	J.P. MORGAN SECURITIES LLC					
(c)	If the prime broker is registered with the SEC, i	ts registration number:				
	8 - 35008					
	CRD Number (if any):					
	79					
(d)	Location of prime broker's office used principally	by the <i>private fund</i> (city, state and co	ountry):			
	City:	State:		ountry:		
	NEW YORK	New York	Un	nited States		
					Yes I	No
(e)	Does this prime broker act as custodian for som	ne or all of the <i>private fund's</i> assets?			•	0
16.						
	ne answer to question 24.(a) is yes, respond to e prime broker, you must complete questions (b)			e broker the <i>private fund</i> uses. If the <i>private fund</i> uses more	tnan	
OTTO	prime broker, you must complete questions (b)	timough (e) separately for each prime	broker.			
(h)	Name of the prime broker:					
(0)	J.P. MORGAN SECURITIES PLC					
(c)	If the prime broker is registered with the SEC, i	ts registration number:				
(-)	-					
	CRD Number (if any):					
	one manus. (ii any).					
(d)	Location of prime broker's office used principally	by the <i>private fund</i> (city, state and co	ountry):			
	City: Sta	ite: Country	/ :			
	LONDON	United K	Kingdom			
					Yes I	No
(e)	Does this prime broker act as custodian for som	ne or all of the <i>private fund's</i> assets?			•	0
If t	he answer to question 24.(a) is "yes," respond to	o questions (b) through (e) below for	each prime	e broker the private fund uses. If the private fund uses more	than	
one	e prime broker, you must complete questions (b)	through (e) separately for each prime	e broker.			
(b)	Name of the prime broker:					
	JPMORGAN CHASE BANK N.A.					
(c)	If the prime broker is registered with the SEC, in	ts registration number:				
	-					
	CRD Number (if any):					
		a bara dha a mada a da Gala da Maria a da Gala da Maria da Gala da Maria da Gala da Maria da Maria da Gala da M				
(d)	Location of prime broker's office used principally		-			
	City:	State:		ountry: nited States		
	NEW YORK	New York	un		V '	N.
(-)	Door this prime broker ast as sustailled for	on or all of the private finalt-2			Yes I	
(e)	Does this prime broker act as custodian for som	ie or air or the <i>private runu's</i> assets?			⊙	\circ

Country:

State:

City:

(c)	If the prime broker is registered with the	SEC, its registration number:		
	- CRD Number (if any):			
	one number (if any).			
(d)	Location of prime broker's office used pr	ncipally by the <i>private fund</i> (ci	ty, state and country):	
	City:	State:	Country:	
	SYDNEY		Australia	Yes No
(e)	Does this prime broker act as custodian	for some or all of the <i>private fo</i>	und's assets?	© 0
If t	he answer to question 24.(a) is "yes," re	spond to questions (b) through	n (e) below for each prime broker the <i>private fund</i> uses. If th	ne <i>private fund</i> uses more than
one	e prime broker, you must complete questi	ons (b) through (e) separately	for each prime broker.	
(b)	Name of the prime broker:			
	MERRILL LYNCH CAPITAL SERVICES, INC			
(c)	If the prime broker is registered with the	SEC, its registration number:		
	-			
	CRD Number (if any):			
(d)	Location of prime broker's office used pr	ncipally by the <i>private fund</i> (ci	tv. state and country):	
(-)	City:	State:	Country:	
	NEW YORK	New York	United States	Yes No
(e)	Does this prime broker act as custodian	for some or all of the <i>private f</i> u	und's assets?	• O
	he answer to question 24 (a) is "yes " re	anond to questions (h) through	(a) holow for each prime broker the private funduses. If th	na nrivata fundusas mora than
	he answer to question 24.(a) is "yes," rese prime broker, you must complete questi		n (e) below for each prime broker the <i>private fund</i> uses. If the for each prime broker.	ne <i>private fund</i> uses more than
one	e prime broker, you must complete questi		•	ne <i>private fund</i> uses more than
one			•	ne <i>private fund</i> uses more than
one (b)	e prime broker, you must complete questi Name of the prime broker:	ons (b) through (e) separately	for each prime broker.	ne <i>private fund</i> uses more than
one (b)	e prime broker, you must complete questi Name of the prime broker: MERRILL LYNCH INTERNATIONAL	ons (b) through (e) separately	for each prime broker.	ne <i>private fund</i> uses more than
one (b)	e prime broker, you must complete questi Name of the prime broker: MERRILL LYNCH INTERNATIONAL	ons (b) through (e) separately	for each prime broker.	ne <i>private fund</i> uses more than
(b)	Name of the prime broker: MERRILL LYNCH INTERNATIONAL If the prime broker is registered with the complex of the prime broker.	ons (b) through (e) separately e SEC, its registration number:	for each prime broker.	ne <i>private fund</i> uses more than
(b)	Name of the prime broker: MERRILL LYNCH INTERNATIONAL If the prime broker is registered with the	ons (b) through (e) separately e SEC, its registration number:	for each prime broker.	ne <i>private fund</i> uses more than
(b)	Name of the prime broker: MERRILL LYNCH INTERNATIONAL If the prime broker is registered with the CRD Number (if any): Location of prime broker's office used prime broker's office u	ons (b) through (e) separately e SEC, its registration number:	for each prime broker. ty, state and country):	
(b) (c)	Name of the prime broker: MERRILL LYNCH INTERNATIONAL If the prime broker is registered with the case of the prime broker is registered with the case of the case of the prime broker is registered with the case of the case of the prime broker is office used procity:	ons (b) through (e) separately e SEC, its registration number: incipally by the <i>private fund</i> (cit	ty, state and country): Country: United Kingdom	ne <i>private fund</i> uses more than Yes No

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:

MIZUHO CAPITAL MARKETS LLC

(c) If the prime broker is registered w	vith the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office u	sed principally by the <i>private fund</i> (city, sta	te and country):	
City: WILMINGTON	State: Delaware	Country: United States	
WIEWINGTON	Belaware	officed States	Yes No
(e) Does this prime broker act as cust	codian for some or all of the <i>private fund's a</i>	assets?	⊚ ○
	es," respond to questions (b) through (e) b questions (b) through (e) separately for ea	pelow for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: MIZUHO MARKETS CAYMAN LP			
(c) If the prime broker is registered w	vith the SEC, its registration number:		
CRD Number (if any):			
•	sed principally by the <i>private fund</i> (city, sta		
City: GEORGETOWN	State:	Country: Cayman Islands	
		•	Yes No
(e) Does this prime broker act as cust	odian for some or all of the private fund's a	assets?	⊙ ○
(b) Name of the prime broker: MIZUHO SECURITIES USA LLC			
(c) If the prime broker is registered w 8 - 37710	vith the SEC, its registration number:		
CRD Number (if any): 19647			
•	sed principally by the <i>private fund</i> (city, sta		
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as cust	odian for some or all of the <i>private fund's</i> a	assets?	⊙ ○
City: NEW YORK (e) Does this prime broker act as cust If the answer to question 24.(a) is "ye	State: New York rodian for some or all of the <i>private fund's a</i> es," respond to questions (b) through (e) b	Country: United States assets? Delow for each prime broker the private fund uses. If the	
one prime broker, you must complete(b) Name of the prime broker:	questions (b) through (e) separately for ea	ach prime broker.	
MORGAN STANLEY & CO. INTERNA	TIONAL PLC		
(c) If the prime broker is registered w	vith the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office u	sed principally by the <i>private fund</i> (city, sta	te and country):	

City:	State: Count		
LONDON	United	d Kingdom	
			Yes No
(e) Does this prime bro	oker act as custodian for some or all of the <i>private fund's</i> assets?		⊙ ○
	on 24.(a) is "yes," respond to questions (b) through (e) below for		f the <i>private fund</i> uses more than
one prime broker, you	must complete questions (b) through (e) separately for each prin	ne broker.	
(b) Name of the prime			
MORGAN STANLEY	& CO. LLC		
() 16.11			
	r is registered with the SEC, its registration number:		
8 - 15869			
CRD Number (if any	y):		
8209			
(d) Location of prime h	and carlo affice used principally by the private fixed (situates and	accountry A	
	proker's office used principally by the <i>private fund</i> (city, state and o		
City: NEW YORK	State: New York	Country: United States	
INLW TORK	New Tork	United States	Yes No
(a) Dana Hala mulasa ka			
(e) Does this prime bro	oker act as custodian for some or all of the <i>private fund's</i> assets?		• o
If the answer to guesti	on 24.(a) is "yes," respond to questions (b) through (e) below for	ar and prime broker the private fundueses. I	f the private fund uses more than
· ·	must complete questions (b) through (e) separately for each prin	•	Title private fund uses more than
one prime broker, year	must complete questions (c) in ough (c) separatory for each print	TO DIGING!	
(b) Name of the prime	hroker		
MORGAN STANLEY			
(c) If the prime broker	is registered with the SEC, its registration number:		
-			
CRD Number (if any	y):		
(d) Location of prime b	proker's office used principally by the private fund (city, state and o	country):	
City:	State:	Country:	
SALT LAKE CITY	Utah	United States	
			Yes No
(e) Does this prime bro	oker act as custodian for some or all of the private fund's assets?		⊙ ○
	on 24.(a) is "yes," respond to questions (b) through (e) below for	,	f the <i>private fund</i> uses more than
one prime broker, you	must complete questions (b) through (e) separately for each prin	ne broker.	
(b) Name of the prime			
MORGAN STANLEY	CAPITAL GROUP INC.		
() 16.11			
(c) If the prime broker	r is registered with the SEC, its registration number:		
-			
CRD Number (if any	y):		
(d) Location of prime b	proker's office used principally by the private fixed (sity, etate and	country).	
	proker's office used principally by the <i>private fund</i> (city, state and of state)		
City: NEW YORK	State: New York	Country: United States	
ILLW TORK	TAGAN TOLK	Stod States	Yes No
(a) Does this prime bro	oker act as custodian for some or all of the <i>private fund's</i> assets?		
Co, Does this prime bit	oner det as editedian for some of all of the private fund's assets?		⊙ ○

	d with the CEC its magistration		
	ed with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's offic	e used principally by the <i>private fund</i> (city, sta	ate and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Does this prime broker act as o	custodian for some or all of the private fund's	assets?	⊚ ○
	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the <i>pi</i> each prime broker.	rivate fund uses more than
NATIONAL BANK OF CANADA FI	NANCIAL INC.		
(c) If the prime broker is registere 8 - 39947	ed with the SEC, its registration number:		
CRD Number (if any): 22698			
(d) Location of prime broker's offic	e used principally by the <i>private fund</i> (city, sta	ate and country):	
City: WILMINGTON	State: Delaware	Country: United States	
	custodian for some or all of the <i>private fund's</i>	assets?	Yes No ⊙ O
(e) Does this prime broker act as t			
	"yes," respond to questions (b) through (e)	below for each prime broker the <i>private fund</i> uses. If the <i>pi</i>	rivate fund uses more than
If the answer to question 24.(a) is	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for e	·	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must comple		·	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must comple (b) Name of the prime broker: NATIXIS NEW YORK BRANCH		·	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must complet (b) Name of the prime broker: NATIXIS NEW YORK BRANCH	ete questions (b) through (e) separately for e	·	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: NATIXIS NEW YORK BRANCH (c) If the prime broker is registere CRD Number (if any):	ete questions (b) through (e) separately for e	each prime broker.	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: NATIXIS NEW YORK BRANCH (c) If the prime broker is registere - CRD Number (if any): (d) Location of prime broker's office City:	ete questions (b) through (e) separately for each ed with the SEC, its registration number: the used principally by the <i>private fund</i> (city, state:	each prime broker. ate and country): Country:	rivate fund uses more than
If the answer to question 24.(a) is one prime broker, you must complet (b) Name of the prime broker: NATIXIS NEW YORK BRANCH (c) If the prime broker is registered - CRD Number (if any):	ete questions (b) through (e) separately for each ed with the SEC, its registration number: see used principally by the <i>private fund</i> (city, sta	each prime broker.	rivate fund uses more than

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:

NATIXIS SA

(c) If the prime broker is registered with	the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	d principally by the <i>private fund</i> (city st	ate and country):	
City:	State:	Country:	
PARIS		France	
(e) Does this prime broker act as custod	ian for some or all of the <i>private fund's</i>	assets?	Yes N
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	private fund uses more than
one prime broker, you must complete qu			private rana deservice trial
(b) Name of the prime broker: NATIXIS SECURITIES AMERICAS LLC			
(c) If the prime broker is registered with 8 - 719	the SEC, its registration number:		
CRD Number (if any): 1101			
(d) Location of prime broker's office used		-	
City: WILMINGTON	State: Delaware	Country: United States	
			Yes N
(e) Does this prime broker act as custod	ian for some or all of the private fund's	assets?	⊙ (
one prime broker, you must complete qu(b) Name of the prime broker: NATWEST MARKETS PLC		'	
(c) If the prime broker is registered with	the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	d principally by the <i>private fund</i> (city, st	ate and country):	
City:	State:	Country:	
EDINBURGH		United Kingdom	Yes N
(e) Does this prime broker act as custod	ian for some or all of the private fund's	assets?	⊙ c
If the answer to question 24.(a) is "yes," one prime broker, you must complete qu		below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: NOMURA GLOBAL FINANCIAL PRODUC	CTS INC.		
(c) If the prime broker is registered with	the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	d principally by the private fund (city, ct	ate and country):	

NEW YORK		Country:	
	New York	United States	
			Yes No
(e) Does this prime broker a	act as custodian for some or all of the private fund	d's assets?	⊙ ○
	· · · · · · · · · · · · · · · · · · ·		
	.(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If the part each prime broker.	<i>private fund</i> uses more than
(b) Name of the prime broke NOMURA INTERNATIONA			
(c) If the prime broker is req	gistered with the SEC, its registration number:		
-			
CRD Number (if any):			
(d) Location of prime broker	's office used principally by the private fund (city,	state and country):	
City:	State:	Country:	
LONDON		United Kingdom	
		S	Yes No
(a) Dage this prime broker a	est as sustadian for some or all of the private fund	N'a accata?	
(e) Does this prime broker a	act as custodian for some or all of the private fund	7.5 dssets?	⊙ ○
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>j</i>	private fund uses more than
one prime broker, you must	complete questions (b) through (e) separately for	r each prime broker.	
(b) Name of the prime broke	er:		
NO. 41 ID 4 OF COLUE : = : = :	TEDNIATIONIAL INC		
NOMURA SECURITIES IN	TERNATIONAL, INC.		
NOMURA SECURITIES IN	TERNATIONAL, INC.		
(c) If the prime broker is req	gistered with the SEC, its registration number:		
(c) If the prime broker is req 8 - 15255			
(c) If the prime broker is req 8 - 15255 CRD Number (if any):			
(c) If the prime broker is req 8 - 15255			
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297	gistered with the SEC, its registration number:		
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker			
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City:	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State:	Country:	
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city,		
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City:	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State:	Country:	Yes No
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State:	Country: United States	Yes No ⊙ ○
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York	Country: United States	
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York	Country: United States	
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York	Country: United States	
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i>	Country: United States d's assets?	⊙ ○
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> . (a) is "yes," respond to questions (b) through (city)	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
 (c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i>	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
 (c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broke 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
 (c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broke 	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED	gistered with the SEC, its registration number: 's office used principally by the <i>private fund</i> (city, State: New York act as custodian for some or all of the <i>private fund</i> .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund . (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is reg -	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund . (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund . (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is reg -	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund . (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for	Country: United States d's assets? e) below for each prime broker the private fund uses. If the private fund uses is the private fund uses.	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broke RBC EUROPE LIMITED (c) If the prime broker is req CRD Number (if any):	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately forer: gistered with the SEC, its registration number:	Country: United States d's assets? e) below for each prime broker the private fund uses. If the pareach prime broker.	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is req CRD Number (if any):	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for er: gistered with the SEC, its registration number:	Country: United States d's assets? e) below for each prime broker the private fund uses. If the per each prime broker.	⊙ ○
(c) If the prime broker is reg 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is reg CRD Number (if any): (d) Location of prime broker City:	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund .(a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately forer: gistered with the SEC, its registration number:	Country: United States d's assets? e) below for each prime broker the private fund uses. If the per each prime broker. state and country): Country:	⊙ ○
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is req CRD Number (if any):	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for er: gistered with the SEC, its registration number:	Country: United States d's assets? e) below for each prime broker the private fund uses. If the per each prime broker.	private fund uses more than
(c) If the prime broker is req 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker City: NEW YORK (e) Does this prime broker a If the answer to question 24 one prime broker, you must (b) Name of the prime broker RBC EUROPE LIMITED (c) If the prime broker is req CRD Number (if any): (d) Location of prime broker City: LONDON	gistered with the SEC, its registration number: 's office used principally by the private fund (city, State: New York act as custodian for some or all of the private fund (a) is "yes," respond to questions (b) through (complete questions (b) through (e) separately for er: gistered with the SEC, its registration number:	Country: United States d's assets? e) below for each prime broker the private fund uses. If the pareach prime broker. state and country): Country: United Kingdom	⊙ ○

ROYAL BANK OF CANAL	ΛΔ		
NOTAL BANK OF GANAL			
(c) If the prime broker is i	registered with the SEC, its registration num	ber:	
- CRD Number (if any):			
	er's office used principally by the private fundant		
City: TORONTO	State:	Country: Canada	
(e) Does this prime broker	act as custodian for some or all of the priva	te fund's assets?	Yes No
one prime broker, you mus	st complete questions (b) through (e) separa	ough (e) below for each prime broker the <i>private fund</i> uses. If the <i>private</i> stely for each prime broker.	fund uses more than
(b) Name of the prime bro ROYAL BANK OF CANAL	ker: DA, NEW YORK BRANCH		
(c) If the prime broker is i	registered with the SEC, its registration num	ber:	
- CRD Number (if any):			
(d) Location of prime broke	er's office used principally by the <i>private fun</i>	d (city, state and country).	
•			
City:	State:	Country:	
City: NEW YORK	State: New York	Country: United States	Ves No
NEW YORK		United States	Yes No ⊙ O
NEW YORK	New York	United States	
NEW YORK (e) Does this prime broker If the answer to question 2	New York act as custodian for some or all of the priva	United States Interfund's assets? Dough (e) below for each prime broker the private fund uses. If the private	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you must	New York r act as custodian for some or all of the <i>priva</i> 24.(a) is "yes," respond to questions (b) thr st complete questions (b) through (e) separa	United States Interfund's assets? Dough (e) below for each prime broker the private fund uses. If the private	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you must be compared to the prime broker (b) Name of the prime broker (USA)	New York r act as custodian for some or all of the <i>priva</i> 24.(a) is "yes," respond to questions (b) thr st complete questions (b) through (e) separa	United States ate fund's assets? bugh (e) below for each prime broker the private fund uses. If the private ately for each prime broker.	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you must be compared to the prime broker of the prime broker is a compared to the prime broker.	New York act as custodian for some or all of the prival 24.(a) is "yes," respond to questions (b) thr st complete questions (b) through (e) separa ker: INC.	United States ate fund's assets? bugh (e) below for each prime broker the private fund uses. If the private ately for each prime broker.	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you mus (b) Name of the prime bro SCOTIA CAPITAL (USA) (c) If the prime broker is 1 8 - 3716 CRD Number (if any): 2739	New York act as custodian for some or all of the prival 24.(a) is "yes," respond to questions (b) thr st complete questions (b) through (e) separa ker: INC.	United States Inte fund's assets? Dough (e) below for each prime broker the private fund uses. If the private ately for each prime broker. ber:	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you must be compared to the prime broker of the prime broker is a second compared to the prime broker is a second com	New York r act as custodian for some or all of the priva 24.(a) is "yes," respond to questions (b) thr st complete questions (b) through (e) separa ker: INC. registered with the SEC, its registration num	United States Inte fund's assets? Dough (e) below for each prime broker the private fund uses. If the private ately for each prime broker. ber:	⊙ ○
NEW YORK (e) Does this prime broker If the answer to question 2 one prime broker, you must be seen as a second of the prime broker is a second of the prime	New York r act as custodian for some or all of the private functions (b) through (e) separate (c) INC. registered with the SEC, its registration number's office used principally by the private functions (c) State:	United States Interfund's assets? Dough (e) below for each prime broker the private fund uses. If the private ately for each prime broker. Description of the private fund uses are private fund uses. If the private ately for each prime broker. Description of the private fund uses are private fund uses. If the private ately for each prime broker. Description of the private fund uses are private fund uses. If the private ately for each prime broker.	⊙ ○

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:

SKANDINAVISKA ENSKILDA BANKEN AB

CDD				
CRD	Number (if any):			
(d) Loca	ition of prime broker's office used	principally by the <i>private fund</i> (city, state	e and country):	
City: STO	CKHOLM	State:	Country: Sweden	
(e) Does	s this prime broker act as custodia	an for some or all of the <i>private fund's</i> as:	sets?	Yes M
	•	respond to questions (b) through (e) belestions (b) through (e) separately for each	low for each prime broker the <i>private fund</i> uses. If th h prime broker.	e <i>private fund</i> uses more than
	ne of the prime broker: IETE GENERALE			
(c) If the	e prime broker is registered with	the SEC, its registration number:		
- CRD	Number (if any):			
(d) Loca	ition of prime broker's office used	principally by the <i>private fund</i> (city, state	e and country):	
City: PARI		State:	Country: France	
FAIN	3		Trance	Yes N
If the an	nswer to question 24.(a) is "yes,"	respond to questions (b) through (e) belestions (b) through (for each	low for each prime broker the <i>private fund</i> uses. If th	
If the an one prim (b) Nam	nswer to question 24.(a) is "yes," ne broker, you must complete que ne of the prime broker:	respond to questions (b) through (e) bel	low for each prime broker the <i>private fund</i> uses. If th	
If the an one prim (b) Nam STAN	nswer to question 24.(a) is "yes," ne broker, you must complete que	respond to questions (b) through (e) bel estions (b) through (e) separately for each	low for each prime broker the <i>private fund</i> uses. If th	
If the an one prim (b) Nam STAN (c) If the	nswer to question 24.(a) is "yes," ne broker, you must complete que ne of the prime broker: NDARD CHARTERED BANK	respond to questions (b) through (e) bel estions (b) through (e) separately for each	low for each prime broker the <i>private fund</i> uses. If th	
If the an one prim (b) Nam STAN (c) If the CRD	nswer to question 24.(a) is "yes," ne broker, you must complete que ne of the prime broker: NDARD CHARTERED BANK e prime broker is registered with Number (if any):	respond to questions (b) through (e) belestions (b) through (e) separately for each	low for each prime broker the <i>private fund</i> uses. If th h prime broker.	
If the an one prim (b) Nam STAN (c) If the CRD (d) Loca City:	nswer to question 24.(a) is "yes," ne broker, you must complete question of prime broker: NDARD CHARTERED BANK e prime broker is registered with Number (if any):	respond to questions (b) through (e) belestions (b) through (e) separately for each the SEC, its registration number: principally by the <i>private fund</i> (city, state State:	low for each prime broker the <i>private fund</i> uses. If the h prime broker. e and country): Country:	
If the an one prim (b) Nam STAN (c) If the CRD (d) Loca City:	iswer to question 24.(a) is "yes," ne broker, you must complete queste of the prime broker: NDARD CHARTERED BANK e prime broker is registered with Number (if any):	respond to questions (b) through (e) belestions (b) through (e) separately for each the SEC, its registration number: principally by the <i>private fund</i> (city, state	low for each prime broker the <i>private fund</i> uses. If the h prime broker.	

WILMINGTON	Delaware	United States	
			Yes No
(e) Does this prime broker act as custodian for some or	all of the <i>private fund's</i> assets?		⊙ ೧
If the answer to question 24.(a) is "yes," respond to question one prime broker, you must complete questions (b) through			e fund uses more than
(b) Name of the prime broker: THE BANK OF NOVA SCOTIA			
(c) If the prime broker is registered with the SEC, its re	gistration number:		
CRD Number (if any):			
(d) Location of prime broker's office used principally by	the <i>private fund</i> (city, state and cou	ıntry):	
City: TORONTO	State:	Country: Canada	
(e) Does this prime broker act as custodian for some or	all of the private fund's access?		Yes No
(e) Does this prime broker act as custodian for some of	all of the private fund's assets?		⊙ ೧
If the answer to question 24.(a) is "yes," respond to question one prime broker, you must complete questions (b) through			e fund uses more than
(b) Name of the prime broker: UBS AG			
(c) If the prime broker is registered with the SEC, its re	gistration number:		
CRD Number (if any):			
(d) Location of prime broker's office used principally by	the <i>private fund</i> (city, state and cou	ıntry):	
	ate: w York	Country: United States	
NEW YORK NE	WYOR	United States	Yes No
(e) Does this prime broker act as custodian for some or	all of the private fund's assets?		• o
If the answer to question 24.(a) is "yes," respond to question one prime broker, you must complete questions (b) through			e fund uses more than
(b) Name of the prime broker: UBS AG, LONDON BRANCH			
(c) If the prime broker is registered with the SEC, its re	gistration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used principally by			
City: State: LONDON	Country: United Ki		
			Yes No
(e) Does this prime broker act as custodian for some or	all of the <i>private fund's</i> assets?		⊙ ○

State:

Country:

City:

	Name of the prime broker:			
	UBS SECURITIES LLC			
(c)	If the prime broker is registered with the 8 - 22651	e SEC, its registration number:		
	CRD Number (if any):			
	7654			
(d)	Location of prime broker's office used pr	incipally by the <i>private fund</i> (city, state ar	nd country):	
	City: NEW YORK	State: New York	Country: United States	
				Υ
(e)	Does this prime broker act as custodian	for some or all of the private fund's asset	ts?	
	•	spond to questions (b) through (e) below ions (b) through (e) separately for each p	or for each prime broker the private fund uses. If the prince broker.	<i>ivate fund</i> uses more th
(b)	Name of the prime broker: WELLS FARGO BANK, N.A.			
(c)	If the prime broker is registered with the	e SEC, its registration number:		
	- CRD Number (if any):			
	CRD Number (if arry).			
	Location of prime broker's office used pr	incipally by the <i>private fund</i> (city, state ar	nd country):	
	City:	State:	Country:	
	·			Υ
(d)	City: SIOUX FALLS	State:	Country: United States	
(d) (e)	City: SIOUX FALLS	State: South Dakota	Country: United States	
(d)	City: SIOUX FALLS	State: South Dakota	Country: United States	
(d) (e) Does	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incl	State: South Dakota for some or all of the <i>private fund's</i> asset	Country: United States ts? hold some or all of its assets?	
(d) (e) Does If the	City: SIOUX FALLS Does this prime broker act as custodian the <i>private fund</i> use any custodians (incleanswer to question 25.(a) is "yes," resp	State: South Dakota for some or all of the <i>private fund's</i> asset	Country: United States ts? hold some or all of its assets? or each custodian the <i>private fund</i> uses. If the <i>private it</i>	
(d) (e) Does If the custoe	City: SIOUX FALLS Does this prime broker act as custodian the <i>private fund</i> use any custodians (incleanswer to question 25.(a) is "yes," resp	State: South Dakota for some or all of the <i>private fund's</i> asset uding the prime brokers listed above) to be and to questions (b) through (g) below for a county for each custodian.	Country: United States ts? hold some or all of its assets? or each custodian the <i>private fund</i> uses. If the <i>private it</i>	
(d) (e) Does If the custoe	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incleanswer to question 25.(a) is "yes," respection, you must complete questions (b) the	State: South Dakota for some or all of the <i>private fund's</i> asset uding the prime brokers listed above) to be and to questions (b) through (g) below for a county for each custodian.	Country: United States ts? hold some or all of its assets? or each custodian the <i>private fund</i> uses. If the <i>private it</i>	
(d) (e) Does If the custod Addi	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incleanswer to question 25. (a) is "yes," respedian, you must complete questions (b) the tional Custodian Information: 86 Recombe answer to question 25. (a) is "yes," respectively.	State: South Dakota for some or all of the private fund's asset uding the prime brokers listed above) to be bond to questions (b) through (g) below for bough (g) separately for each custodian. Ird(s) Filed.	Country: United States ts? hold some or all of its assets? or each custodian the private fund uses. If the private if the private fund uses if the private fund uses.	fund uses more than o
(d) (e) Does If the custod Addir If the cust	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incleanswer to question 25. (a) is "yes," respedian, you must complete questions (b) the tional Custodian Information: 86 Recombe answer to question 25. (a) is "yes," respectively.	State: South Dakota for some or all of the private fund's asset uding the prime brokers listed above) to lead to questions (b) through (g) below for ough (g) separately for each custodian. ord(s) Filed.	Country: United States ts? hold some or all of its assets? or each custodian the private fund uses. If the private if the private fund uses if the private fund uses.	fund uses more than o
(d) (e) Does If the custod Addit (b)	City: SIOUX FALLS Does this prime broker act as custodian the <i>private fund</i> use any custodians (incleanswer to question 25.(a) is "yes," respedian, you must complete questions (b) the tional Custodian Information: 86 Recomble answer to question 25.(a) is "yes," restodian, you must complete questions (b) Legal name of custodian:	State: South Dakota for some or all of the private fund's asset uding the prime brokers listed above) to lead to questions (b) through (g) below for ough (g) separately for each custodian. ord(s) Filed.	Country: United States ts? hold some or all of its assets? or each custodian the private fund uses. If the private if the private fund uses if the private fund uses.	fund uses more than c
(d) (e) Does If the custod Addi (b) (c)	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incleanswer to question 25.(a) is "yes," respection, you must complete questions (b) the tional Custodian Information: 86 Recomble answer to question 25.(a) is "yes," restodian, you must complete questions (b) Legal name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC The location of the custodian's office research.	State: South Dakota for some or all of the private fund's asset uding the prime brokers listed above) to lead to questions (b) through (g) below for the following for each custodian. Ind(s) Filed. spond to questions (b) through g) below through (g) separately for each custodian. spond to questions (b) through g) below through (g) separately for each custodian.	Country: United States ts? hold some or all of its assets? or each custodian the private fund uses. If the private in for each custodian the private fund uses. If the private in. assets (city, state and country):	
(d) (e) Does If the custod Addi (b) (c)	City: SIOUX FALLS Does this prime broker act as custodian the private fund use any custodians (incleanswer to question 25.(a) is "yes," respection, you must complete questions (b) the tional Custodian Information: 86 Recomble answer to question 25.(a) is "yes," restodian, you must complete questions (b) Legal name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC	State: South Dakota for some or all of the private fund's asset uding the prime brokers listed above) to lead to questions (b) through (g) below for ough (g) separately for each custodian. Ind(s) Filed. spond to questions (b) through g) below through (g) separately for each custodian.	Country: United States ts? hold some or all of its assets? or each custodian the private fund uses. If the private in for each custodian the private fund uses. If the private in.	fund uses more than o

· · · · · · · · · · · · · · · · · · ·	respond to questions (b) through g) below b) through (g) separately for each custodia	for each custodian the <i>private fund</i> uses. If the <i>private</i> n.	fund uses more than one
(b) Legal name of custodian: BANCO SANTANDER, S.A.			
(c) Primary business name of custodian: BANCO SANTANDER, S.A.			
(d) The location of the custodian's office re	esponsible for <i>custody</i> of the <i>private fund's</i> State:	assets (city, state and country): Country:	
SANTANDER		Spain	
(e) Is the custodian a <i>related person</i> of you	ur firm?		Yes I
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, 5493006QMFDDMYWIAM13	, or is a broker-dealer but does not have an	n SEC registration number, provide its <i>legal entity ident</i>	ifier (if any)
If the answer to question 25 (a) is "yes " r	recoond to auestions (b) through a) below	for each custodian the private funduess. If the private	funduses more than one
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION	respond to questions (b) through g) below b) through (g) separately for each custodia	for each custodian the <i>private fund</i> uses. If the <i>private</i> n.	<i>fund</i> uses more than one
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION		·	<i>fund</i> uses more than one
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION		n.	fund uses more than one
 custodian, you must complete questions (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office recity: 	esponsible for <i>custody</i> of the <i>private fund's</i> State:	assets (city, state and country): Country:	fund uses more than one
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office re	esponsible for <i>custody</i> of the <i>private fund's</i>	assets (city, state and country):	
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office recity: WILMINGTON	esponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware	assets (city, state and country): Country:	fund uses more than one Yes
 custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office recity: 	esponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware	assets (city, state and country): Country:	Yes
custodian, you must complete questions (b) (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office recity: WILMINGTON (e) Is the custodian a related person of you	esponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware	assets (city, state and country): Country:	Yes
custodian, you must complete questions (b) Legal name of custodian: BANK OF AMERICA CORPORATION (c) Primary business name of custodian: BANK OF AMERICA CORPORATION (d) The location of the custodian's office recity: WILMINGTON (e) Is the custodian a related person of you (f) If the custodian is a broker-dealer, pro-	esponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware ur firm? ovide its SEC registration number (if any):	assets (city, state and country): Country:	Yes

CRD Number (if any):

(b) Legal name of custodian: BANK OF AMERICA, N.A.

(c)	Primary business name of custodian: BANK OF AMERICA, N.A.			
(d)	The location of the custodian's office re			
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of you	ır firm?		Yes N
(f)	If the custodian is a broker-dealer, prov	vide its SEC registration number (if a	any):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, B4TYDEB6GKMZO031MB27	or is a broker-dealer but does not h	have an SEC registration number, provide its <i>legal entity identifi</i>	er (if any)
If t	he answer to question 25.(a) is "ves." r	espond to guestions (b) through a)	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses.	<i>und</i> uses more than one
	todian, you must complete questions (b			
(b)	Legal name of custodian: BANK OF MONTREAL			
(c)	Primary business name of custodian: BANK OF MONTREAL			
(d)	The location of the custodian's office re			
	City: TORONTO	State:	Country: Canada	Vac N
(e)	Is the custodian a related person of you	r firm?		Yes N
(f)	If the custodian is a broker-dealer, prov	vide its SEC registration number (if a	any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, NQQ6HPCNCCU6TUTQYE16	or is a broker-dealer but does not h	have an SEC registration number, provide its <i>legal entity identifi</i>	er (if any)
	he answer to question 25.(a) is "yes," rotodian, you must complete questions (b		below for each custodian the <i>private fund</i> uses. If the <i>private fu</i> ustodian.	und uses more than one
(b)	Legal name of custodian: BANK OF NEW YORK MELLON			
(c)	Primary business name of custodian: BANK OF NEW YORK MELLON			
(d)	The location of the custodian's office re			
	City: NEW YORK	State: New York	Country: United States	Voc. N
(e)	Is the custodian a related person of you	r firm?		Yes N
(f)	If the custodian is a broker-dealer, prov	vide its SEC registration number (if a	any):	
	- CRD Number (if any):			

BARCLAYS BANK PLC (c) Primary business name or custodian: BARCLAYS BANK PLC (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City State: Country: United Kingdom Yes No (o) Is the custodian a related person of your timm? C (d) If the custodian is a broker-dealer, provide its SEC registration number (if any):			
-			ivate fund uses more than one
(b) Legal name of custodian: BARCLAYS BANK PLC			
	ian:		
(d) The location of the custodian's of	fice responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
	State:		
			Yes No
(e) Is the custodian a related person	of your firm?		○ ●
(f) If the custodian is a broker-dealer	r, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
	ealer, or is a broker-dealer but does not h	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)
			ivate fund uses more than one
(b) Legal name of custodian:			
•			
(d) The location of the custodian's of	fice responsible for custody of the private	fund's assets (city, state and country):	
		•	
WEW TOTAL	New York	omitou otatos	Yes No
(e) Is the custodian a related person	of your firm?		○ ●
(f) If the custodian is a broker-dealer	r, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
	ealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its <i>legal entity</i>	identifier (if any)
If the answer to question 25 (a) is "v	ves " respond to questions (b) through a)	below for each custodian the <i>private fund</i> uses. If the <i>pr</i>	ivate fund uses more than one
· · · · · · · · · · · · · · · · · · ·	ons (b) through (g) separately for each cu		dood more than one
(b) Legal name of custodian: BARCLAYS CAPITAL INC.			

(c) Primary business name of custodian:

BARCLAYS CAPITAL INC.

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

	todian's office responsible for <i>custody</i> of the <i>private</i>		
City: NEW YORK	State: New York	Country: United States	
			Yes No
(e) Is the custodian a relate	ed person of your firm?		○ ⊙
(f) If the custodian is a bro	oker-dealer, provide its SEC registration number (if	f any):	
8 - 41342			
CRD Number (if any): 19714			
(2) (5)			((6)
(g) If the custodian is not a	a broker-dealer, or is a broker-dealer but does not	t have an SEC registration number, provide its legal entity identifier	- (if any)
	5.(a) is "yes," respond to questions (b) through gete questions (b) through (g) separately for each c) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> custodian.	d uses more than one
(b) Legal name of custodia	n·		
BARCLAYS CAPITAL SEC			
(c) Primary business name	of custodian:		
BARCLAYS CAPITAL SEC			
(d) The location of the cust	todian's office responsible for <i>custody</i> of the <i>privat</i> e	e fund's assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes No
(e) Is the custodian a relate	red person of your firm?		o •
(f) If the custodian is a bro	oker-dealer, provide its SEC registration number (if	fany)·	
-	mer dedict, provide its 320 registration number (ii	any).	
CRD Number (if any):			
(g) If the custodian is not a K9WDOH4D2PYBSLSOB		t have an SEC registration number, provide its <i>legal entity identifier</i>	´(if any)
) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i>	d uses more than one
custodian, you must comple	ete questions (b) through (g) separately for each o	:ustodian.	
(b) Legal name of custodial BCP BANK (MAURITIUS)			
BCP BANK (MAURITIUS)			
(c) Primary business name			
BCP BANK (MAURITIUS)			
	todian's office responsible for custody of the private		
City: EBENE	State:	Country: Mauritius	
			Yes No
(e) Is the custodian a relat	ed person of your firm?		0 0
(f) If the custodian is a bro	oker-dealer, provide its SEC registration number (if	fany):	
-			
CRD Number (if any):			
(g) If the custodian is not a	a proker-dealer, or is a broker-dealer but does not	t have an SEC registration number, provide its <i>legal entity identifier</i>	- (ıт any)

213800B4JQSRXQZPLD35

11		yes," respond to questions (b) through g) beings (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private</i> acodian.	fund uses more than one
(b)	Legal name of custodian: BLACK ROCK, INC.			
(c)	Primary business name of custoo BLACK ROCK, INC.	dian:		
(d)	The location of the custodian's o	ffice responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person	of your firm?		Yes No
(f)	If the custodian is a broker-deale	er, provide its SEC registration number (if ar	v):	
(,)	- CRD Number (if any):	, , , , , , , , , , , , , , , , , , ,		
	CRD Number (II arry).			
(g)	If the custodian is not a broker-of-	dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its legal entity identi	ifier (if any)
cus	todian, you must complete questi	yes," respond to questions (b) through g) be ions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private</i> and a second codian.	fund uses more than one
(c)	BMO CAPITAL MARKETS CORP. Primary business name of custoo	dian:		
	BMO CAPITAL MARKETS CORP.			
(d)	The location of the custodian's o City:	ffice responsible for <i>custody</i> of the <i>private fu</i> State:	nd's assets (city, state and country): Country:	
	WILMINGTON	Delaware	United States	
(e)	Is the custodian a related person	of your firm?		Yes No
(f)	If the custodian is a broker-deale 8 - 34344	er, provide its SEC registration number (if ar	y):	
	CRD Number (if any): 16686			
(g)	If the custodian is not a broker-or RUCOQBLBRPRCU4W1NE59	dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity identi</i>	ifier (if any)
		yes," respond to questions (b) through g) be ions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private</i> acodian.	fund uses more than one
(b)	Legal name of custodian: BNP PARIBAS			
(c)	Primary business name of custoo BNP PARIBAS	dian:		
(d)	The location of the custodian's o	ffice responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	

State:

(e)) Is the custodian a <i>related person</i> of your firm?	Yes O	No ©
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) ROMUWSFPU8MPRO8K5P83		
	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 <i>private fund</i> uses more that istodian, you must complete questions (b) through (g) separately for each custodian.	an on	е
(b)) Legal name of custodian: BNP PARIBAS PRIME BROKERAGE INTERNATIONAL, LTD.		
(c)) Primary business name of custodian: BNP PARIBAS PRIME BROKERAGE INTERNATIONAL, LTD.		
(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: GEORGETOWN Cayman Islands		
(e)) Is the custodian a <i>related person</i> of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 5493000EGBAKFHIIT563		
	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 <i>private fund</i> uses more that istodian, you must complete questions (b) through (g) separately for each custodian.	an on	е
(b)) Legal name of custodian: BNP PARIBAS SA		
(c)	Primary business name of custodian: BNP PARIBAS SA		
(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: Country:		
	PARIS France	Yes	No
(e)) Is the custodian a <i>related person</i> of your firm?	0	\odot
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		

United States

New York

NEW YORK

ROMUWSFPU8MPRO8K5P83

If the arrange to quasition 25 (c) is "yes." "respond to quasitions (b) through (g) secretary for each custodian. 30 Legal name of custodian. 300 Legal name of custodian. 301 Primary business teams of custod arr. 302 The location of the custodian's discere responsible for castedy of the potential sure's casted (city, state one country). 303 The location of the custodian's office responsible for castedy of the potential sure's casted (city, state one country). 304 The custodian is related parametry your firm? 305 If the custodian is related parametry your firm? 306 If the custodian is not be trained dealer, or wide is \$500 registration number (if any): 307 The custodian is not a consort-disclet, or is a content-dealer but does not have on \$40 registration number, provide its legal early likely in the private fund is not a consort-disclet, or is a content-dealer but does not have on \$40 registration number, provide its legal early likely in the private fund is not a consort-disclet, or is a content-dealer but does not have on \$40 registration number, provide its legal early likely in the private fund is not a consort-disclet, or is a content-dealer but does not have custodian. 307 Legal name of controllar in the custodian's officer responsible for consorting (i) through (i) seem disty for each custodian. 308 Legal name of custodian is not a broken dealer, or is a broken dealer but does not have an SCC registration number, provide its legal early likely likely in the private fund is not been custodian in the private fund in private fund is not considered for any). 309 If the custodian is not a broken dealer, or is a broken dealer but does not have an SCC registration number, provide its legal early likely likely in the private fund is not custodian in the private fund is not custodian. 300 Legal name of custodian is not a br			
_	DRP.		
•			
•	New York	•	
(e) Is the custodian a related per	rson of your firm?		
	lealer, provide its SEC registration number (if a	y):	
CRD Number (if any):			
(g) If the custodian is not a brok	er-dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity identifi</i>	ier (if any)
custodian, you must complete qu (b) Legal name of custodian:	lestions (b) through (g) separately for each cus	·	<i>und</i> uses more than one
•			
(d) The location of the custodian	's office responsible for custody of the private for	and's assets (city, state and country):	
-	State:		
WUWDAI		IIIuIa	Yes No
(e) Is the custodian a <i>related per</i>	rson of your firm?		0 @
(f) If the custodian is a broker-d	lealer, provide its SEC registration number (if a	y):	
- CRD Number (if any):			
	er-dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity identifi</i>	ier (if any)
			<i>und</i> uses more than one
custodian, you must complete qu	lestions (b) through (g) separately for each cus	todian.	
• •			
•	stodian:		
(d) The location of the custodian	's office responsible for custody of the private for	and's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
INLVV IUKK	New YOLK	Utilited States	

(f)	Is the custodian a related person of your firm?		
	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	8 - 69787		
	CRD Number (if any): 283942		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
cus	ne 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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian.	than or	ne
(b)	Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE		
(c)	Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE		
(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:		
	TORONTO Canada	Vo	s No
(e)	Is the custodian a related person of your firm?	O	S 140
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	2IGI19DL77OX0HC3ZE78		
		than or	ne
cus	2IGI19DL770X0HC3ZE78 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 or	ne
cus (b)	2IGI19DL770X0HC3ZE78 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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian:	than or	ne
(b)	2IGI19DL77OXOHC3ZE78 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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	than or	ne
(b)	2IGI19DL77OXOHC3ZE78 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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH	than or	ne
(b) (c) (d)	2IGI19DL77OX0HC3ZE78 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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH 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:		ne s No ∙
(b) (c) (d)	2IGI19DL77OXOHC3ZE78 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 todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York United States	Yes	s No
(b) (c) (d)	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 <i>private fund</i> uses more todian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY BRANCH 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: NEW YORK New York United States Is the custodian a <i>related person</i> of your firm?	Yes	s No

custodian, you must complete questions (b) through (g) separately for each custodian.

(b)	Legal name of custodian: CIBC WORLD MARKETS CORP.			
(c)	Primary business name of custodian: CIBC WORLD MARKETS CORP.			
(d)	The location of the custodian's office responsible	ole for <i>custody</i> of the <i>private fund</i>	d's assets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No ○ ⊙
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any)):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 549300445CON3DBMU275	broker-dealer but does not have	e an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
cus	stodian, you must complete questions (b) through		ow for each custodian the <i>private fund</i> uses. If the <i>pri</i> dian.	vate fund uses more than one
(c)	CITIBANK N.A. Primary business name of custodian:			
	CITIBANK N.A.			
(d)	The location of the custodian's office responsible			
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any)):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a E57ODZWZ7FF32TWEFA76	broker-dealer but does not have	e an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) through		ow for each custodian the <i>private fund</i> uses. If the <i>pri</i> dian.	vate fund uses more than one
(b)	Legal name of custodian: CITIGROUP GLOBAL MARKETS INC.			
(c)	Primary business name of custodian: CITIGROUP GLOBAL MARKETS INC.			
(d)	The location of the custodian's office responsible	ole for <i>custody</i> of the <i>private fund</i>	d's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
				0 0
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any)):	

7059			
(g) If the custodian is not a broke	er-dealer, or is a broker-dealer but do	oes not have an SEC registration number, provide its legal entity identifier (if any)	
	s "yes," respond to questions (b) threstions (b) threstions (b) through (g) separately for	rough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more reach custodian.	e than one
(b) Legal name of custodian: CITIGROUP GLOBAL MARKETS	LTD		
(c) Primary business name of cus CITIGROUP GLOBAL MARKETS			
(d) The location of the custodian's	s office responsible for <i>custody</i> of the	e private fund's assets (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
			Yes No
(e) Is the custodian a related pers	son of your firm?		0 0
(f) If the custodian is a broker-de	aler, provide its SEC registration nun	mber (if any):	
CRD Number (if any):			
(g) If the custodian is not a broke XKZZ2JZF41MRHTR1V493	er-dealer, or is a broker-dealer but do	oes not have an SEC registration number, provide its legal entity identifier (if any)	
[]	s "yes," respond to questions (b) threestions (b) through (g) separately for	rough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more reach custodian.	e than one
(b) Legal name of custodian: COINBASE CUSTODY TRUST CO	OMPANY, LLC		
(c) Primary business name of cus COINBASE CUSTODY TRUST CO			
(d) The location of the custodian's	s office responsible for <i>custody</i> of the	e private fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related pers		Clinted States	Yes No
(f) If the custodian is a broker-de	ealer, provide its SEC registration nun	mber (if any):	
- CRD Number (if any):			
(g) If the custodian is not a broke 549300ZHW72BH3BM4Q58	er-dealer, or is a broker-dealer but do	oes not have an SEC registration number, provide its legal entity identifier (if any)	
16.11			
	s "yes," respond to questions (b) thro estions (b) through (g) separately for	rough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more reach custodian.	s man one

8 - 8177

CRD Number (if any):

(b) Legal name of custodian: COMPUTERSHARE LIMITED

(c)	Primary business name of custodian: COMPUTERSHARE LIMITED				
(d)	The location of the custodian's office responsible City:	State:	Country:		
	CHICAGO	Illinois	United States		
(e)) Is the custodian a <i>related person</i> of your firm?			Yes O	. No ⊙
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):			
	CRD Number (if any):				
(g)) If the custodian is not a broker-dealer, or is a	broker-dealer but does not have a	an SEC registration number, provide its	s legal entity identifier (if any)	
cus	the answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throug Legal name of custodian: CONTINENTAL STOCK TRANSFER & TRUST COM	gh (g) separately for each custodia		es. If the <i>private fund</i> uses more than on	е
(c)	Primary business name of custodian: CONTINENTAL STOCK TRANSFER & TRUST COM	IPANY			
(d)	The location of the custodian's office responsib	ole for custody of the private fund's	s assets (city, state and country).		
(4)	City: State:	ole for custody of the private rand s	Country:		
	BOSTON Massachus	setts	United States		
				Yes	No
(e)) Is the custodian a <i>related person</i> of your firm?			o	•
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):			
	CRD Number (if any):				
(g)) If the custodian is not a broker-dealer, or is a	broker-dealer but does not have a	an SEC registration number, provide it:	s legal entity identifier (if any)	
	the answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throug			es. If the <i>private fund</i> uses more than on	е
(b)	Legal name of custodian: CREDIT SUISSE AG				
(c)	Primary business name of custodian: CREDIT SUISSE AG				
(d)	The location of the custodian's office responsib	·			
	City: ZURICH	State:	Country: Switzerland		
				Yes	No
(e)	Is the custodian a <i>related person</i> of your firm?			0	•
	·				-0
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):			
	CRD Number (if any):				

	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 stodian, you must complete questions (b) through (g) separately for each custodian.	than on	е
(b)	Legal name of custodian: CREDIT SUISSE INTERNATIONAL		
(c)	Primary business name of custodian: CREDIT SUISSE INTERNATIONAL		
(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: Country:		
	LONDON United Kingdom	Yes	N
(e)	Is the custodian a related person of your firm?	0	
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) E58DKGMJYYYJLN8C3868		
	stodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: CREDIT SUISSE SECURITIES (EUROPE) LIMITED		
(c)	Primary business name of custodian: CREDIT SUISSE SECURITIES (EUROPE) LIMITED		
(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: Country:		
	LONDON United Kingdom	Yes	N
(e)	Is the custodian a related person of your firm?	0	
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) DL6FFRRLF74S01HE2M14		
	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 <i>private fund</i> uses more stodian, you must complete questions (b) through (g) separately for each custodian.	than on	— е
(b)	Legal name of custodian: CREDIT SUISSE SECURITIES (USA) LLC		

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

ANGGYXNX0JLX3X63JN86

(c) Primary business name of custodian: CREDIT SUISSE SECURITIES (USA) LLC

	The location of the custodian's City:	office responsible for <i>custody</i> of the <i>private for</i> State:	fund's assets (city, state and country): Country:		
	NEW YORK	New York	United States		
(e)	Is the custodian a related pers	on of your firm?		Yes	
(0)	13 the custodian a related pers	on or your firms		0	•
		aler, provide its SEC registration number (if a	ıny):		
	8 - 422 CRD Number (if any):				
	816				
(g)	If the custodian is not a broke	r-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its legal entity identifier (if any)		
	•	s "yes," respond to questions (b) through g) b stions (b) through (g) separately for each cus	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more the stodian.	han or	— าe
	Legal name of custodian: DAIWA CAPITAL MARKETS EUR	OPE LIMITED			
(-)	Delmannikusia	in die e			
	Primary business name of cust DAIWA CAPITAL MARKETS EUR				
(d)	The location of the custodian's	s office responsible for <i>custody</i> of the <i>private f</i> o	fund's assets (city, state and country):		
	City:	State:	Country:		
	LONDON		United Kingdom	Yes	s No
(e)	Is the custodian a related pers	on of your firm?		0	•
(f)	If the custodian is a broker-de	aler, provide its SEC registration number (if a	any).		
(1)	-	aren, provide its obo registration namber (ii a			
	CRD Number (if any):				
	If the custodian is not a broke MIM2K09LFYD4IB163W58	r-dealer, or is a broker-dealer but does not ha	nave an SEC registration number, provide its legal entity identifier (if any)		
		"yes," respond to questions (b) through g) b stions (b) through (g) separately for each cus	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more the stodian.	han or	ıe
00.0	osalan, yes maet eemplete que	stiene (e) in eagh (g) coparatory for each each			
	Legal name of custodian: DEUTSCHE BANK AG				
	Primary business name of cust DEUTSCHE BANK AG	odian:			
	The location of the custodian's City:	s office responsible for <i>custody</i> of the <i>private for</i> State:	fund's assets (city, state and country): Country:		
	FRANKFURT	otato.	Germany		
(e)	Is the custodian a related pers	on of your firm?		Yes	s No
()	,				•
(f)	If the custodian is a broker-de-	aler, provide its SEC registration number (if a	.ny):		
	CRD Number (if any):				
(g)	If the custodian is not a broke	r-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its legal entity identifier (if any)		
	7LTWFZYICNSX8D621K86				

•	25.(a) is "yes," respond to questions (plete questions (b) through (g) separate	(b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more the tely for each custodian.	an one
(b) Legal name of custod DEUTSCHE BANK AG L			
(c) Primary business nam DEUTSCHE BANK AG L			
(d) The location of the cu	stodian's office responsible for <i>custody</i>	y of the <i>private fund's</i> assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes No
(e) Is the custodian a <i>rel</i> a	ated person of your firm?		O O
(f) If the custodian is a b	roker-dealer, provide its SEC registration	ion number (if any):	
- CRD Number (if any):			
(g) If the custodian is not 54930036B12A3G2SI		r but does not have an SEC registration number, provide its legal entity identifier (if any)	
·		(b) through g) below for each custodian the private fund uses. If the private fund uses more the	an one
custodian, you must comp	plete questions (b) through (g) separate	tely for each custodian.	
(b) Legal name of custod	ian:		
DEUTSCHE BANK SECU	JRITIES INC.		
(c) Primary business nam DEUTSCHE BANK SECI			
(d) The location of the cu	stodian's office responsible for <i>custody</i>	y of the <i>private fund's</i> assets (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a <i>rel</i> a	ated person of your firm?		O
(f) If the custodian is a b	roker-dealer, provide its SEC registration	ion number (if any):	
8 - 17822			
CRD Number (if any): 2525			
(g) If the custodian is not	t a broker-dealer, or is a broker-dealer	r but does not have an SEC registration number, provide its legal entity identifier (if any)	
	25.(a) is "yes," respond to questions (plete questions (b) through (g) separate	(b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more the tely for each custodian.	an one
(b) Legal name of custodi EQUINITI TRUST COMI			
(c) Primary business nam EQUINITI TRUST COM			
(d) The location of the cu	stodian's office responsible for <i>custody</i>	y of the <i>private fund's</i> assets (city, state and country):	
City:	State:	Country:	
BOSTON	Massachusetts	United States	

(e)	Is the custodian a <i>related person</i> of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	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 the stodian, you must complete questions (b) through (g) separately for each custodian.	an one	9
(b)	Legal name of custodian: FEDERATED HERMES, INC.		
(c)	Primary business name of custodian: FEDERATED HERMES, INC.		
(d)	The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):		
	City:State:Country:PITTSBURGHPennsylvaniaUnited States		
(e)	Is the custodian a related person of your firm?	Yes O	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) R05X5UQ874RGFF7HHD84		
	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 <i>private fund</i> uses more the stodian, you must complete questions (b) through (g) separately for each custodian.	an on	<u>. </u>
(b)	Legal name of custodian: GOLDMAN SACHS BANK USA		
(c)	Primary business name of custodian: GOLDMAN SACHS BANK USA		
(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: NEW YORK New York United States		
(e)	Is the custodian a related person of your firm?	Yes O	No ©
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) KD3XUN7C6T14HNAYLU02		

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) sep	parately for each custodi	an.	
(b) Legal name of custodian: GOLDMAN SACHS INTERNA	TIONAL			
(c) Primary business name of GOLDMAN SACHS INTERNA				
(d) The location of the custodi	an's office responsible for <i>cus</i>	stody of the private fund's	s assets (city, state and country):	
LONDON	otato.		nited Kingdom	
(e) Is the custodian a <i>related</i> μ	person of your firm?			Yes No
(f) If the custodian is a broker	-dealer, provide its SEC regis	tration number (if any):		
CRD Number (if any):				
(g) If the custodian is not a br W22LROWP2IHZNBB6K528		ealer but does not have	an SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
If the answer to question 25.(a	a) is "ves." respond to questic	ons (b) through a) belov	v for each custodian the <i>private fund</i> uses. If the <i>p</i>	private fund uses more than one
custodian, you must complete				mate rana asses mere than ene
(b) Legal name of custodian: HSBC BANK BERMUDA LIMI	TED			
(c) Primary business name of HSBC BANK BERMUDA LIMI				
(d) The location of the custodi	an's office responsible for <i>cus</i>	stody of the private fund's	s assets (city, state and country):	
City: HAMILTON		State:	Country: Bermuda	
(e) Is the custodian a <i>related</i> μ	person of your firm?			Yes No ○ •
(f) If the custodian is a broker	r-dealer, provide its SEC regis	tration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a brown ownu67PTV5WY3WYWKD7		ealer but does not have	an SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
If the answer to question 25.(a custodian, you must complete			v for each custodian the <i>private fund</i> uses. If the μ	orivate fund uses more than one
(b) Legal name of custodian: HSBC BANK PLC				
(c) Primary business name of HSBC BANK PLC	custodian:			
	·	,	s assets (city, state and country):	
City: LONDON	State:		ountry: nited Kingdom	
(a) la the en la	norman of the C			Yes No
(e) Is the custodian a related p	verson of your firm?			o ⊙

(f)	If the custodian is a broker-dealer, provide its SI	EC registration number (if any)		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broker-dealer.	oker-dealer but does not have	an SEC registration number, provide its legal entity ide	entifier (if any)
	he answer to question 25.(a) is "yes," respond to totolian, you must complete questions (b) through		w for each custodian the <i>private fund</i> uses. If the <i>priva</i> ian.	te fund uses more than one
(b)	Legal name of custodian: HSBC BANK USA, N.A.			
(c)	Primary business name of custodian: HSBC BANK USA, N.A.			
(d)	The location of the custodian's office responsible City:	e for <i>custody</i> of the <i>private fund</i> State:	's assets (city, state and country): Country:	
	NEW YORK	New York	United States	
(e)	Is the custodian a related person of your firm?			Yes No
(f)	If the custodian is a broker-dealer, provide its SE- CRD Number (if any):	EC registration number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-MIE8VN30JCEQV1H4R804	oker-dealer but does not have	an SEC registration number, provide its legal entity ide	entifier (if any)
	he answer to question 25.(a) is "yes," respond to todian, you must complete questions (b) through		w for each custodian the <i>private fund</i> uses. If the <i>priva</i> ian.	te fund uses more than one
(b)	Legal name of custodian: HSBC SECURITIES (USA) INC.			
(c)	Primary business name of custodian: HSBC SECURITIES (USA) INC.			
(d)	The location of the custodian's office responsible	e for custody of the private fund	's assets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			O O
(f)	If the custodian is a broker-dealer, provide its SE	EC registration number (if any)		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a br CYYGQCGNHMHPSMRL3R97	oker-dealer but does not have	an SEC registration number, provide its legal entity ide	entifier (if any)

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.

(b)	Legal name of custodian: INVESCO ADVISERS, INC.			
(c)	Primary business name of custodian: INVESCO ADVISERS, INC.			
(d)	The location of the custodian's office	responsible for custody of the private fu	und's assets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
(e)	Is the custodian a <i>related person</i> of y	our firm?		Yes No C ⊙
(f)	If the custodian is a broker-dealer, p	rovide its SEC registration number (if ar	ny):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-deale O37NHJVF7S22I1ONOU83	er, or is a broker-dealer but does not ha	ive an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
	-	respond to questions (b) through g) bo	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> todian.	te fund uses more than one
(b)	Legal name of custodian: J. ARON & COMPANY			
(c)	Primary business name of custodian: J. ARON & COMPANY			
(d)	The location of the custodian's office	responsible for custody of the private fu	und's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of y	our firm?		Yes No
(f)	If the custodian is a broker-dealer, p	rovide its SEC registration number (if ar	ny):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-deale	er, or is a broker-dealer but does not ha	ive an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
	-	respond to questions (b) through g) be	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> todian.	te fund uses more than one
(b)	Legal name of custodian: J.P. MORGAN SECURITIES LLC			
(c)	Primary business name of custodian: J.P. MORGAN SECURITIES LLC			
(d)		responsible for <i>custody</i> of the <i>private fu</i>		
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of y	our firm?		Yes No
(f)	If the custodian is a broker-dealer, p	rovide its SEC registration number (if ar	ny):	

	(a) is "yes," respond to questions (b) throuse questions (b) through (g) separately for e	igh g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> usech custodian.	uses more than one
(b) Legal name of custodian: J.P. MORGAN SECURITIES			
(c) Primary business name o J.P. MORGAN SECURITIES			
(d) The location of the custoo	dian's office responsible for <i>custody</i> of the <i>p</i>	orivate fund's assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes N
(e) Is the custodian a <i>related</i>	d person of your firm?		res N
(,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		0 6
(f) If the custodian is a broke	er-dealer, provide its SEC registration numb	per (if any):	
- CRD Number (if any):			
(g) If the custodian is not a B K6Q0W1PS1L1O4IQL9C3		s not have an SEC registration number, provide its legal entity identifier (if	f any)
custodian, you must complete	e questions (b) through (g) separately for e	igh g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> usech custodian.	uses more than one
	e questions (b) through (g) separately for e		uses more than one
custodian, you must complete (b) Legal name of custodian:	e questions (b) through (g) separately for e		uses more than one
 custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N 	e questions (b) through (g) separately for e		uses more than one
 custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custod City: 	e questions (b) through (g) separately for each of custodian: A. dian's office responsible for <i>custody</i> of the parately for the parately fo	each custodian. Private fund's assets (city, state and country): Country:	uses more than one
 custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custod 	e questions (b) through (g) separately for ending the separately for e	each custodian. Orivate fund's assets (city, state and country):	
 custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custod City: 	e questions (b) through (g) separately for each N.A. If custodian: A. dian's office responsible for <i>custody</i> of the parately for the parat	each custodian. Private fund's assets (city, state and country): Country:	yes N
 (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custodian: NEW YORK (e) Is the custodian a related 	e questions (b) through (g) separately for each N.A. If custodian: A. dian's office responsible for <i>custody</i> of the parately for the parat	private fund's assets (city, state and country): Country: United States	Yes N
 (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custodian: NEW YORK (e) Is the custodian a related 	e questions (b) through (g) separately for each of custodian: A. dian's office responsible for custody of the parately for each of your firm?	private fund's assets (city, state and country): Country: United States	Yes N
custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custodian of the custodian of the custodian a related of the custodian is a broken complete of the custodian is a broken custodian is a broken custodian in the custodian is a broken custodian in the custodian is a broken custodian in the cu	e questions (b) through (g) separately for each N.A. If custodian: A. dian's office responsible for custody of the pastate: New York dianerson of your firm? er-dealer, provide its SEC registration numberson of the pastate of th	private fund's assets (city, state and country): Country: United States	Yes N
custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE BANK N (c) Primary business name of JMORGAN CHASE BANK N (d) The location of the custodian of the custodian of the custodian a related of the custodian is a broken complete of the custodian is not a broken custodian custodian is not a broken custodian custodian is not a broken custodian custo	e questions (b) through (g) separately for each N.A. If custodian: A. dian's office responsible for custody of the pastate: New York dianerson of your firm? er-dealer, provide its SEC registration numberson of the pastate of th	erivate fund's assets (city, state and country): Country: United States Der (if any):	Yes N

8 - 35008

CRD Number (if any):

(b) Legal name of custodian:

KRYPTON FUND SERVICES (BERMUDA)

(c)	Primary business name of custodian: KRYPTON FUND SERVICES (BERMUDA)			
(d)	The location of the custodian's office responsible for City: PEMBROKE	custody of the private fund's assets (city State:	c, state and country): Country: Bermuda	Waa Na
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
(f)	If the custodian is a broker-dealer, provide its SEC re	egistration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broker	r-dealer but does not have an SEC regis	tration number, provide its <i>legal entity identifier</i> (if any)	
cus	he answer to question 25.(a) is "yes," respond to que stodian, you must complete questions (b) through (g) seemal Legal name of custodian: MACQUARIE BANK LIMITED		stodian the <i>private fund</i> uses. If the <i>private fund</i> uses more tha	an one
(c)	Primary business name of custodian: MACQUARIE BANK LIMITED			
(d)	The location of the custodian's office responsible for			
	City: SYDNEY	State:	Country: Australia	Yes No
(e)	Is the custodian a related person of your firm?			O O
(f)	If the custodian is a broker-dealer, provide its SEC re	egistration number (if any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broker 4ZHCHI4KYZG2WVRT8631	r-dealer but does not have an SEC regis	tration number, provide its <i>legal entity identifier</i> (if any)	
	he answer to question 25.(a) is "yes," respond to que stodian, you must complete questions (b) through (g)		stodian the <i>private fund</i> uses. If the <i>private fund</i> uses more tha	an one
(b)	Legal name of custodian: MERRILL LYNCH CAPITAL SERVICES, INC.			
(c)	Primary business name of custodian: MERRILL LYNCH CAPITAL SERVICES, INC.			
(d)	The location of the custodian's office responsible for a City: NEW YORK New		c, state and country): Country: United States	Yes No
(e)	Is the custodian a related person of your firm?			O O
(f)	If the custodian is a broker-dealer, provide its SEC re	egistration number (if any):		
	- CRD Number (if any):			

	" respond to questions (b) through g) below fo (b) through (g) separately for each custodian.	r each custodian the <i>private fund</i> uses. If the <i>private</i>	fund uses more than one
(b) Legal name of custodian: MERRILL LYNCH INTERNATIONAL			
(c) Primary business name of custodian: MERRILL LYNCH INTERNATIONAL			
(d) The location of the custodian's office City:	responsible for <i>custody</i> of the <i>private fund's</i> as State: Count		
LONDON		H Kingdom	
(e) Is the custodian a <i>related person</i> of y	vour firm?		Yes No
(f) If the custodian is a broker-dealer, pi	rovide its SEC registration number (if any):		
-	Tovide its SEC registration number (if any).		
CRD Number (if any):			
(g) If the custodian is not a broker-deale GGDZP1UYGU9STUHRDP48	er, or is a broker-dealer but does not have an S	SEC registration number, provide its <i>legal entity ident</i>	rifier (if any)
custodian, you must complete questions	(b) through (g) separately for each custodian.	r each custodian the <i>private fund</i> uses. If the <i>private</i>	Tunu uses more than one
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC	(b) through (g) separately for each custodian.	each custodian the <i>private runu</i> uses. If the <i>private</i>	Tunu uses more than one
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC	(b) through (g) separately for each custodian.	each custodian the <i>private runu</i> uses. If the <i>private</i>	Tunu uses more than one
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC	(b) through (g) separately for each custodian.		Tunu uses more than one
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City:	(b) through (g) separately for each custodian. responsible for <i>custody</i> of the <i>private fund's</i> as State:	sets (city, state and country): Country:	Tunu uses more than one
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office	(b) through (g) separately for each custodian. responsible for <i>custody</i> of the <i>private fund's</i> as	sets (city, state and country):	
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON	(b) through (g) separately for each custodian. responsible for <i>custody</i> of the <i>private fund's</i> as State: Delaware	sets (city, state and country): Country:	Yes No
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON (e) Is the custodian a related person of y	(b) through (g) separately for each custodian. responsible for <i>custody</i> of the <i>private fund's</i> as State: Delaware	sets (city, state and country): Country:	Yes No
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON (e) Is the custodian a related person of y	(b) through (g) separately for each custodian. responsible for <i>custody</i> of the <i>private fund's</i> as State: Delaware	sets (city, state and country): Country:	Yes No
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON (e) Is the custodian a related person of y (f) If the custodian is a broker-dealer, prince complete custodian is a broker-dealer, prince custodian is a broker-dealer.	(b) through (g) separately for each custodian. responsible for custody of the private fund's as State: Delaware vour firm? rovide its SEC registration number (if any):	sets (city, state and country): Country:	Yes No
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON (e) Is the custodian a related person of y (f) If the custodian is a broker-dealer, principle. CRD Number (if any): (g) If the custodian is not a broker-dealer OV6W8S6QX2D1J857QP30	responsible for <i>custody</i> of the <i>private fund's</i> as State: Delaware vour firm? rovide its SEC registration number (if any):	sets (city, state and country): Country: United States SEC registration number, provide its <i>legal entity ident</i>	Yes No ○ •
custodian, you must complete questions (b) Legal name of custodian: MIZUHO CAPITAL MARKETS LLC (c) Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC (d) The location of the custodian's office City: WILMINGTON (e) Is the custodian a related person of y (f) If the custodian is a broker-dealer, procedure of the custodian is not a broker-dealer over the custodian is not a bro	responsible for <i>custody</i> of the <i>private fund's</i> as State: Delaware vour firm? rovide its SEC registration number (if any):	sets (city, state and country): Country: United States	Yes No ○ •

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

GDWTXX036O1TB7DW3U69

(c) Primary business name of custodian: MIZUHO MARKETS CAYMAN LP

(G)	City:	State:	Country:	
	GEORGETOWN		Cayman Islands	Yes No
(e)	Is the custodian a related person of your firm	n?		0 0
(f)	If the custodian is a broker-dealer, provide	its SEC registration number (if a	ny):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is 549300KHUXLS6Q30KT26	s a broker-dealer but does not h	ave an SEC registration number, provide its legal entity ident	ifier (if any)
	ne answer to question 25.(a) is "yes," respo todian, you must complete questions (b) thr		elow for each custodian the <i>private fund</i> uses. If the <i>private</i> todian.	fund uses more than one
(b)	Legal name of custodian: MIZUHO SECURITIES USA LLC			
(c)	Primary business name of custodian: MIZUHO SECURITIES USA LLC			
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>private f</i>	und's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of your firm	n?		Yes No ○ •
(f)	If the custodian is a broker-dealer, provide	its SEC registration number (if a	ny):	
	8 - 37710 CRD Number (if any):			
	19647			
(g)	If the custodian is not a broker-dealer, or is	s a broker-dealer but does not h	ave an SEC registration number, provide its legal entity ident	ifier (if any)
	ne answer to question 25.(a) is "yes," respo todian, you must complete questions (b) thr		elow for each custodian the <i>private fund</i> uses. If the <i>private</i> todian.	<i>fund</i> uses more than one
(b)	Legal name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PL	_C		
(c)	Primary business name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PL	_C		
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>private f</i>		
	City: LONDON	State:	Country: United Kingdom	
(e)	Is the custodian a related person of your firm	n?		Yes No
(f)	If the custodian is a broker-dealer, provide	its SEC registration number (if a	ny):	
	- CRD Number (if any):			
(~)	If the custodian is not a broken declar.	a broker dealer but deer seet t	ave an SEC registration number, provide its <i>legal entity ident</i>	ifier (if any)
(9)	ii tilo custoulali is not a bi okel-dealel, Ul IS	s a broker-dealer but dues HULTI	avo an obo registration number, provide its legal entity literit	mer (ii arry)

4PQUHN3JPFGFNF3BB653

	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) through		·	orivate fund uses more than one
(b)	Legal name of custodian: MORGAN STANLEY & CO. LLC			
(c)	Primary business name of custodian: MORGAN STANLEY & CO. LLC			
(d)	The location of the custodian's office responsib	le for <i>custody</i> of the <i>private fund's</i> a	assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
(f)	If the custodian is a broker-dealer, provide its \$ 8 - 15869	SEC registration number (if any):		
	CRD Number (if any): 8209			
(g)	If the custodian is not a broker-dealer, or is a	broker-dealer but does not have ar	n SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throug		·	private fund uses more than one
(b)	Legal name of custodian: MORGAN STANLEY BANK, N.A.			
(c)	Primary business name of custodian: MORGAN STANLEY BANK, N.A.			
(d)	The location of the custodian's office responsib	le for custody of the private fund's	assets (city, state and country):	
	City:	State:	Country:	
	SALT LAKE CITY	Utah	United States	V N-
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No ○ •
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a G1MLHISON32I3QPILB75	broker-dealer but does not have ar	sec registration number, provide its <i>legal entit</i>	y identifier (if any)
	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throug		· · · · · · · · · · · · · · · · · · ·	private fund uses more than one
(b)	Legal name of custodian: MORGAN STANLEY CAPITAL GROUP INC.			
(c)	Primary business name of custodian: MORGAN STANLEY CAPITAL GROUP INC.			
(d)	The location of the custodian's office responsib	le for custody of the private fund's	assets (city, state and country):	
	City:	State:	Country:	

United States

New York

NEW YORK

is the custodian a related person of your	***************************************		0 0
If the custodian is a broker-dealer, provi	de its SEC registration number (if any):	
- CRD Number (if any):			
If the custodian is not a broker-dealer, over the custodian is not a broker-dealer.	or is a broker-dealer but does not have	e an SEC registration number, provide its <i>legal entity iden</i>	tifier (if any)
•		·	e fund uses more than one
-	IC.		
•	IC.		
City:	ponsible for <i>custody</i> of the <i>private fund</i> State: New York	Country:	
	firm?		Yes No ○ •
If the custodian is a broker-dealer, provi	de its SEC registration number (if any):	
CRD Number (if any):			
If the custodian is not a broker-dealer, of 17331LVCZKQKX5T7XV54	or is a broker-dealer but does not have	e an SEC registration number, provide its legal entity iden	tifier (if any)
			e fund uses more than one
_	INC		
	INC		
	· · · · · · · · · · · · · · · · · · ·		
WILMINGTON	Delaware	United States	Yes No
Is the custodian a related person of your	firm?		○ ●
If the custodian is a broker-dealer, provi	de its SEC registration number (if any):	
CRD Number (if any):			
	CRD Number (if any): If the custodian is not a broker-dealer, of VB7RXNZGO6KVDABYB880 The answer to question 25. (a) is "yes," restodian, you must complete questions (b) Legal name of custodian: MORGAN STANLEY CAPITAL SERVICES, IN Primary business name of custodian: MORGAN STANLEY CAPITAL SERVICES, IN The location of the custodian's office resectity: NEW YORK Is the custodian is a broker-dealer, proving the custodian is not a broker-dealer, controlled the custodian	If the custodian is not a broker-dealer, or is a broker-dealer but does not have VB7RXNZGO6KVDABYB880 The answer to question 25 (a) is "yes." respond to questions (b) through g) beliatedian, you must complete questions (b) through (g) separately for each custon Legal name of custodian: MORGAN STANLEY CAPITAL SERVICES, INC. Primary business name of custodian: MORGAN STANLEY CAPITAL SERVICES, INC. The location of the custodian's office responsible for custody of the private function of the custodian is a broker-dealer, provide its SEC registration number (if any). If the custodian is a broker-dealer, or is a broker-dealer but does not have 17331LVCZKOKX5T7XV54 The answer to question 25 (a) is "yes." respond to questions (b) through g) beliated in the custodian; not a broker-dealer in through (g) separately for each custon Legal name of custodian: NATIONAL BANK OF CANADA FINANCIAL INC Primary business name of custodian: NATIONAL BANK OF CANADA FINANCIAL INC The location of the custodian's office responsible for custody of the private function. NATIONAL BANK OF CANADA FINANCIAL INC The location of the custodian's office responsible for custody of the private function. NATIONAL BANK OF CANADA FINANCIAL INC The location of the custodian's office responsible for custody of the private function; State: WILMINGTON Delaware If the custodian is a broker-dealer, provide its SEC registration number (if any).	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>lagel chility iden</i> vist7xxxxxx60xxxxxxxxxxxxxxxxxxxxxxxxxxxxxx

Yes No

	he answer to question 25.(a) is "yes," respontations (b) threading, you must complete questions (b) threading		elow for each custodian the <i>private fund</i> uses. If the action of the private fund uses is the private fund uses. If the private fund uses is the private fund uses. If the private fund uses is the private fund uses. If the private fund uses is the private fund uses is the private fund uses.	orivate fund uses more than one
(b)	Legal name of custodian: NATIXIS NEW YORK BRANCH			
(c)	Primary business name of custodian: NATIXIS NEW YORK BRANCH			
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>private fu</i>	and's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of your firm	n?		Yes No
(f)	If the custodian is a broker-dealer, provide i	its SEC registration number (if ar	y):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is KX1WK48MPD4Y2NCUIZ63	s a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal enti</i>	ty identifier (if any)
cus	the answer to question 25.(a) is "yes," responsional formal todian, you must complete questions (b) through the complete questions (c) the complete questions (c) through the complete questions (d) through the complete question		elow for each custodian the <i>private fund</i> uses. If the private fund uses if the private fund uses if the private fund uses if the private fund uses.	private fund uses more than one
(c)	Primary business name of custodian: NATIXIS SA			
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>private fu</i>	and's assets (city, state and country):	
	City: PARIS	State:	Country: France	Voc. No
(e)	Is the custodian a related person of your firm	n?		Yes No
(f)	If the custodian is a broker-dealer, provide i	its SEC registration number (if ar	y):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is KX1WK48MPD4Y2NCUIZ63	a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal enti</i>	'y identifier (if any)
	ne answer to question 25.(a) is "yes," respon todian, you must complete questions (b) thre		elow for each custodian the <i>private fund</i> uses. If the <i>i</i> todian.	private fund uses more than one
(b)	Legal name of custodian: NATIXIS SECURITIES AMERICAS LLC			
(c)	Primary business name of custodian: NATIXIS SECURITIES AMERICAS LLC			
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>private fu</i>	and's assets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
(-)	In the quetodian a related reserve of the country o	n2		Yes No
(e)	Is the custodian a related person of your firm	H.C.		0.0

(f)	·	SEC registration number	(if any):	
	8 - 719			
	CRD Number (if any): 1101			
(a)	If the custodian is not a broker-dealer, or is a b	proker-dealer but does n	not have an SEC registration number, provide its legal entity identifier (if any)	
(9)	549300L8G1E7ZHVEOG75			
			ng) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses n	nore than one
cu	stodian, you must complete questions (b) through	h (g) separately for each	h custodian.	
(b)	Legal name of custodian: NATWEST MARKETS PLC			
	NATWEST MARKETS FEC			
(c)	Primary business name of custodian:			
(0)	NATWEST MARKETS PLC			
(d)	The location of the custodian's office responsibl	e for <i>custody</i> of the <i>priva</i>	vate fund's assets (city, state and country):	
	City:	State:	Country:	
	EDINBURGH		United Kingdom	
				Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			0 0
(1)	If the custodian is a broker-dealer, provide its S	SEC registration number	(If any):	
	- CRD Number (if any):			
	CRD Number (ii arry).			
(g)	If the custodian is not a broker-dealer, or is a b	oroker-dealer but does n	not have an SEC registration number, provide its legal entity identifier (if any)	
	RR3QWICWWIPCS8A4S074			
lf ·	the answer to question 25 (a) is "yes " respond t	o auestions (h) through	g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses n	nore than one
	stodian, you must complete questions (b) through	· · · · · · · · · · · · · · · · · · ·		Tore than one
(b)	Legal name of custodian:			
	NOMURA GLOBAL FINANCIAL PRODUCTS INC.			
(C)	Primary business name of custodian: NOMURA GLOBAL FINANCIAL PRODUCTS INC.			
(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>prive</i>	vate fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United 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, provide its S	SEC registration number	(if any):	
	-			
	CRD Number (if any):			
(a)	If the custodian is not a broker-dealer, or is a b	proker-dealer but does n	not have an SEC registration number, provide its legal entity identifier (if any)	
	0Z3V05H2G7GRS05BHJ91		g and a series of	

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.

(b)	NOMURA INTERNATIONAL PLC			
(c)	Primary business name of custodian: NOMURA INTERNATIONAL PLC			
(d)	The location of the custodian's office res	sponsible for <i>custody</i> of th	e <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	LONDON		United Kingdom	Yes No
(e)	Is the custodian a related person of your	firm?		O
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration nu	mber (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, of DGQCSV2PHVF7I2743539	or is a broker-dealer but c	does not have an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
	he answer to question 25.(a) is "yes," re todian, you must complete questions (b)		rough g) below for each custodian the <i>private fund</i> uses. If the <i>privat</i> er each custodian.	<i>e fund</i> uses more than one
(b)	Legal name of custodian: NOMURA SECURITIES INTERNATIONAL, I	NC.		
(c)	Primary business name of custodian: NOMURA SECURITIES INTERNATIONAL, I	NC.		
(d)	The location of the custodian's office res	sponsible for <i>custody</i> of th	e <i>private fund's</i> assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
		IVEW TOTAL	office States	Yes No
(e)	Is the custodian a related person of your	firm?		○ ◎
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration nu	mber (if any):	
	8 - 15255			
	CRD Number (if any): 4297			
(g)	If the custodian is not a broker-dealer,	or is a broker-dealer but c	does not have an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
	ne answer to question 25.(a) is "yes," re todian, you must complete questions (b)	•	rough g) below for each custodian the <i>private fund</i> uses. If the <i>privat</i> or each custodian.	e fund uses more than one
(b)	Legal name of custodian: NORTHERN TRUST INVESTMENTS, INC.			
(c)	Primary business name of custodian: NORTHERN TRUST INVESTMENTS, INC.			
(d)			e private fund's assets (city, state and country):	
	City: CHICAGO	State: Illinois	Country: United States	
		5.5		Yes No
(e)	Is the custodian a related person of your	firm?		○ ⊙
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration nu	mber (if any):	

	CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) BEL4B8X7EHJU845Y2N39		
	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 that is ustodian, you must complete questions (b) through (g) separately for each custodian.	an one	;
(b) Legal name of custodian: RBC EUROPRE LIMITED		
(c)) Primary business name of custodian: RBC EUROPRE LIMITED		
(d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country):		
	City: Country: LONDON United Kingdom		
		Yes	No
(e	s) Is the custodian a <i>related person</i> of your firm?	0	⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) TXDSU46SXBWIGJ8G8E98		
	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 that is ustodian, you must complete questions (b) through (g) separately for each custodian.	an one	;
(b) Legal name of custodian: ROYAL BANK OF CANADA		
(c)	Primary business name of custodian: ROYAL BANK OF CANADA		
(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: TORONTO Canada		
	TORONTO	Yes	No
(e	e) Is the custodian a <i>related person</i> of your firm?	0	\odot
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) ES7IP3U3RHIGC71XBU11		
	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 <i>private fund</i> uses more that ustodian, you must complete questions (b) through (a) separately for each custodian.	an one	ڋ

(b) Legal name of custodian:

ROYAL BANK OF CANADA, NEW YORK BRANCH

(c) Primary business nat ROYAL BANK OF CAN	me of custodian: ADA, NEW YORK BRANCH			
(d) The location of the c	ustodian's office responsible for <i>custod</i>	ly of the <i>private fund's</i> asset	s (city, state and country):	
City:	State:		Country:	
NEW YORK	New York		United States	
(e) Is the custodian a re	elated person of your firm?			Yes No
(f) If the custodian is a	broker-dealer, provide its SEC registrat	tion number (if any):		
- CRD Number (if any)				
(g) If the custodian is no	ot a broker-dealer, or is a broker-deale	r but does not have an SEC	registration number, provide its <i>legal en</i>	tity identifier (if any)
	nplete questions (b) through (g) separa		ach custodian the <i>private fund</i> uses. If the	private fund uses more than one
SCOTIA CAPITAL (US	A) INC.			
(c) Primary business na SCOTIA CAPITAL (US				
	ustodian's office responsible for <i>custod</i>	ly of the <i>private fund's</i> asset		
City: ALBANY	State: New York		Country: United States	
(e) Is the custodian a re	elated person of your firm?			Yes No
(f) If the custodian is a 8 - 3716	broker-dealer, provide its SEC registrat	tion number (if any):		
CRD Number (if any) 2739				
(g) If the custodian is no 549300BLWPABP1VN		r but does not have an SEC	registration number, provide its <i>legal en</i>	tity identifier (if any)
III	n 25.(a) is "yes," respond to questions aplete questions (b) through (g) separa		ach custodian the <i>private fund</i> uses. If the	private fund uses more than one
(b) Legal name of custom SKANDINAVISKA ENS				
(c) Primary business na SKANDINAVISKA ENS				
	ustodian's office responsible for <i>custod</i>	•		
City: STOCKHOLM		State:	Country: Sweden	
(e) Is the custodian a re	elated person of your firm?			Yes No
(f) If the custodian is a	broker-dealer, provide its SEC registrat	tion number (if any):		
TI.				

CRD Number (if any):

F3JS33DE16XQ4ZBPTN86			
•	is "yes," respond to questions (b) through guestions (b) through (g) separately for each () below for each custodian the <i>private fund</i> uses. If the <i>private f</i> ocustodian.	und uses more than one
(b) Legal name of custodian: SOCIETE GENERALE			
c) Primary business name of cu SOCIETE GENERALE	ıstodian:		
City:	n's office responsible for <i>custody</i> of the <i>privat</i> State:	Country:	
PARIS		France	Yes I
(e) Is the custodian a related pe	rson of your firm?		0 (
(f) If the custodian is a broker-c	dealer, provide its SEC registration number (i	f any):	
-			
CRD Number (if any):			
(g) If the custodian is not a brok O2RNE8IBXP4ROTD8PU41	ker-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its <i>legal entity identif</i>	ier (if any)
UZRNE81BXP4RU1D8PU41			
(b) Legal name of custodian: STANDARD CHARTERED BANK (c) Primary business name of cu		custodian.	
STANDARD CHARTERED BANK			
(d) The location of the custodian	n's office responsible for <i>custody</i> of the <i>privat</i>	a fund's assats (city, stata and country).	
City:	State:	Country:	
NEW YORK	New York	United States	
(-)	6		Yes N
(e) Is the custodian a <i>related pe</i>	rson of your firm?		0
(f) If the custodian is a broker-c	dealer, provide its SEC registration number (i	f any):	
- CRD Number (if any):			
(g) If the custodian is not a brok	ker-dealer, or is a broker-dealer but does not	t have an SEC registration number, provide its <i>legal entity identif</i>	ier (if any)
•	is "yes," respond to questions (b) through guestions (b) through (g) separately for each (r) below for each custodian the <i>private fund</i> uses. If the <i>private f</i> ocustodian.	<i>und</i> uses more than one
(h) Logal name of custodian:			

STATE STREET INSTITUTIONAL INVESTMENT TRUST

STATE STREET INSTITUTIONAL INVESTMENT TRUST

(c) Primary business name of custodian:

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

(d)) The location of the custodian's off	ice responsible for <i>custo</i>	dy of the <i>private fund's</i> assets (city, st	ate and country):		
	City:	State:		Country:		
	BOSTON	Massachusetts		United States		
					Yes	No
(e)) Is the custodian a related person of	of your firm?			\circ	\odot
(f)	If the custodian is a broker-dealer	, provide its SEC registra	ation number (if any):			
	-					
	CRD Number (if any):					
(g)) If the custodian is not a broker-de	ealer, or is a broker-deal	er but does not have an SEC registrat	ion number, provide its <i>legal entity identifier</i> (if any)		
16.	4h	!!!	(h) the control of th			_
	tne answer to question 25.(a) is - ye stodian, you must complete questio	· · ·		dian the <i>private fund</i> uses. If the <i>private fund</i> uses more that	an one	3
Cu.	stodian, you must complete question	nis (b) till odgir (g) separ	ately for each edistodian.			
(h)) Legal name of custodian:					
(6)	TD SECURITIES (USA) LLC.					
(c)	Primary business name of custodi	an:				
	TD SECURITIES (USA) LLC.					
(d)) The location of the custodian's off	ice responsible for <i>custo</i>	dy of the <i>private fund's</i> assets (city, st	ate and country):		
	City:	St	rate:	Country:		
	WILMINGTON	De	elaware	United States		
					Yes	No
(e)) Is the custodian a related person of	of your firm?			0	\odot
(f)	If the custodian is a broker-dealer	, provide its SEC registra	ation number (if any):			
	-					
	CRD Number (if any):					
(g)) If the custodian is not a broker-de	ealer, or is a broker-deal	er but does not have an SEC registrat	ion number, provide its <i>legal entity identifier</i> (if any)		
	SUVUFHICNZMP2WKHG940					
	the answer to question 25.(a) is "ye stodian, you must complete questio	·		dian the <i>private fund</i> uses. If the <i>private fund</i> uses more that	₃n on∈	9
Cu	stodian, you must complete questio	ins (b) through (g) separ	atery for each custodian.			
(la)) Lagal manage of quatadian					
(0)) Legal name of custodian: THE BANK OF BERMUDA LIMITED					
(c)	Primary business name of custodi	an [.]				
	THE BANK OF BERMUDA LIMITED	arr.				
(d)) The location of the custodian's off	ice responsible for <i>custo</i>	dy of the <i>private fund's</i> assets (city, st	ate and country):		
	City:	State:		Country:		
	BOSTON	Massachusetts		United States		
					Yes	No
(e)) Is the custodian a related person o	of your firm?			0	•
					~	~
(f)	If the custodian is a broker-dealer	, provide its SEC reaistra	ation number (if anv):			
	=		. 3,			
	CRD Number (if any):					
	. 3,					
(g)) If the custodian is not a broker-de	ealer, or is a broker-deal	er but does not have an SEC registrat	ion number, provide its legal entity identifier (if any)		

	the answer to question 25.(a) is "yes stodian, you must complete question			custodian the <i>private fund</i> uses. I	f the <i>private fund</i> uses more than o	ne
(b)	Legal name of custodian: THE BANK OF NOVA SCOTIA					
(c)	Primary business name of custodia THE BANK OF NOVA SCOTIA	า:				
(d)	The location of the custodian's office City:	ee responsible for <i>custody</i> of t	•	ty, state and country): Country:		
	TORONTO			Canada	Ve	es No
(e)	Is the custodian a related person of	your firm?				· •
(f)	If the custodian is a broker-dealer,	provide its SEC registration r	number (if any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dea	aler, or is a broker-dealer but	does not have an SEC reg	istration number, provide its <i>leg</i> .	al entity identifier (if any)	
	the answer to question 25.(a) is "yes	•		custodian the <i>private fund</i> uses. I	f the <i>private fund</i> uses more than c	ne
(b)	Legal name of custodian: THE GOVERNOR AND COMPANY OF	THE BANK OF IRELAND				
(c)	Primary business name of custodia THE GOVERNOR AND COMPANY OF					
(d)	The location of the custodian's office City: DUBLIN	e responsible for <i>custody</i> of t State:	the <i>private fund's</i> assets (ci	ty, state and country): Country: Ireland		
	DOBLIN			Tretaria	Ye	es No
(e)	Is the custodian a related person of	your firm?			0	•
(f)	If the custodian is a broker-dealer,	provide its SEC registration r	number (if any):			
	CRD Number (if any):					
(g)	If the custodian is not a broker-dea	aler, or is a broker-dealer but	does not have an SEC reg	istration number, provide its <i>leg</i> .	al entity identifier (if any)	
11	the answer to question 25.(a) is "yes stodian, you must complete question	•	9 9	custodian the <i>private fund</i> uses. I	f the <i>private fund</i> uses more than c	ne
(b)	Legal name of custodian: UBS AG					
(c)	Primary business name of custodia UBS AG	า:				
(d)	The location of the custodian's office	e responsible for <i>custody</i> of t	the <i>private fund's</i> assets (ci	ty, state and country):		
	City:	State:		Country:		

NEW YORK	New York	United States	
(e) Is the custodian a related pers	son of your firm?		Yes No ○ ⊙
(f) If the custodian is a broker-de	ealer, provide its SEC registration numbe	er (if any):	
- CRD Number (if any):			
(g) If the custodian is not a broke BFM8T61CT2L1QCEMIK50	er-dealer, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity id	lentifier (if any)
•	s "yes," respond to questions (b) throug estions (b) through (g) separately for ea	th g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> ect ch custodian.	ate fund uses more than one
(b) Legal name of custodian: UBS AG, LONDON BRANCH			
(c) Primary business name of cus UBS AG, LONDON BRANCH	todian:		
(d) The location of the custodian's	s office responsible for <i>custody</i> of the <i>pri</i>	ivate fund's assets (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Is the custodian a related pers	son of your firm?		Yes No ○ •
f) If the custodian is a broker-de	ealer, provide its SEC registration numbe	er (if any):	
- CRD Number (if any):			
(g) If the custodian is not a broke BFM8T61CT2L1QCEMIK50	er-dealer, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity in	lentifier (if any)
	s "yes," respond to questions (b) througestions (b) through (g) separately for ea	th g) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> ect ch custodian.	ate fund uses more than one
(b) Legal name of custodian: UBS SECURITIES LLC			
(c) Primary business name of cus UBS SECURITIES LLC	todian:		
(d) The location of the custodian's	s office responsible for <i>custody</i> of the <i>pri</i>	ivate fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a <i>related pers</i>	son of your firm?		Yes No
f) If the custodian is a broker-de 8 - 22651 CRD Number (if any): 7654	ealer, provide its SEC registration numbe	er (if any):	
(g) If the custodian is not a broke T6FIZBDPKLYJKFCRVK44	er-dealer, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity in	lentifier (if any)

(b) Legal name of custodian: WELLS FARGO BANK, N.A.			
(c) Primary business name of custo WELLS FARGO BANK, N.A.	odian:		
(d) The location of the custodian's	office responsible for custody of the private fund	s assets (city, state and country):	
City: SIOUX FALLS	State: South Dakota	Country: United States	
(e) Is the custodian a related person	on of your firm?		`
(f) If the custodian is a broker-dea	ıler, provide its SEC registration number (if any):		
CRD Number (if any):			
(g) If the custodian is not a broker KB1H1DSPRFMYMCUFXT09	dealer, or is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
the answer to question 26.(a) is "y b) through (f) separately for each ad	es," respond to questions (b) through (f) below. Iministrator.	If the <i>private fund</i> uses more than one administrator,	you must complete que
Additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below	If the <i>private fund</i> uses more than one administrator, v. If the <i>private fund</i> uses more than one administrator	
the answer to question 26.(a) is "y b) through (f) separately for each additional Administrator Information	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator.		
The answer to question 26.(a) is "yo) through (f) separately for each ad Additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city,	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country):	v. If the <i>private fund</i> uses more than one administrator	
The answer to question 26.(a) is "yo) through (f) separately for each ad Additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA)	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD		
The answer to question 26.(a) is "yo) through (f) separately for each ad Additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City: JERSEY CITY	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey	v. If the <i>private fund</i> uses more than one administrator	r, you must complete
The answer to question 26.(a) is "yo) through (f) separately for each ad Additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City:	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey	v. If the <i>private fund</i> uses more than one administrator	r, you must complete
The answer to question 26.(a) is "yo) through (f) separately for each additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City: JERSEY CITY (d) Is the administrator a related position.	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey erson of your firm?	v. If the <i>private fund</i> uses more than one administrator Country: United States	r, you must complete
The answer to question 26.(a) is "yo) through (f) separately for each additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City: JERSEY CITY (d) Is the administrator a related position.	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey erson of your firm?	v. If the <i>private fund</i> uses more than one administrator Country: United States	r, you must complete
The answer to question 26.(a) is "yo) through (f) separately for each additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City: JERSEY CITY (d) Is the administrator a related point of the provided to all investors (f) If the answer to question 26.(e)	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey erson of your firm? e and send investor account statements to the person of Some (provided to some but not all investor).	Country: United States Tivate fund's investors? TS) No (provided to no investors) Dount statements to the (rest of the) private fund's investors	Ye
The answer to question 26.(a) is "yob) through (f) separately for each additional Administrator Information If the answer to question 26.(a) is questions (b) through (f) separately (b) Name of administrator: CITCO FUND SERVICES (CAYMA) (c) Location of administrator (city, City: JERSEY CITY (d) Is the administrator a related power of the administrator prepare of Yes (provided to all investors) (f) If the answer to question 26.(a) is a contract to the contract of the c	es," respond to questions (b) through (f) below. Iministrator. on: 1 Record(s) Filed. "yes," respond to questions (b) through (f) below y for each administrator. N ISLANDS) LTD state and country): State: New Jersey erson of your firm? e and send investor account statements to the pass of Some (provided to some but not all investors). e) is "no" or "some," who sends the investor account statements to the pass of Some (provided to some but not all investors).	Country: United States Tivate fund's investors? TS) No (provided to no investors) Dount statements to the (rest of the) private fund's investors	Ye

Marketers

Yes No

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

You must answer "ves" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to

	must complete questions (b) through (g) separately for each marketer.			
	No Informat	ion Filed		
A. PRIV	/ATE FUND			
<u>Inform</u>	nation About the <i>Private Fund</i>			
	D. E. SHAW MULTI-ASSET PORTFOLIOS, L.L.C. D) Private fund identification number: (include the "805-" prefix also) 805-3232297563			
2. Ui	nder the laws of what state or country is the <i>private fund</i> organized:			
	State: Country: Delaware United States			
3. (a	a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a simi	lar capacity):		
	D. E. SHAW MULTI-ASSET MANAGER, L.L.C.			
F	D) If filing an <i>umbrella registration</i> , identify the <i>filing adviser</i> and/or <i>relying adviser(s)</i> that specifing <i>Adviser/Relying Adviser</i> Name D. E. SHAW MULTI-ASSET ADVISER, L.L.C.	onsor(s) or manage(s) this <i>private fund</i> .	
V		(c)(7) of the Investm	ent Company Act of 1940	
L	No Information	n Filed		
				Yes No
	a) Is this a "master fund" in a master-feeder arrangement?		whenter 6 maps	⊙ ○
_	o) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder fund		fund identification number	
	D. E. SHAW MULTI-ASSET FUND, L.L.C.		73471306	
С	D. E. SHAW MULTI-ASSET INTERNATIONAL FUND, L.P.	805-553	35718541	
	c) Is this a "feeder fund" in a master-feeder arrangement?			Yes No
	d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fur Name of <i>private fund</i> :	nd in which this <i>priva</i>	te fund invests?	
	d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fur	nd in which this <i>priva</i>	te fund invests?	
(c	d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund Name of <i>private fund</i> : **Private fund identification number:			○ ●
Ne ar	d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund Name of <i>private fund</i> : **Private fund identification number: (include the "805-" prefix also) OTE: You must complete question 6 for each master-feeder arrangement regardless of where the state of the stat	ether you are filing a	single Schedule D, Section 7.B.(1) for	r the master-feeder

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

answei	the following questions:
(a)	Name of the private fund:
•	D. E. SHAW MULTI-ASSET FUND, L.L.C.
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-3073471306
(c)	Under the laws of what state or country is the <i>private fund</i> organized:
	State: Country: Delaware United States
	Delaware States
(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
	Name of General Partner, Manager, Trustee or Director
	D. E. SHAW MULTI-ASSET MANAGER, L.L.C.
(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
() ()	Filing Adviser/Relying Adviser Name
	D. E. SHAW MULTI-ASSET ADVISER, L.L.C.
(e)	The private fund (check all that apply; you must check at least one):
(0)	(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.
	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 each of the feeder funds the following questions: Name of the private fund:
	D. E. SHAW MULTI-ASSET INTERNATIONAL FUND, L.P.
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-5535718541
(c)	Under the laws of what state or country is the <i>private fund</i> organized:
(0)	State: Country:
	Cayman Islands
(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity):
	Name of General Partner, Manager, Trustee or Director
	D. E. SHAW MULTI-ASSET MANAGER GP, L.L.C.
(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
	Filing Adviser/Relying Adviser Name
	D. E. SHAW MULTI-ASSET ADVISER, L.L.C.
(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

Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY

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), for each of the feeder funds

	("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 integrand each class (or series) invests substantially all of its assets in a single master fund.	erests	
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 who they are also <i>private funds</i> or registered investment companies.	O ether	
	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	0
		Yes	Nc
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 <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private fund:		
	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> : \$ 3,099,787,466		
<u>Ow</u>	<u>vnership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 1,000,000		
	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 (fund).	of th	Э
13.	Approximate number of the <i>private fund's</i> beneficial owners: 15		
14.	. What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
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 qualified clients?	Yes O	No.
16.	. What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 31%		
<u>Yo.</u>	ur Advisory Services		
17.	(a) Are you a subadviser to this <i>private fund</i> ?	Yes	
	(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 to question 17.(a) is "no," I this question blank.	_	_
	No Information Filed		
		Yes	Nc
18.	(a) Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	\circ	_
	(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 answer to question 18.(a) is leave this question blank.	s "no	, "
	No Information Filed		
10	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	Yes	No

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>Priv</u>	ate Offering		
21.	Has the <i>private fund</i> ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?		es No
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number		
	021-131597		
	021-131599		
B. SI	RVICE PROVIDERS		
Auc	<u>itors</u>		
23.	(a) (1) Are the <i>private fund's</i> 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?	(• 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 comple (b) through (f) separately for each auditing firm.	ete que	stions
	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 compare questions (b) through (f) separately for each auditing firm.	olete	
	(b) Name of the auditing firm: ERNST & YOUNG LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: Country:		
	NEW YORK New York United States		
	(d) Is the auditing firm an independent public accountant?	Yes ⓒ	No O
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	If yes, Public Company Accounting Oversight Board-Assigned Number: 42		
	(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
		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 private fund since your last annual updating amendment contain unqualified 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 report is available.		
Prir	ne Broker	Y	es No
24.	(a) Does the <i>private fund</i> use one or more prime brokers?		• 0
	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 prime broker, you must complete questions (b) through (e) separately for each prime broker.	than o	one
	Additional Prime Broker Information : 63 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 mo one prime broker, you must complete questions (b) through (e) separately for each prime broker.	re thai	1

(b) Name of the prime broker: BANCO SANTANDER, S.A.			
(c) If the prime broker is registered with the SEC, its regi	stration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used principally by th	ne <i>private fund</i> (city, state and country):	
City: SANTANDER	State:	Country: Spain	
(e) Does this prime broker act as custodian for some or a	II of the <i>private fund's</i> assets?		Yes No
If the answer to question 24.(a) is "yes," respond to quesone prime broker, you must complete questions (b) through	• • • • • • • • • • • • • • • • • • • •	·	<i>fund</i> uses more than
(b) Name of the prime broker: BANK OF AMERICA CORPORATION			
(c) If the prime broker is registered with the SEC, its regi	stration number:		
CRD Number (if any):			
(d) Location of prime broker's office used principally by th			
City: WILMINGTON	State: Delaware	Country: United States	
(e) Does this prime broker act as custodian for some or a	II of the <i>private fund's</i> assets?		Yes No ⊙ O
If the answer to question 24.(a) is "yes," respond to questione prime broker, you must complete questions (b) through (b) Name of the prime broker: BANK OF AMERICA, N.A.	gh (e) separately for each prime brok		<i>fund</i> uses more than
(c) If the prime broker is registered with the SEC, its regiCRD Number (if any):	stration number:		
(d) Location of prime broker's office used principally by th City: NEW YORK New): Country: United States	
			Yes No
(e) Does this prime broker act as custodian for some or a	Il of the <i>private fund's</i> assets?		⊚ 0
If the answer to question 24.(a) is "yes," respond to questione prime broker, you must complete questions (b) through the prime broker: BANK OF MONTREAL	_		<i>fund</i> uses more than
(c) If the prime broker is registered with the SEC, its regi	stration number:		
- CRD Number (if anv):			
CRD Number (if any):			

			Canada	
(e) Does this prime broker act	as custodian for some or all of the priva	ate fund's assets?		Yes No ⊙ O
	a) is "yes," respond to questions (b) thromplete questions (b) through (e) separa	_	broker the <i>private fund</i> uses. If the	private fund uses more than
(b) Name of the prime broker:				
BANK OF NEW YORK MELLO	N			
(c) If the prime broker is regist	tered with the SEC, its registration num	ber:		
CRD Number (if any):				
•	office used principally by the <i>private fund</i>			
City: NEW YORK	State: New York		untry: ted States	
(e) Does this prime broker act	as custodian for some or all of the priva	ate fund's assets?		Yes No
(c) Does this prime broker det.	as custodian for some of an of the priva	to rana 3 assets.		● ○
עאט Number (II any): (d) Location of prime broker's o	office used principally by the private fund			
(a) Forgulation of billing prover 2 (office used principally by the private fund	d (city, state and country):		
City: LONDON	State:	d (city, state and country): Country: United Kingdom		
City: LONDON	State:	Country: United Kingdom		Yes No
City: LONDON		Country: United Kingdom		Yes No ⊙ ○
City: LONDON (e) Does this prime broker act a	State:	Country: United Kingdom ate fund's assets? ough (e) below for each prime	broker the <i>private fund</i> uses. If the	⊙ ○
City: LONDON (e) Does this prime broker act a	State: as custodian for some or all of the <i>prival</i> a) is "yes," respond to questions (b) through (e) separa	Country: United Kingdom ate fund's assets? ough (e) below for each prime	broker the <i>private fund</i> uses. If the	⊙ ○
City: LONDON (e) Does this prime broker act and an act of the answer to question 24.(a) one prime broker, you must contain the prime broker: BARCLAYS BANK PLC, NEW You have a contained broker.	State: as custodian for some or all of the <i>prival</i> a) is "yes," respond to questions (b) through (e) separa	Country: United Kingdom ate fund's assets? ough (e) below for each prime ately for each prime broker.	broker the <i>private fund</i> uses. If the	⊙ ○
City: LONDON (e) Does this prime broker act and an act of the answer to question 24.(a) one prime broker, you must contain the prime broker: BARCLAYS BANK PLC, NEW You have a contained broker.	State: as custodian for some or all of the <i>priva</i> a) is "yes," respond to questions (b) through (e) separa YORK BRANCH	Country: United Kingdom ate fund's assets? ough (e) below for each prime ately for each prime broker.	broker the <i>private fund</i> uses. If the	⊙ ○
City: LONDON (e) Does this prime broker act and an act of the answer to question 24. (a) one prime broker, you must conduct the prime broker: BARCLAYS BANK PLC, NEW No. (c) If the prime broker is registing. CRD Number (if any):	State: as custodian for some or all of the private functions (b) through (e) separate states with the SEC, its registration numerate office used principally by the private functions.	Country: United Kingdom ate fund's assets? ough (e) below for each prime ately for each prime broker. ber:		⊙ ○
City: LONDON (e) Does this prime broker act and an act of the answer to question 24. (a) one prime broker, you must confuse the prime broker: BARCLAYS BANK PLC, NEW Note: CRD Number (if any):	State: as custodian for some or all of the prival a) is "yes," respond to questions (b) through (e) separal YORK BRANCH Itered with the SEC, its registration num	Country: United Kingdom ate fund's assets? ough (e) below for each prime ately for each prime broker. ber: d (city, state and country): Cou	broker the <i>private fund</i> uses. If the junction in the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses. If the junction is a second of the private fund uses is a second of the private fund uses.	⊙ ○
City: LONDON (e) Does this prime broker act and act act and act act and act	State: as custodian for some or all of the private as custodian for some or all of the private as custodian for some or all of the private functions (b) is "yes," respond to questions (b) through (e) separate and york BRANCH Itered with the SEC, its registration num office used principally by the private functions are custodians.	Country: United Kingdom ate fund's assets? ough (e) below for each prime ately for each prime broker. ber: Country: Country: Country:	untry:	⊙ ○

11	yes," respond to questions (b) through (e) e questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: BARCLAYS CAPITAL INC.			
(c) If the prime broker is registered 8 - 41342	with the SEC, its registration number:		
CRD Number (if any): 19714			
· ·	used principally by the <i>private fund</i> (city, st		
City: NEW YORK	State: New York	Country: United States	Yes No
(e) Does this prime broker act as cus	stodian for some or all of the private fund's	assets?	⊙ O
one prime broker, you must complete	yes," respond to questions (b) through (e) e questions (b) through (e) separately for (below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: BARCLAYS CAPITAL SECURITIES,	LTD.		
(c) If the prime broker is registered	with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	used principally by the <i>private fund</i> (city, st	rate and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Does this prime broker act as cus	stodian for some or all of the <i>private fund's</i>	assets?	Yes No ⊙ O
1	yes," respond to questions (b) through (e) e questions (b) through (e) separately for (below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: BMO CAPITAL MARKETS CORP.			
(c) If the prime broker is registered 8 - 34344	with the SEC, its registration number:		
CRD Number (if any): 16686			
'	used principally by the <i>private fund</i> (city, st		
City: WILMINGTON	State: Delaware	Country: United States	
(e) Does this prime broker act as cus	stodian for some or all of the <i>private fund's</i>	assets?	Yes No ⊙ O

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:

(c)	If the prime broker is registered with the	SEC, its registration number:		
	- CRD Number (if any):			
(4)	Location of prime broker's office used prin	cipally by the private fund (city, ctate)	and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	
				Yes N
(e)	Does this prime broker act as custodian for	or some or all of the <i>private fund's</i> ass	ets?	⊙ (
	ne answer to question 24.(a) is "yes," resp prime broker, you must complete questio		ow for each prime broker the <i>private fund</i> uses prime broker.	. If the <i>private fund</i> uses more than
(b)	Name of the prime broker: BNP PARIBAS PRIME BROKERAGE INTERNA	TIONAL, LTD.		
(c)	If the prime broker is registered with the	SEC, its registration number:		
	CRD Number (if any):			
	Location of prime broker's office used prin			
	City: GEORGE TOWN	State:	Country: Cayman Islands	
	GEORGE TOWN		Cayman Islanus	Yes N
(e)	Does this prime broker act as custodian for	or some or all of the <i>private fund's</i> ass	ets?	· ·
	ne answer to question 24.(a) is "yes," resp prime broker, you must complete questio		ow for each prime broker the <i>private fund</i> uses prime broker.	. If the <i>private fund</i> uses more than
(b)	Name of the prime broker: BNP PARIBAS SA			
(c)	If the prime broker is registered with the	SEC, its registration number:		
	-			
	CRD Number (if any):			
	Location of prime broker's office used prin	cipally by the <i>private fund</i> (city, state a		
	City: PARIS	State:	Country: France	
				Yes N
(e)	Does this prime broker act as custodian for	or some or all of the private fund's ass	ets?	·
	ne answer to question 24.(a) is "yes," resp prime broker, you must complete questio		ow for each prime broker the <i>private fund</i> uses prime broker.	. If the <i>private fund</i> uses more than
(b)	Name of the prime broker: BNP PARIBAS SECURITIES CORP.			
(c)	If the prime broker is registered with the -	SEC, its registration number:		
	CRD Number (if any):			

BNP PARIBAS

(d) Lo	ocation of prime broker's offi	ice used principally by the private fund (city, state and coun	try):	
	ity: EW YORK	State: New York	Country: United States	
IV	LW TORK	New Tork	office States	Yes No
(e) D	oes this prime broker act as	custodian for some or all of the <i>private fund's</i> assets?		⊙ ○
		s "yes," respond to questions (b) through (e) below for ea plete questions (b) through (e) separately for each prime b		the <i>private fund</i> uses more than
	ame of the prime broker: OFA SECURITIES INDIA LIMI	TED		
(c) If	the prime broker is register	red with the SEC, its registration number:		
C	RD Number (if any):			
С	ocation of prime broker's offi ity: IUMBAI	ice used principally by the <i>private fund</i> (city, state and coun State:	try): Country: India	
				Yes No
(e) D	oes this prime broker act as	custodian for some or all of the <i>private fund's</i> assets?		⊙ ○
(c) Iff 8 C	OFA SECURITIES, INC. the prime broker is register - 69787 RD Number (if any): 83942	red with the SEC, its registration number:		
(d) Lo	ocation of prime broker's offi	ice used principally by the <i>private fund</i> (city, state and coun	try):	
	ity: EW YORK	State: New York	Country: United States	
				Yes No
(e) D	oes this prime broker act as	custodian for some or all of the <i>private fund's</i> assets?		⊙ ○
one p	•	s "yes," respond to questions (b) through (e) below for ea plete questions (b) through (e) separately for each prime b	·	the <i>private fund</i> uses more than
(c) If	the prime broker is register	red with the SEC, its registration number:		
- C	RD Number (if any):			
(d) Lo	ocation of prime broker's offi	ice used principally by the <i>private fund</i> (city, state and coun	try):	
	ity:	State:	Country:	
1 (ORONTO		Canada	Yes No
(e) D	oes this prime broker act as	custodian for some or all of the <i>private fund's</i> assets?		• 0

•	"yes," respond to questions (b) through (e) belete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the n prime broker.	private fund uses more than
(b) Name of the prime broker: CANADIAN IMPERIAL BANK OF C	COMMERCE, NY BRANCH		
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
	e used principally by the <i>private fund</i> (city, state	and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker act as c	ustodian for some or all of the private fund's ass	sets?	Yes No
•	"yes," respond to questions (b) through (e) belete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If then prime broker.	private fund uses more than
(c) If the prime broker is registered	d with the SEC, its registration number:		
-	_		
CRD Number (if any):			
	e used principally by the <i>private fund</i> (city, state		
City: WILMINGTON	State: Delaware	Country: United States	
(e) Does this prime broker act as c	ustodian for some or all of the private fund's ass	sets?	Yes No
<u>, , , , , , , , , , , , , , , , , , , </u>	·		
	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If then prime broker.	private fund uses more than
(c) If the prime broker is registered	d with the SEC, its registration number:		
CRD Number (if any):			
	e used principally by the <i>private fund</i> (city, state	and country):	
	e used principally by the <i>private fund</i> (city, state State: New York	and country): Country: United States	
(d) Location of prime broker's office City: NEW YORK	State:	Country: United States	Yes No

(b) Name of the prime broker:

CITIGROUP GLOBAL MARKETS INC.

(c) If the prime broker is regis 8 - 8177	stered with the SEC, its registration number:		
CRD Number (if any):			
7059			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (ci	ty, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Voc. No
(e) Does this prime broker act	as custodian for some or all of the private f	iund's assets?	Yes No
If the answer to question 24.(a	a) is "yes," respond to questions (b) throug	n (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 co	omplete questions (b) through (e) separately	for each prime broker.	
(b) Name of the prime broker: CITIGROUP GLOBAL MARKE			
(c) If the prime broker is regis	stered with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (ci	ty, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Van Ne
(a) Doos this prima broker act	as custodian for some or all of the <i>private f</i>	iund's assats?	Yes No
(c) Does this prime broker act	as custodian for some of all of the private i	unu 3 d33Ct3:	⊙ ○
	emplete questions (b) through (e) separately	n (e) below for each prime broker the <i>private fund</i> uses. If for each prime broker.	If the <i>private fund</i> uses more than
(c) If the prime broker is regis	stered with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (ci	ty, state and country):	
City:	State:	Country: Switzerland	
ZURICH		Switzeriand	Yes No
(e) Does this prime broker act	as custodian for some or all of the <i>private f</i>	und's assets?	© 0
· · · · · · · · · · · · · · · · · · ·	·		
	a) is "yes," respond to questions (b) throug emplete questions (b) through (e) separately	h (e) below for each prime broker the <i>private fund</i> uses. v for each prime broker.	If the <i>private fund</i> uses more than
(b) Name of the prime broker: CREDIT SUISSE INTERNATI			
(c) If the prime broker is regis	stered with the SEC, its registration number:		
- CRD Number (if any):			

City: LONDON	fice used principally by the <i>private fund</i> State:	Country: United Kingdom	
LONDON		onited Kingdom	Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>privat</i>	e fund's assets?	⊙ ○
•	is "yes," respond to questions (b) throuplete questions (b) through (e) separat	ugh (e) below for each prime broker the <i>private fund</i> uses. ely for each prime broker.	If the <i>private fund</i> uses more than
(b) Name of the prime broker: CREDIT SUISSE SECURITIES	(EUROPE) LIMITED		
(c) If the prime broker is registe	red with the SEC, its registration numb	er:	
- CRD Number (if any):			
(d) Location of prime broker's off	fice used principally by the <i>private fund</i>	(city, state and country):	
City: LONDON	State:	Country: United Kingdom	
LONDON		onited Kingdom	Yes No
(e) Does this prime broker act as	s custodian for some or all of the private	e fund's assets?	⊙ ○
8 - 422 CRD Number (if any): 816	red with the SEC, its registration numb		
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New TOLK	United States	Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>privat</i>	e fund's assets?	⊙ ○
•	is "yes," respond to questions (b) throuplete questions (b) through (e) separat	ugh (e) below for each prime broker the <i>private fund</i> uses. ely for each prime broker.	If the <i>private fund</i> uses more than
(b) Name of the prime broker: DAIWA CAPITAL MARKETS EU	ROPE LIMITED		
(c) If the prime broker is registe	red with the SEC, its registration numb	er:	
CRD Number (if any):			
(d) Location of prime broker's off City:	fice used principally by the <i>private fund</i> State:	(city, state and country): Country:	
LONDON	State.	United Kingdom	
(a) Dage this prime by	o quotodion for some and all Silver in the	a fundia accata?	Yes No
(e) Does this prime broker act as	s custodian for some or all of the privat	e runu's assets?	⊙ ○

	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 e prime broker, you must complete questions (b) through (e) separately for each prime broker.	thar	١
(b)	Name of the prime broker: DEUTSCHE BANK AG		
(c)	If the prime broker is registered with the SEC, its registration number:		
	- CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: FRANKFURT Germany		
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	Yes ©	No
one	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 e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	e thar	1
	GOLDMAN SACHA BANK USA		
(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:		
	NEW YORK New York United States	Yes	No
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	•	0
	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 e prime broker, you must complete questions (b) through (e) separately for each prime broker.	thar	١
(b)	Name of the prime broker: GOLDMAN SACHS INTERNATIONAL		
(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):		
	City: State: Country: United Kingdom		
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	Yes •	No O
/	· · · · · · · · · · · · · · · · · · ·	•	-
If t	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	thar	1

(b) Name of the prime broker: HSBC BANK PLC

	,			
	CRD Number (if any):			
(d)	Location of prime broker's office use	ed principally by the <i>private fund</i> (city, s	state and country):	
	City: LONDON	State:	Country: United Kingdom	
(e)	Does this prime broker act as custo	odian for some or all of the <i>private fund</i>	's assets?	Yes No
	•	s," respond to questions (b) through (e questions (b) through (e) separately for) below for each prime broker the <i>private fund</i> uses. If the <i>private f</i> eeach prime broker.	<i>fund</i> uses more than
(b)	Name of the prime broker: HSBC SECURITIES (USA) INC.			
(c)	If the prime broker is registered wit	th the SEC, its registration number:		
	- CRD Number (if any):			
(d)	Location of prime broker's office use	ed principally by the <i>private fund</i> (city, s	state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
		2 ola nai o		Yes No
(e)	Does this prime broker act as custo	dian for some or all of the private fund	s assets?	⊙ ○
	Name of the prime broker: J.P. MORGAN SECURITIES LLC	uestions (b) through (e) separately for		
(c)	If the prime broker is registered wit 8 - 35008	th the SEC, its registration number:		
	CRD Number (if any):			
	79			
(d)		ed principally by the <i>private fund</i> (city, s	state and country):	
(d)	Location of prime broker's office use City:	ed principally by the <i>private fund</i> (city, s State:	Country:	
(d)	Location of prime broker's office use		-	Yes No
	Location of prime broker's office use City: NEW YORK	State:	Country: United States	
(e)	Location of prime broker's office use City: NEW YORK Does this prime broker act as custo the answer to question 24.(a) is "yes"	State: New York odian for some or all of the <i>private fund</i>	Country: United States 's assets?) below for each prime broker the <i>private fund</i> uses. If the <i>private f</i>	⊚ C
(e)	Location of prime broker's office use City: NEW YORK Does this prime broker act as custo the answer to question 24.(a) is "yes"	State: New York Indian for some or all of the private fund State: New York Indian for some or all of the private fund State: New York Indian for some or all of the private fund State: New York Indian for some or all of the private fund State: New York Indian for some or all of the private fund State: Indian for some or all of the private fund State: Indian for some or all of the private fund	Country: United States 's assets?) below for each prime broker the <i>private fund</i> uses. If the <i>private f</i>	⊙ ○
(e) If t one (b)	Location of prime broker's office used City: NEW YORK Does this prime broker act as custon the answer to question 24.(a) is "yester prime broker, you must complete question of the prime broker:	State: New York Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian fund I	Country: United States 's assets?) below for each prime broker the <i>private fund</i> uses. If the <i>private f</i>	
(e) If t one (b)	Location of prime broker's office used City: NEW YORK Does this prime broker act as custon the answer to question 24.(a) is "yester prime broker, you must complete question of the prime broker: J.P. MORGAN SECURITIES PLC	State: New York Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian for some or all of the private fund Indian fund I	Country: United States 's assets?) below for each prime broker the <i>private fund</i> uses. If the <i>private f</i>	⊙ ○

City:		ountry:	
LONDON	L	Inited Kingdom	
			Yes No
(e) Does this prime	broker act as custodian for some or all of the private fund's ass	ets?	⊙ ○
	estion 24.(a) is "yes," respond to questions (b) through (e) bel	·	rivate fund uses more than
one prime broker, y	ou must complete questions (b) through (e) separately for each	n prime broker.	
(b) Name of the pri			
JPMORGAN CHA	DE BANK N.A.		
() 16 11			
(c) If the prime bro	ker is registered with the SEC, its registration number:		
CRD Number (if	any):		
	e broker's office used principally by the <i>private fund</i> (city, state		
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime	broker act as custodian for some or all of the private fund's ass	ets?	⊙ ○
	estion 24.(a) is "yes," respond to questions (b) through (e) belonged to the control of the cont	·	private fund uses more than
one prime broker, y	ou must complete questions (b) through (e) separately for each	n prime broker.	
(b) Name of the pri MACQUARIE BAI			
WACQUARTE DAI	NK LIIVITED		
(a) If the prime bro	lear is registered with the CEC, its registration number.		
(c) If the prime bid	ker is registered with the SEC, its registration number:		
- 0DD N			
CRD Number (if	any):		
(d) Location of prim	e broker's office used principally by the <i>private fund</i> (city, state	and country).	
		-	
City: SYDNEY	State:	Country: Australia	
O I DIVE		Adottalia	Yes No
(a) Does this prime	broker act as custodian for some or all of the private fund's ass	rats?	
(c) Does this prime	broker act as custodian for some of all of the private rand's ass		⊙ ೧
If the answer to gu	estion 24 (a) is "yes " respond to questions (b) through (a) hel	ow for each prime broker the private funduces. If the	private funduces more than
	estion 24.(a) is "yes," respond to questions (b) through (e) below must complete questions (b) through (e) separately for each		invate fund uses more than
one prime broker, y	ou must complete questions (b) timough (c) separately for each	prime broker.	
(b) Name of the pri	me broker		
	CAPITAL SERVICES, INC.		
WERRIEE ETTO	o, w Trite delivitate, Tiva.		
(c) If the prime bro	ker is registered with the SEC, its registration number:		
(c) If the prime bro	ker is registered with the SEC, its registration number.		
- CDD November (if	\		
CRD Number (if	any):		
(d) Location of prim	e broker's office used principally by the <i>private fund</i> (city, state	and country)	
	State:	•	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	INCAN TOLK	Simon States	Yes No
(a) Doos this prima	broker act as custodian for some or all of the <i>private fund's</i> ass	rate?	
(e) Does this brille	broker act as customain for some or all of the private rund's ass	0013:	⊙ ○

(c) If the prime broker is registered with	1 the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	d principally by the <i>private fund</i> (city, state	e and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes No
(e) Does this prime broker act as custod	dian for some or all of the private fund's as	ssets?	⊙ C
	" respond to questions (b) through (e) be uestions (b) through (e) separately for eac	elow for each prime broker the <i>private fund</i> uses. If the	e <i>private fund</i> uses more than
(b) Name of the prime broker: MIZUHO CAPITAL MARKETS LLC			
(c) If the prime broker is registered with	n the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	d principally by the <i>private fund</i> (city, state	e and country):	
City:	State:	Country:	
WILMINGTON	Delaware	United States	Yes No
(e) Does this prime broker act as custod	dian for some or all of the private fund's as	ssets?	© 0
	" respond to questions (b) through (e) be uestions (b) through (e) separately for each	elow for each prime broker the <i>private fund</i> uses. If the ch prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: MIZUHO MARKETS CAYMAN LP			
(c) If the prime broker is registered with	n the SEC, its registration number:		
-			
CRD Number (if any):		and country):	
	d principally by the <i>private fund</i> (city, state	e and country).	
(d) Location of prime broker's office used City:	d principally by the <i>private fund</i> (city, state:	Country:	
(d) Location of prime broker's office used			Yes No
(d) Location of prime broker's office used City: GEORGETOWN		Country: Cayman Islands	Yes No ⊙ O

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:

MIZUHO SECURITIES USA LLC

B - 37710 CRD Number (if any): 19647 (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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 mone prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number:	Yes No
(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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 prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: City: City: City: Country: LONDON United Kingdom	© 0
City: NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 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 mone prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: Country: United Kingdom	⊙ C
NEW YORK New York United States Does this prime broker act as custodian for some or all of the private fund's assets? 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 prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: LONDON United States United States United States	© 0
(e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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 mone prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom	© 0
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 mone prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom	
one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: LONDON United Kingdom	ore than
MORGAN STANLEY & CO. INTERNATIONAL PLC (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom	
CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: City: COuntry: LONDON United Kingdom	
(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom	
City: State: Country: LONDON United Kingdom	
LONDON United Kingdom	
(e) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	Yes No
	O
(b) Name of the prime broker: MORGAN STANLEY BANK, N.A.(c) If the prime broker is registered with the SEC, its registration number:	
- CRD Number (if any):	
(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	
SALT LAKE CITY Utah United States	
(e) Does this prime broker act as custodian for some or all of the private fund's assets?	Yes No

City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as custodi	an for some or all of the private fund's a	ssets?	⊙ ○
If the answer to question 24.(a) is "yes,"	respond to questions (b) through (e) k	elow for each prime broker the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than
one prime broker, you must complete que			
(b) Name of the prime broker:			
NATIONAL BANK OF CANADA FINANCI	AL INC.		
(c) If the prime broker is registered with	the SEC its registration number:		
8 - 39947	the 320, its registration number.		
CRD Number (if any): 22698			
22098			
(d) Location of prime broker's office used	principally by the private fund (city, sta-	e and country):	
City:	State:	Country:	
WILMINGTON	Delaware	United States	
			Yes No
(e) Does this prime broker act as custodi	an for some or all of the private fund's a	ssets?	• o
If the answer to question 24 (a) is "yes "	respond to questions (h) through (e) h	elow for each prime broker the <i>private fund</i> uses. If the <i>priva</i>	to funduese more than
one prime broker, you must complete que		·	te rana ases more than
one prime broker, yearnast complete qui	sations (a) timodigit (b) soparatory for oc	on prime broker.	
(b) Name of the prime broker: NATIXIS NEW YORK BRANCH			
NATIAIS NEW TORK BRANCH			
(c) If the prime broker is registered with	the SEC, its registration number:		
-			
CRD Number (if any):			
(d) Location of prime broker's office used	principally by the private fund (city, sta	e and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as custodi	an for some or all of the private fund's a	ssets?	• o
(*)			• 0
		elow for each prime broker the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than
one prime broker, you must complete que	estions (b) through (e) separately for ea	cn prime broker.	
(b) Name of the prime broker:			
NATIXIS SA			
(c) If the prime broker is registered with	the SEC, its registration number:		
_			
CRD Number (if any):			
(d) Location of prime broker's office used	principally by the private fund (sity, etc.	e and country).	
· · ·			
City: NEW YORK	State: New York	Country: United States	
INCAN LOKK	INGW TOLK	Gilled States	37 B1
() -			Yes No
(e) Does this prime broker act as custodi	an for some or all of the <i>private fund's a</i>	ssets?	⊙ ○

in the the combined breaking in months to the	I W W 050 W		
- the prime broker is registere	d with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	ate and country):	
City:	State:	Country:	
WILMINGTON	Delaware	United States	Yes No
(e) Does this prime broker act as c	custodian for some or all of the private fund's	assets?	• O
•	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the	<i>private fund</i> uses more than
(b) Name of the prime broker:	the questions (b) through (c) separately for c	sacri prime broker.	
NATWEST MARKETS PLC			
(c) If the prime broker is registere	d with the SEC, its registration number:		
CRD Number (if any):			
•	e used principally by the <i>private fund</i> (city, st.	•	
City: EDINBURGH	State:	Country: United Kingdom	
() []			Yes No
(e) Does this prime broker act as o	custodian for some or all of the <i>private fund's</i>	assets?	
If the angular to guestian 24 (a) is	"Lives " recognized to supportions (b) through (c)	halou for each prime broker the private funduage. If the	
	yes, respond to questions (b) through (e) ete questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	<i>private funa</i> uses more than
(b) Name of the prime broker: NOMURA GLOBAL FINANCIAL PR	RODUCTS INC.		
	d with the SEC, its registration number:		
(c) If the prime broker is registere	a with the 329, its registration namber.		
-			
- CRD Number (if any):			
	e used principally by the <i>private fund</i> (city, st	ate and country):	
(d) Location of prime broker's office City:	State:	Country:	
(d) Location of prime broker's offic		-	Vas No
(d) Location of prime broker's offic City: NEW YORK	State:	Country: United States	Yes No ⊙ O

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:

NOMURA INTERNATIONAL PLC

(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes No
(e) Does this prime broker act as cu	ustodian for some or all of the private fund	's assets?	⊙ ○
•	"yes," respond to questions (b) through (e) te questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If the reach prime broker.	e private fund uses more than
(b) Name of the prime broker: NOMURA SECURITIES INTERNAT	TONAL, INC.		
(c) If the prime broker is registered 8 - 15255	d with the SEC, its registration number:		
CRD Number (if any):			
4297			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Does this prime broker act as cu	ustodian for some or all of the <i>private fund</i>	's assets?	• O
	"yes," respond to questions (b) through (e te questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If the each prime broker.	: private fund uses more than
RBC EUROPE LIMITED			
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes No
(e) Does this prime broker act as cu	ustodian for some or all of the <i>private fund</i>	's assets?	• o
	"yes," respond to questions (b) through (ϵ te questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If the each prime broker.	: private fund uses more than
(b) Name of the prime broker: ROYAL BANK OF CANADA			
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city,	state and country):	

City:	State:	Country:	
TORONTO		Canada	
			Yes No
(e) Does this prime broker ac	ct as custodian for some or all of the private fund's asset	s?	• o
If the answer to question 24 ((a) is "yes," respond to questions (b) through (e) below	for each prime broker the private funduses. If the r	private fund uses more than
	omplete questions (b) through (e) separately for each p		silvate rana ases more than
one prime broker, you must e	omplete questions (b) through (e) separately for each p	Time broker.	
(b) Name of the prime broker			
ROYAL BANK OF CANADA,	NEW YORK BRANCH		
(c) If the prime broker is regi	istered with the SEC, its registration number:		
-			
CRD Number (if any):			
, , ,			
(d) Location of prime broker's	s office used principally by the <i>private fund</i> (city, state ar	d country).	
·			
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker ac	t as custodian for some or all of the private fund's asset	s?	• c
If the answer to question 24 ((a) is "yes," respond to questions (b) through (e) below	for each prime broker the private funduses. If the r	private funduses more than
·	omplete questions (b) through (e) separately for each p		silvate rana ases more than
one prime broker, you must e	omplete questions (b) through (c) separately for each p	Time broker.	
(b) Name of the prime broker			
SCOTIA CAPITAL (USA) IN	C.		
(c) If the prime broker is regi	istered with the SEC, its registration number:		
8 - 3716			
CRD Number (if any):			
2739			
2,0,			
(d)		d	
·	s office used principally by the <i>private fund</i> (city, state ar		
City:	State:	Country:	
ALBANY	New York	United States	
			Yes No
(e) Does this prime broker ac	et as custodian for some or all of the private fund's asset	s?	o 0
			~ ~
	(a) is "yes," respond to questions (b) through (e) below	·	orivate fund uses more than
one prime broker, you must c	omplete questions (b) through (e) separately for each p	rime broker.	
(b) Name of the prime broker	:		
SKANDINAVISKA ENSKILDA	A BANKEN AB		
(c) If the prime broker is reai	istered with the SEC, its registration number:		
(c) If the prime broker is regi	istered with the 325, its registration number.		
CRD Number (if any):			
(d) Location of prime broker's	s office used principally by the <i>private fund</i> (city, state ar	d country):	
City:	State:	Country:	
STOCKHOLM		Sweden	
			V N-
			YES NO
(a) Doos this prima broker as	et as custodian for some or all of the private fund's asset	s?	Yes No
(e) Does this prime broker ac	ct as custodian for some or all of the private fund's asset	s?	Yes No ⊙ C

(c) If the prime broker is registered	ed with the SEC, its registration number:		
- CRD Number (if any):			
CND Number (II arry).			
(d) Location of prime broker's office	ce used principally by the <i>private fund</i> (city, state	and country):	
City:	State:	Country:	
PARIS		France	Yes No
(e) Does this prime broker act as	custodian for some or all of the private fund's ass	sets?	⊙
•	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the prime broker.	private fund uses more than
4			
(b) Name of the prime broker: STANDARD CHARTERED BANK			
(A) 16 th a maintain hand on the market and the control of the con			
(c) If the prime broker is registere	ed with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office	ce used principally by the <i>private fund</i> (city, state	and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	IVOV TOTA	officed States	Yes No
(e) Does this prime broker act as	custodian for some or all of the private fund's ass	sets?	⊙ ೧
(e) Does this prime broker act as	custodian for some or all of the <i>private fund's</i> ass	ets?	
If the answer to question 24.(a) is		ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must compl	"yes," respond to questions (b) through (e) bel	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must compl	"yes," respond to questions (b) through (e) bel	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must compl (b) Name of the prime broker: THE BANK OF NOVA SCOTIA	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must compl (b) Name of the prime broker: THE BANK OF NOVA SCOTIA	"yes," respond to questions (b) through (e) bel	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must compl (b) Name of the prime broker: THE BANK OF NOVA SCOTIA	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: THE BANK OF NOVA SCOTIA (c) If the prime broker is registered. CRD Number (if any):	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: THE BANK OF NOVA SCOTIA (c) If the prime broker is registered complete. CRD Number (if any):	"yes," respond to questions (b) through (e) belete questions (b) through (e) separately for each ed with the SEC, its registration number:	ow for each prime broker the <i>private fund</i> uses. If the prime broker.	
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: THE BANK OF NOVA SCOTIA (c) If the prime broker is registered to the complete c	"yes," respond to questions (b) through (e) bel ete questions (b) through (e) separately for each	ow for each prime broker the <i>private fund</i> uses. If the	
If the answer to question 24.(a) is one prime broker, you must complete (b) Name of the prime broker: THE BANK OF NOVA SCOTIA (c) If the prime broker is registered. CRD Number (if any): (d) Location of prime broker's office City: TORONTO	"yes," respond to questions (b) through (e) belete questions (b) through (e) separately for each ed with the SEC, its registration number:	ow for each prime broker the <i>private fund</i> uses. If the prime broker. and country): Country: Canada	

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:

UBS AG

CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, s	tate and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
(e) Does this prime broker ac	t as custodian for some or all of the private fund's	s assets?	
	(a) is "yes," respond to questions (b) through (e) complete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	e <i>private fund</i> uses mor
(b) Name of the prime broker UBS AG, LONDON BRANCH			
(c) If the prime broker is regi	stered with the SEC, its registration number:		
CRD Number (if any):			
	office used principally by the <i>private fund</i> (city, s	-	
City: LONDON	State:	Country: United Kingdom	
(e) Does this prime broker ac	t as custodian for some or all of the <i>private fund'</i> s	s assets?	
•	(a) is "yes," respond to questions (b) through (e) complete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	e <i>private fund</i> uses mor
(b) Name of the prime broker UBS SECURITIES LLC			
(c) If the prime broker is regi	stered with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, s	tate and country):	
City: NEW YORK	State: New York	Country: United States	
2			
(e) Does this prime broker ac	t as custodian for some or all of the <i>private fund</i> 's	s 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

Additional Custodian Information: 76 Record(s) Filed.

ALLSPRING FUNDS MANAGEMENT, LLC

(b) Legal name of custodian:

custodian, you must complete questions (b) through (g) separately for each custodian.

	Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC			
(d)	The location of the custodian's office responsi	ble for custody of the private fund's	s assets (city, state and country):	
	City:	State:	Country:	
	WILMINGTON	Delaware	United States	
<i>(</i>)				Yes N
(e)	Is the custodian a <i>related person</i> of your firm?			0 @
(f)	If the custodian is a broker-dealer, provide its	SSEC registration number (if any):		
(.)	-	olo rogion anon nambor (ir any).		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 549300HDKZE50HZZOG90	ı broker-dealer but does not have $arepsilon$	an SEC registration number, provide its legal entity ident.	ifier (if any)
	01700011DIN220011220070			
			or for each custodian the private fund uses. If the private	fund uses more than one
cus	todian, you must complete questions (b) throu	igh (g) separately for each custodia	an.	
(b)	Legal name of custodian: BANCO SANTANDER, S.A.			
(c)	Primary business name of custodian: BANCO SANTANDER, S.A.			
(Y)	The location of the custodian's office responsi	ible for custody of the private fund's	s assets (city, state and country).	
(u)	City:	State:	Country:	
	SANTANDER		Spain	
				Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			0 @
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
	-			
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a	a broker-dealer but does not have a	an SEC registration number, provide its <i>legal entity ident</i>	<i>ifier</i> (if any)
	5493006QMFDDMYWIAM13			
	ne answer to question 25 (a) is "yes " respond	to questions (b) through g) below	or for each custodian the <i>private fund</i> uses. If the <i>private</i>	fund uses more than one
If t	The dissillation to question 25. (a) is yes, respond	igh (g) soparatoly for each custodic	an.	
	todian, you must complete questions (b) throu	ight (g) separately for each custom		
cus		agri (g) separatery for each custour		
cus (b)	todian, you must complete questions (b) throu Legal name of custodian:	agri (g) separatery for each custour		
cus (b) (c)	todian, you must complete questions (b) throu Legal name of custodian: BANK OF AMERICA CORPORATION Primary business name of custodian:		assets (city, state and country):	
cus (b) (c)	Legal name of custodian: BANK OF AMERICA CORPORATION Primary business name of custodian: BANK OF AMERICA CORPORATION The location of the custodian's office responsi	ible for <i>custody</i> of the <i>private fund's</i> State:	Country:	
(b)	Legal name of custodian: BANK OF AMERICA CORPORATION Primary business name of custodian: BANK OF AMERICA CORPORATION The location of the custodian's office responsi	ible for <i>custody</i> of the <i>private fund's</i>		
(b) (c) (d)	Legal name of custodian: BANK OF AMERICA CORPORATION Primary business name of custodian: BANK OF AMERICA CORPORATION The location of the custodian's office responsicity: WILMINGTON	ible for <i>custody</i> of the <i>private fund's</i> State: Delaware	Country:	
(b) (c) (d)	Legal name of custodian: BANK OF AMERICA CORPORATION Primary business name of custodian: BANK OF AMERICA CORPORATION The location of the custodian's office responsi	ible for <i>custody</i> of the <i>private fund's</i> State: Delaware	Country:	Yes No

CRD Number (if any):

questions (b) through g) belo g) separately for each custoo	ow for each custodian the <i>private fund</i> uses. If the <i>p</i> dian.	orivate fund uses more than one
		orivate fund uses more than one
,		
state: Jew York	Country: United States	
		Yes N
		0 (
registration number (if any)):	
ker-dealer but does not have	e an SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
		nivate iunu uses more than one
or <i>custody</i> of the <i>private fun</i> d	d's assets (city, state and country):	
State:	Country:	
	Canada	Yes N
		0 0
registration number (if any)):	
ker-dealer but does not have	e an SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
k :	tate: ew York registration number (if any) xer-dealer but does not have uestions (b) through g) belong by separately for each custon State: registration number (if any)	registration number (if any): ser-dealer but does not have an SEC registration number, provide its legal entity uestions (b) through g) below for each custodian the private fund uses. If the page is separately for each custodian.

(b) Legal name of custodian:

BANK OF NEW YORK MELLON

(c) Primary business name of custodian:

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related per	son of your firm?		Yes No
(f) If the custodian is a broker-de	ealer, provide its SEC registration number (if a	ny):	
- CRD Number (if any):			
(g) If the custodian is not a broken HPFHU00Q28E4N0NFVK49	er-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity identifie	er (if any)
	s "yes," respond to questions (b) through g) bestions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private fun</i> todian.	nd uses more than one
(b) Legal name of custodian: BARCLAYS BANK PLC			
(c) Primary business name of cus BARCLAYS BANK PLC	stodian:		
(d) The location of the custodian' City:	s office responsible for <i>custody</i> of the <i>private fo</i> State:	und's assets (city, state and country): Country:	
LONDON	State.	United Kingdom	
(e) Is the custodian a related per-	son of your firm?		Yes No
(f) If the custodian is a broker-de	ealer, provide its SEC registration number (if a	ny):	
- CRD Number (if any):			
(g) If the custodian is not a broke G5GSEF7VJP5I7OUK5573	er-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity identifie	er (if any)
•	s "yes," respond to questions (b) through g) bestions (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private fui</i> todian.	nd uses more than one
(b) Legal name of custodian: BARCLAYS BANK PLC, NEW YO	RK BRANCH		
(c) Primary business name of cus BARCLAYS BANK PLC, NEW YO			
	s office responsible for <i>custody</i> of the <i>private f</i>		
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related per-	son of your firm?		Yes No
(f) If the custodian is a broker-de	ealer, provide its SEC registration number (if a	ny):	
- CRD Number (if any):			

BANK OF NEW YORK MELLON

	ne answer to question 25.(a) is "yes," respond to todian, you must complete questions (b) through			lian the <i>private fund</i> us	es. If the <i>private fund</i> u	uses more than one
(b)	Legal name of custodian: BARCLAYS CAPITAL INC.					
(c)	Primary business name of custodian: BARCLAYS CAPITAL INC.					
(d)	The location of the custodian's office responsible City:	State:	Соц	intry:		
(e)	NEW YORK Is the custodian a <i>related person</i> of your firm?	New York	Uni	ted States		Yes I
(f)	If the custodian is a broker-dealer, provide its S 8 - 41342	SEC registration number (if ar	ny):			
	CRD Number (if any): 19714					
(g)	If the custodian is not a broker-dealer, or is a b	proker-dealer but does not ha	ave an SEC registrati	on number, provide its	legal entity identifier (i	if any)
cus	ne answer to question 25.(a) is "yes," respond to todian, you must complete questions (b) through Legal name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.			lian the <i>private fund</i> us	es. If the <i>private fund</i> u	uses more than one
(c)	Primary business name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.					
(d)	The location of the custodian's office responsible City: Sta		und's assets (city, sta Country: United Kingdom	ate and country):		
(e)	Is the custodian a related person of your firm?		S			Yes I
(f)	If the custodian is a broker-dealer, provide its S -	SEC registration number (if ar	ny):			
	CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a b K9WDOH4D2PYBSLSOB484	oroker-dealer but does not ha	ave an SEC registrati	on number, provide its	legal entity identifier (i	if any)
	ne answer to question 25.(a) is "yes," respond to todian, you must complete questions (b) through			lian the <i>private fund</i> us	es. If the <i>private fund</i> u	uses more than one
(b)	Legal name of custodian: BLACK ROCK, INC.					

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

G5GSEF7VJP5I7OUK5573

(c) Primary business name of custodian:

BLACK ROCK, INC.

New YORK New York United States State	(d) The location of the custo	dian's office responsible for custody of the private for		
Value Valu	-		Country: United States	
The custodan is a broken-dearer, provide its SEC registration number (if any): ONLY burner (if any): If the custodan is not a broken-dearer, provide its SEC registration number, and SeC registration number, provide its legal viabley another (if any) services and secundary in the provide Aural uses more than one unavoidant, you must complete questions (ii) through (ji) repairintly for each sustodian the private Aural uses. If the private Aural uses more than one unavoidant, you must complete questions (iii) through (ji) repairintly for each sustodian the private Aural uses. If the private Aural uses more than one unavoidant, you must complete questions (iii) through (ji) repairintly for each sustodian the private Aural uses. If the private Aural uses more than one unavoidant, you must complete questions (iii) through (ji) repairintly for each sustodian. Section and provide and the private Aural uses more than one unavoidant is considered and provide and the private Aural uses. If the private Aural uses more than one unavoidant is considered and provide and through (ji) repairintly for each sustodian is considered and provide Aural uses. If the private Aural uses more than one unavoidant is not as broken dealer, or is a broken dealer of the private Aural uses. If the private Aural uses more than one use of the private Aural uses. If the private Aural uses in the private Aural uses more than one use of the private Aural uses. If the private Aural uses in the private Aural uses more than one use of the private Aural uses. If the private Aural uses in the private Aural uses more than one use of the private Aural uses. If the private Aural uses in the priva				Yes No
(SSD Number (flarge)) (If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SCC registration number, provide its legal entity identifier (if any) to 15 states in the provide special entity identifier (if any) to 15 states in the provide special entity identifier (if any) to 15 states and custodian the private fund uses. If the provide special entity identifier (if any) to 15 states and custodian the private fund uses. If the private fund uses more than one usbodian you must complete special entity in the private fund uses in the private fund uses more than one usbodian you must complete special entities (if any) to 15 states and custodian the private fund uses. If the private fund uses more than one usbodian is a broken-dealer, personal for provide fine private funds in the private fund enumpy). (If the destribute of the provided dealer, provide its Section gistration number (if any)) (If the custodian is a broken-dealer, provide its Section gistration number (if any)) (If the custodian is not a protect-dealer, provide its Section gistration number (if any)) (If the custodian is not a protect-dealer, provide its Section gistration number (if any)) (If the custodian is not a protect-dealer, provide its Section gistration number (if any)) (If the custodian is not a protect-dealer, provide its separately for each custodian) (If the custodian is not a protect-dealer, provide its approach to guardian (if any)) (If the custodian is not the custodian softice responsible for custody of the private funds such custodian) (If the custodian is a broken-dealer, provide its SCC registration number (if any)) (If the custodian is a broken-dealer, provide its SCC registration number (if any)) (If the custodian is a broken-dealer, provide its SCC registration number (if any))	(e) Is the custodian a <i>related</i>	d person of your firm?		0 0
(2) If the carebook is not a transcriptories or is a transcriptories but oscerotables but oscerotables but oscerotables in social bases in SPE registration number, provide its legal cathly assembly (flurgy) \$493.00.00 T3590CU26A60 If the assemble is question 25. (a) is "yes," respond in questions (b) transight (g) below for each custodian the provide Australass. If the provide Australass more than and based on the flurge is a custodian in the provide Australass in the provide Australass more than and based CAPITAL MARKETS CORP. (c) The backloan of the custodian's office responsible for australay of the private Australass responsible for australass and australass responsible for australass for the private Australass and australass of the private Australass for the private Australass for the australass for th	(f) If the custodian is a brok	er-dealer, provide its SEC registration number (if a	ny):	
s 1939 DELIRI TANKCUZEABLO The subsect to question 25 (a) is "yes", "respond to questions (b) through (j) below for each custodian the private fund uses. If the private fund uses more than one according you ment custodian. Biol OPETAL MARKETS CORP. 3) Primary business remain of according the private fund uses the private fund uses more than one use of private fund uses of the according to the according to the according to the according to the private fund uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses the private fund uses. If the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses. If the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses that private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses more than one uses the private fund uses the private fund uses the private fund uses. If the private fund uses more than one uses the private fund uses the private fund uses the private fund uses the private fun	- CRD Number (if any):			
(a) Legal name of custodian so the custodians office responsible for custody of the private rund's assets (city, state and country). (b) In the custodian's office responsible for custody of the private rund's assets (city, state and country). (city State Country). (d) The location of the custodian's office responsible for custody of the private rund's assets (city, state and country). (city State Country). (d) In the custodian's office responsible for custody of the private rund's assets (city, state and country). (d) It is the custodian a related person of your non? (e) Is the custodian a related person of your non? (f) If the custodian is a broker-dealer, provide its SFC registration number (if any): (a) 3-3-3-44 (c) Rhumber (if any): (d) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SFC registration number, provide its <i>logal contity literation</i> (if any) (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SFC registration number, provide its <i>logal contity literation</i> (if any) (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SFC registration number, provide its <i>logal contity literation</i> (if any): (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SFC registration number, provide its <i>logal contity literation</i> (if any): (g) Legal nume of custodian. (g) Legal nume of custodian. (g) Legal nume of custodian. (g) Legal nume of custodian is a broker-dealer. (g) In the custodian a related person of your num? (g) Legal nume of custodian a related person of your num? (g) Legal nume of custodian a related person of your num? (heave York New York Little State Country: Little State Coun			ave an SEC registration number, provide its <i>legal entity ident</i>	tifier (if any)
### SMO CAPITAL MARKETS CORP. (2) Primary business name of custodian's effice responsible for custody of the private fund's assets (city, state and country): (3) The location of the custodian's effice responsible for custody of the private fund's assets (city, state and country): (3) The location of the custodian's effice responsible for custody of the private fund's assets (city, state and country): (4) If the custodian is a broker-dealer, provide ity SEC registration number (if any): (5) If the custodian is a broker-dealer, provide ity SEC registration number (if any): (6) If the custodian is not a broker-dealer, or is a broker-dealer built does not have an SEC registration number, provide its legal entry blentifier (if any): (7) If the custodian is not a broker-dealer, or is a broker-dealer built does not have an SEC registration number, provide its legal entry blentifier (if any): (8) If the custodian is not a broker-dealer, or is a broker-dealer built does not have an SEC registration number, provide its legal entry blentifier (if any): (8) If the custodian is not a broker-dealer (if any): (9) If the custodian is not a broker dealer (if any): (9) If the custodian is not a broker custodian: (9) Primary business name of custodian: (9) If the custodian is the custodian's efficient provide its SEC registration number (if any): (9) If the custodian is a broker-dealer, provide its SEC registration number (if any): (10) If the custodian is a broker-dealer, provide its SEC registration number (if any):	•		•	fund uses more than one
United States Country: Country: Country: Country: Country: Country: Country: Country: United States Ves No.				
City WILLINGTON Delaware United States Yes No (c) Is the custodian a rolated person of your film? (b) If the custodian is a broker-dealer, provide its SEC registration number (if any): 8 - 34344 CRD Number (if any): 16686 (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) into the custodian is not a broker-dealer, provide its SEC registration number (if any): 1	•			
WILMINGTON Delaware United States Page State Country Delaware United States Page	(d) The location of the custo	dian's office responsible for <i>custody</i> of the <i>private f</i> o	und's assets (city, state and country):	
The custodian a related person of your firm? The custodian a related person of your firm? The custodian is a broker-dealer, provide its SEC registration number (if any): 8 - 34344 CRD Number (if any): 16666 The custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) RUCOGBLERPRCU4W1NE59 RUCOGBLERPRCU4W1NE5	_		•	
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any): 8 - 34344 CRD Number (if any): 16686 (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) RUCOGBLBRPRCU4W1NE59 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. (b) Legal name of custodian: BNIP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country) City: State: Country: NEW YORK New York United States Yes No (e) Is the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):	WILMINGTON	Belaware	officed States	Yes No
8 - 34344 CRD Number (if any): 16686 (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) RUCOQBLBRPRCU4W1NE59 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. (b) Legal name of custodian: BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York United States Yes No (e) Is the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):	(e) Is the custodian a <i>related</i>	d person of your firm?		○ ⊙
16686 (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) RUCOOBLERPRCU4W1NE59 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. (b) Legal name of custodian: BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York United States Yes No (e) Is the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):	8 - 34344	er-dealer, provide its SEC registration number (if ar	ıy):	
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 <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian: BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (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. NEW YORK New York 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): CRD Number (if any):				
custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian: BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):			ive an SEC registration number, provide its legal entity ident	tifier (if any)
custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian: BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):				
BNP PARIBAS (c) Primary business name of custodian: BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):				fund uses more than one
BNP PARIBAS (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):				
City: State: Country: United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	•	of custodian:		
NEW YORK New York United States Yes No (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):				
(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): - CRD Number (if any):	-		· · · · · · · · · · · · · · · · · · ·	
- CRD Number (if any):	(e) Is the custodian a <i>related</i>	d person of your firm?		
	(f) If the custodian is a brok	er-dealer, provide its SEC registration number (if a	ıy):	
	- CRD Number (if any):			

ROMUWSFPU8MPRO8K5P83

	to question 25.(a) is "yes," respond to questi u must complete questions (b) through (g) sep		ach custodian the <i>private fund</i> uses. If the <i>private fund</i> uses	more than one
	ne of custodian: BAS PRIME BROKERAGE INTERNATIONAL, LTD.			
•	ousiness name of custodian: BAS PRIME BROKERAGE INTERNATIONAL, LTD.			
(d) The locat City: GEORGET	ion of the custodian's office responsible for <i>cus</i>	stody of the <i>private fund's</i> asset State:	s (city, state and country): Country: Cayman Islands	
(e) Is the cur	stodian a <i>related person</i> of your firm?			Yes No
(f) If the cus	todian is a broker-dealer, provide its SEC regis	stration number (if any):		
- CRD Num	ber (if any):			
	todian is not a broker-dealer, or is a broker-de EGBAKFHIIT563	ealer but does not have an SEC	registration number, provide its <i>legal entity identifier</i> (if any	y)
	to question 25.(a) is "yes," respond to questi u must complete questions (b) through (g) sep		ach custodian the <i>private fund</i> uses. If the <i>private fund</i> uses	more than one
(b) Legal nar BNP PARI	ne of custodian: BAS SA			
(c) Primary b BNP PARI	usiness name of custodian: BAS SA			
` '	on of the custodian's office responsible for cus	stody of the <i>private fund's</i> asset		
City: PARIS	State:		Country: France	Vac No
(e) Is the cu	stodian a related person of your firm?			Yes No ○ ⊙
(f) If the cus	todian is a broker-dealer, provide its SEC regis	stration number (if any):		
- CRD Num	ber (if any):			
_	todian is not a broker-dealer, or is a broker-de	ealer but does not have an SEC	registration number, provide its <i>legal entity identifier</i> (if any	y)
	to question 25.(a) is "yes," respond to questi u must complete questions (b) through (g) sep		ach custodian the <i>private fund</i> uses. If the <i>private fund</i> uses	more than one
_	ne of custodian: BAS SECURITIES CORP.			
-	usiness name of custodian: BAS SECURITIES CORP.			
(d) The locat	on of the custodian's office responsible for cus		s (city, state and country): Country:	

(e)	Is the custodian a related person of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) RCNB6OTYUAMMP879YW96		
	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 <i>private fund</i> uses more that stodian, you must complete questions (b) through (g) separately for each custodian.	an on	e
(b)	Legal name of custodian: BOFA SECURITIES INDIA LIMITED		
(c)	Primary business name of custodian: BOFA SECURITIES INDIA LIMITED		
(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: MUMBAI State: Country: India		
(e)	Is the custodian a <i>related person</i> of your firm?	Yes O	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 549300A5QXDCAXLKH833		
11	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 the stodian, you must complete questions (b) through (g) separately for each custodian.	an on	е
(b)	Legal name of custodian: BOFA SECURITIES, INC.		
(c)	Primary business name of custodian: BOFA SECURITIES, INC.		
(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: NEW YORK New York United States		
(e)	Is the custodian a related person of your firm?	Yes O	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any): 8 - 69787 CRD Number (if any): 283942		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		

United States

New York

NEW YORK

	he answer to question 25.(a) is "yes," respond		low for each custodian the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more than one
(b)	Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE			
(c)	Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE			
(d)	The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
	City: TORONTO	State:	Country: Canada	
(e)	Is the custodian a related person of your firm?			Yes No O ⊙
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if an	y):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 2IGI19DL77OX0HC3ZE78	broker-dealer but does not ha	ve an SEC registration number, provide its legal entity in	dentifier (if any)
cus	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throu Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY	gh (g) separately for each cust	low for each custodian the <i>private fund</i> uses. If the <i>priv</i> odian.	ate fund uses more than one
	CANADIAN IMPERIAL BANK OF COMMERCE, NY	BRANCH		
(c)	Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE, NY	BRANCH		
(d)	The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
(٢)	If the custodian is a broker-dealer, provide its	SEC registration number (if an	y):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 549300H8L46OOZOFHU82	broker-dealer but does not ha	ve an SEC registration number, provide its legal entity id	dentifier (if any)
	he answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throu		low for each custodian the <i>private fund</i> uses. If the <i>priv</i> odian.	ate fund uses more than one
(b)	Legal name of custodian: CIBC WORLD MARKETS CORP.			
(c)	Primary business name of custodian: CIBC WORLD MARKETS CORP.			
(d)	The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	
(0)	Is the custodian a <i>related person</i> of your firm?			Yes No

(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a b 549300445CON3DBMU275	oroker-dealer but does not have an SEC re	gistration number, provide its legal entity identifier (if any)	
	he answer to question 25.(a) is "yes," respond t todian, you must complete questions (b) through		custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more that	an one
(b)	Legal name of custodian: CITIBANK N.A.			
(c)	Primary business name of custodian: CITIBANK N.A.			
(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	INEW TORK	New TOTK	officed 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, provide its S	SEC registration number (if any):		
	-			
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a b E570DZWZ7FF32TWEFA76	proker-dealer but does not have an SEC re	gistration number, provide its <i>legal entity identifier</i> (if any)	
	he answer to question 25.(a) is "yes," respond t todian, you must complete questions (b) througl		custodian the private fund uses. If the private fund uses more tha	an one
(b)	Legal name of custodian: CITIGROUP GLOBAL MARKETS INC.			
(c)	Primary business name of custodian: CITIGROUP GLOBAL MARKETS INC.			
(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United 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, provide its S	SEC registration number (if any):		
	8 - 8177 CRD Number (if any):			
	7059			
(g)	If the custodian is not a broker-dealer, or is a b	proker-dealer but does not have an SEC re	gistration number, provide its <i>legal entity identifier</i> (if any)	

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.

(b)	Legal name of custodian: CITIGROUP GLOBAL MARKETS	S LTD		
(c)	Primary business name of cu CITIGROUP GLOBAL MARKETS			
(d)	The location of the custodiar	n's office responsible for <i>custody</i> of	f the <i>private fund's</i> assets (city, state and country):	
	City: LONDON	State:	Country: United Kingdom	V N-
(e)	Is the custodian a related pe	rson of your firm?		Yes No
(f)	If the custodian is a broker-o	dealer, provide its SEC registration i	number (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a brok XKZZ2JZF41MRHTR1V493	ker-dealer, or is a broker-dealer bu	ut does not have an SEC registration number, provide its legal entity identifier (if any)	
cus	todian, you must complete qu	is "yes," respond to questions (b) uestions (b) through (g) separately	through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more y for each custodian.	than one
(0)	Legal name of custodian: COMPUTERSHARE LIMITED			
(c)	Primary business name of cu COMPUTERSHARE LIMITED	istodian:		
(d)	The location of the custodian City: CHICAGO	n's office responsible for <i>custody</i> of State: Illinois	f the <i>private fund's</i> assets (city, state and country): Country: United States	
(e)	Is the custodian a related pe	rson of your firm?		Yes No
(f)	If the custodian is a broker-c	dealer, provide its SEC registration i	number (if any):	
	- CRD Number (if any):			
(g)	If the custodian is not a brok	ker-dealer, or is a broker-dealer bu	ut does not have an SEC registration number, provide its legal entity identifier (if any)	
		is "yes," respond to questions (b) uestions (b) through (g) separately	through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more by for each custodian.	than one
(b)	Legal name of custodian: CONTINENTAL STOCK TRANS	FER & TRUST COMPANY		
(c)	Primary business name of cu CONTINENTAL STOCK TRANS			
(d)			f the <i>private fund's</i> assets (city, state and country):	
	City: BOSTON	State: Massachusetts	Country: United States	
(e)	Is the custodian a related pe	rson of your firm?		Yes No ○ ⊙
(f)	If the custodian is a broker-c	dealer, provide its SEC registration i	number (if any):	

(g) If the custodian is not a br	oker-dealer, or is a broker-dealer but d	oes not have an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
•	a) is "yes," respond to questions (b) thr questions (b) through (g) separately for	ough g) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> each custodian.	te fund uses more than one
(b) Legal name of custodian: CREDIT SUISSE AG			
(c) Primary business name of CREDIT SUISSE AG	custodian:		
(d) The location of the custodia	an's office responsible for <i>custody</i> of the	e private fund's assets (city, state and country):	
City:	State:	Country: Switzerland	
ZURICH		Switzeriand	Yes N
(e) Is the custodian a related μ	person of your firm?		0
(f) If the custodian is a broker	-dealer, provide its SEC registration nur	mber (if any):	
- CRD Number (if any):			
	a) is "yes," respond to questions (b) thr questions (b) through (g) separately for	ough g) below for each custodian the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than one
(b) Legal name of custodian: CREDIT SUISSE INTERNATION		each custodian.	
(c) Primary business name of CREDIT SUISSE INTERNATION			
(d) The location of the custodia	an's office responsible for <i>custody</i> of the	e private fund's assets (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
LONDON		onited Kingdom	Yes N
(e) Is the custodian a <i>related</i> μ	person of your firm?		0
(f) If the custodian is a broker	-dealer, provide its SEC registration nur	mber (if any):	
- CRD Number (if any):			
(g) If the custodian is not a br E58DKGMJYYYJLN8C3868	oker-dealer, or is a broker-dealer but d	oes not have an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
If the answer to question 25.(a custodian, you must complete		ough g) below for each custodian the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than one

CRD Number (if any):

(b) Legal name of custodian:

CREDIT SUISSE SECURITIES (EUROPE) LIMITED

	Primary business name of custodian: CREDIT SUISSE SECURITIES (EUROPE) LIMIT	ΓED				
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the <i>p</i>	orivate fund's assets (city	, state and country):		
	City: LONDON	State:	Country: United Kingdon	n		
(e)	Is the custodian a related person of your firm	n?				Yes No
(f)	If the custodian is a broker-dealer, provide i	its SEC registration numb	per (if any):			
	CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is DL6FFRRLF74S01HE2M14	a broker-dealer but doe	s not have an SEC regis	tration number, provide its le	egal entity identifier (if any)	
	the answer to question 25.(a) is "yes," responstodian, you must complete questions (b) thro			stodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more t	:han one
(b)	Legal name of custodian: CREDIT SUISSE SECURITIES (USA) LLC					
(c)	Primary business name of custodian: CREDIT SUISSE SECURITIES (USA) LLC					
(d)	The location of the custodian's office respon	nsible for <i>custody</i> of the p	orivate fund's assets (city	y, state and country): Country:		
	NEW YORK	New York		United States		
(e)	Is the custodian a <i>related person</i> of your firm	n?				Yes No
(f)	If the custodian is a broker-dealer, provide i	its SEC registration numb	per (if any):			
	8 - 422 CRD Number (if any):					
	816					
(g)	If the custodian is not a broker-dealer, or is	a broker-dealer but doe	s not have an SEC regis	tration number, provide its ι	egal entity identifier (if any)	
	the answer to question 25.(a) is "yes," responstodian, you must complete questions (b) thro			stodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more t	han one
cus				stodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more t	:han one
cus (b)	stodian, you must complete questions (b) three Legal name of custodian:			stodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more t	han one
(b)	Legal name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED Primary business name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED The location of the custodian's office response	ough (g) separately for e	each custodian. Orivate fund's assets (city		. If the <i>private fund</i> uses more t	han one
(b)	Legal name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED Primary business name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED	ough (g) separately for e	each custodian.	v, state and country):	. If the <i>private fund</i> uses more t	
(b) (c) (d)	Legal name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED Primary business name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED The location of the custodian's office response	ough (g) separately for ensible for <i>custody</i> of the <i>p</i>	each custodian. Orivate fund's assets (city Country:	v, state and country):	. If the <i>private fund</i> uses more t	Yes No
(b) (c) (d)	Legal name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED Primary business name of custodian: DAIWA CAPITAL MARKETS EUROPE LIMITED The location of the custodian's office responsible. City: LONDON	ough (g) separately for entire particles for custody of the particles of t	each custodian. Orivate fund's assets (city Country: United Kingdon	v, state and country):	. If the <i>private fund</i> uses more t	Yes No

	on 25.(a) is "yes," respond to quest mplete questions (b) through (g) se		each custodian the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more than one
(b) Legal name of custon DEUTSCHE BANK AC				
(c) Primary business no DEUTSCHE BANK AC				
(d) The location of the	custodian's office responsible for cu	istody of the private fund's assi	ets (city, state and country):	
City: FRANKFURT		State:	Country: Germany	
(e) Is the custodian a	related person of your firm?			Yes N
(f) If the custodian is a	a broker-dealer, provide its SEC regi	stration number (if any):		
- CRD Number (if any)):			
(g) If the custodian is r 7LTWFZYICNSX8D6		dealer but does not have an SE	C registration number, provide its <i>legal entity ic</i>	lentifier (if any)
·	mplete questions (b) through (g) se		each custodian the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more than one
(c) Primary business na EQUINITI TRUST CO	ame of custodian:			
(d) The location of the	custodian's office responsible for cu	ustody of the private fund's ass	ets (city, state and country):	
City: BOSTON	State: Massachusetts		Country: United States	
	related person of your firm?		omica etatos	Yes N
(c) is the customan an	related person of your firm:			0 (
(f) If the custodian is a	a broker-dealer, provide its SEC regi	stration number (if any):		
CRD Number (if any)):			
(g) If the custodian is r	not a broker-dealer, or is a broker-c	dealer but does not have an SE	C registration number, provide its <i>legal entity ic</i>	lentifier (if any)
·	on 25.(a) is "yes," respond to quest mplete questions (b) through (g) se		each custodian the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more than one
(b) Legal name of customer (b) FEDERATED HERME:				
(c) Primary business na FEDERATED HERME:				

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

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City:	office responsible for <i>custody</i> of the <i>private</i> State:	Country:	
PITTSBURGH	Pennsylvania	United States	
(e) Is the custodian a related pers	on of your firm?		Yes No
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broke R05X5UQ874RGFF7HHD84	r-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its legal entity identifier	r (if any)
•	"yes," respond to questions (b) through g) stions (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> istodian.	d uses more than one
(b) Legal name of custodian: GOLDMAN SACHA BANK USA			
(c) Primary business name of cust GOLDMAN SACHA BANK USA	rodian:		
(d) The location of the custodian's	office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a related pers	on of your firm?		○ ⊙
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broke KD3XUN7C6T14HNAYLU02	r-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its legal entity identifier	r (if any)
	"yes," respond to questions (b) through g) stions (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> istodian.	d uses more than one
(b) Legal name of custodian: GOLDMAN SACHS INTERNATIO	NAL		
(c) Primary business name of cust GOLDMAN SACHS INTERNATIO			
(d) The location of the custodian's City:	office responsible for <i>custody</i> of the <i>private</i> State:	fund's assets (city, state and country): Country:	
LONDON		United Kingdom	
(e) Is the custodian a related pers	on of your firm?		Yes No
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if a	any):	
-			
CRD Number (if any):			
(a) If the custodian is not a broke	r dealer, er is a broker dealer but dees not b	nave an SEC registration number, provide its <i>legal entity identifier</i>	r (if any)

W22LROWP2IHZNBB6K528

11	he answer to question 25.(a) is "yes," respond to quetodian, you must complete questions (b) through (g)			an the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more thar	n one
(b)	Legal name of custodian: HSBC BANK BERMUDA LIMITED					
(c)	Primary business name of custodian: HSBC BANK BERMUDA LIMITED					
(d)	The location of the custodian's office responsible for	r custody of the private	fund's assets (city, state	e and country):		
	City: HAMILTON	State:		Country: Bermuda		
	Thumeron			Bermada		Yes No
(e)	Is the custodian a related person of your firm?					0 0
(f)	If the custodian is a broker-dealer, provide its SEC r	registration number (if a	any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a broke OW1U67PTV5WY3WYWKD79	er-dealer but does not h	nave an SEC registratio	n number, provide its <i>legal entity id</i>	lentifier (if any)	
	he answer to question 25.(a) is "yes," respond to quetodian, you must complete questions (b) through (g)			an the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more thar	n one
(b)	Legal name of custodian: HSBC BANK PLC					
(c)	Primary business name of custodian: HSBC BANK PLC					
(d)	The location of the custodian's office responsible for	r custody of the private	fund's assets (city, state	e and country):		
	City: State:	,	Country:	3,		
	LONDON		United Kingdom			Yes No
(e)	Is the custodian a related person of your firm?					0 0
(f)	If the custodian is a broker-dealer, provide its SEC r	registration number (if a	any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a broke MP6I5ZYZBEU3UXPYFY54	er-dealer but does not h	nave an SEC registratio	n number, provide its <i>legal entity ic</i>	dentifier (if any)	
	he answer to question 25.(a) is "yes," respond to quetodian, you must complete questions (b) through (g)			an the <i>private fund</i> uses. If the <i>priv</i>	ate fund uses more thar	n one
(b)	Legal name of custodian: HSBC BANK USA, N.A.					
(c)	Primary business name of custodian: HSBC BANK USA, N.A.					
(d)	The location of the custodian's office responsible for	r custody of the private	fund's assets (city, state	e and country):		

Country:

State:

City:

(e) Is the custodian a <i>related person</i> of your firm?			Yes No
(f) If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
-			
CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a 1IE8VN30JCEQV1H4R804	broker-dealer but does not have a	n SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
f the answer to question 25.(a) is "yes," respond custodian, you must complete questions (b) throu		for each custodian the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than one
b) Legal name of custodian: HSBC SECURITIES (USA) INC.			
(c) Primary business name of custodian: HSBC SECURITIES (USA) INC.			
(d) The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private fund's</i>	assets (city, state and country):	
City:	State:	Country:	
WILMINGTON	Delaware	United States	Yes No
e) Is the custodian a <i>related person</i> of your firm?			○ ⊙
) If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
-			
CRD Number (if any):			
a) If the custodian is not a broker-dealer, or is a	broker-dealer but does not have a	n SEC registration number, provide its <i>legal entity ide</i>	entifier (if anv)
CYYGQCGNHMHPSMRL3R97			
custodian, you must complete questions (b) throu		for each custodian the <i>private fund</i> uses. If the <i>priva</i> in.	te fund uses more than one
(b) Legal name of custodian: INVESCO ADVISERS, INC.			
(c) Primary business name of custodian: INVESCO ADVISERS, INC.			
(d) The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private fund's</i>	assets (city, state and country):	
City: WILMINGTON	State: Delaware	Country: United States	
WILIMINGTON	Delaware	officed States	Yes No
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):		
-			
CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a O37NHJVF7S22I1ONOU83	broker-dealer but does not have a	n SEC registration number, provide its legal entity ide	ntifier (if any)

United States

New York

NEW YORK

•	uestions (b) through (g) separately for each of	sustodian.	ate rand uses more than one
(b) Legal name of custodian: J.P. MORGAN SECURITIES LLC			
(c) Primary business name of cu J.P. MORGAN SECURITIES LLC			
(d) The location of the custodian	's office responsible for custody of the private	e fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related per	rson of your firm?		Yes N
(f) If the custodian is a broker-d	lealer, provide its SEC registration number (if	any):	
8 - 35008 CRD Number (if any):			
79			
(g) If the custodian is not a brok	er-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity in	dentifier (if any)
•	is "yes," respond to questions (b) through goestions (b) through (g) separately for each continuous	below for each custodian the <i>private fund</i> uses. If the <i>priv</i> sustodian.	ate fund uses more than one
(b) Legal name of custodian: J.P. MORGAN SECURITIES PLO	3		
(c) Primary business name of cu J.P. MORGAN SECURITIES PLO			
(d) The location of the custodian	's office responsible for custody of the private	e fund's assets (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Is the custodian a related per	rson of your firm?		Yes N
(f) If the custodian is a broker-d	lealer, provide its SEC registration number (if	any):	
- CRD Number (if any):			
(g) If the custodian is not a brok K6Q0W1PS1L1O4IQL9C32	er-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity in	dentifier (if any)
	is "yes," respond to questions (b) through guestions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the <i>priv</i> custodian.	ate fund uses more than one
(b) Legal name of custodian: JPMORGAN CHASE BANK N.A.			
(c) Primary business name of cu JPMORGAN CHASE BANK N.A.	stodian:		
(d) The location of the custodian	's office responsible for custody of the private	e fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
-			Yes N

(e) Is the custodian a *related person* of your firm?

(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 7H6GLXDRUGQFU57RNE97		
	he 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 <i>private fund</i> uses more that stodian, you must complete questions (b) through (g) separately for each custodian.	an one	
(b)	Legal name of custodian: KRYPTON FUND SERVICES (BERMUDA)		
(c)	Primary business name of custodian: KRYPTON FUND SERVICES (BERMUDA)		
(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: PEMBROKE State: Country: Bermuda		
		Yes	No
(e)	Is the custodian a related person of your firm?	0	•
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	he 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 <i>private fund</i> uses more that stodian, you must complete questions (b) through (g) separately for each custodian.	an one	
(b)	Legal name of custodian: MACQUARIE BANK LIMITED		
(c)	Primary business name of custodian: MACQUARIE BANK LIMITED		
(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: SYDNEY State: Country: Australia		
(e)	Is the custodian a related person of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 4ZHCHI4KYZG2WVRT8631		

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.

(b)	Legal name of custodian: MERRILL LYNCH CAPITAL SERVICES, INC.					
(c)	Primary business name of custodian: MERRILL LYNCH CAPITAL SERVICES, INC.					
(d)	The location of the custodian's office respons	ible for <i>custody</i> of the <i>priv</i>	vate fund's assets (city,	state and country):		
	City: NEW YORK	State: New York		country: Inited States		
(e)	Is the custodian a <i>related person</i> of your firm?					Yes No
(f)	If the custodian is a broker-dealer, provide its	s SEC registration number	(if any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a GDWTXX036O1TB7DW3U69	a broker-dealer but does r	not have an SEC registr	ation number, provide its <i>legal en</i>	ity identifier (if any)	
cus	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) thro		-	odian the <i>private fund</i> uses. If the	private fund uses more tha	an one
(b)	Legal name of custodian: MERRILL LYNCH INTERNATIONAL					
(c)	Primary business name of custodian: MERRILL LYNCH INTERNATIONAL					
(d)	The location of the custodian's office respons City: S LONDON	ible for <i>custody</i> of the <i>priv</i> State:	vate fund's assets (city, Country: United Kingdom	state and country):		
(e)	Is the custodian a <i>related person</i> of your firm?	?				Yes No
(f)	If the custodian is a broker-dealer, provide its	s SEC registration number	(if any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a GGDZP1UYGU9STUHRDP48	a broker-dealer but does r	not have an SEC registr	ation number, provide its <i>legal en</i>	ity identifier (if any)	
	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) thro		•	odian the <i>private fund</i> uses. If the	private fund uses more that	an one
(b)	Legal name of custodian: MIZUHO CAPITAL MARKETS LLC					
(c)	Primary business name of custodian: MIZUHO CAPITAL MARKETS LLC					
(d)	The location of the custodian's office respons		vate fund's assets (city,	•		
	City: WILMINGTON	State: Delaware		Country: United States		
(e)	Is the custodian a <i>related person</i> of your firm?	?				Yes No
(f)	If the custodian is a broker-dealer, provide its	s SEC registration number	(if any):			

CRD Number (if any):	
(g) If the custodian is not a broker-dealer, or is a broker-dealer OV6W8S6QX2D1J857QP30	but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) separate	b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one ely for each custodian.
(b) Legal name of custodian: MIZUHO MARKETS CAYMAN LP	
(c) Primary business name of custodian: MIZUHO MARKETS CAYMAN LP	
(d) The location of the custodian's office responsible for <i>custody</i> City: GEORGETOWN	State: Country: Cayman Islands
(e) Is the custodian a <i>related person</i> of your firm?	Yes No
(f) If the custodian is a broker-dealer, provide its SEC registration - CRD Number (if any):	on number (if any):
(g) If the custodian is not a broker-dealer, or is a broker-dealer 549300KHUXLS6Q30KT26	but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) separate	b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one ely for each custodian.
(b) Legal name of custodian: MIZUHO SECURITIES USA LLC	
(c) Primary business name of custodian: MIZUHO SECURITIES USA LLC	
(d) The location of the custodian's office responsible for <i>custody</i> City: State:	Country:
NEW YORK New York (e) Is the custodian a <i>related person</i> of your firm?	United States Yes No O •
(f) If the custodian is a broker-dealer, provide its SEC registration 8 - 37710	n number (if any):
CRD Number (if any): 19647	
(g) If the custodian is not a broker-dealer, or is a broker-dealer	but does not have an SEC registration number, provide its legal entity identifier (if any)
If the answer to question 25.(a) is "yes," respond to questions (b) through (g) separate	b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one ely for each custodian.

(b) Legal name of custodian:

MORGAN STANLEY & CO. INTERNATIONAL PLC

	y business name of custo AN STANLEY & CO. INTERN				
(d) The loc	cation of the custodian's c	office responsible for <i>custody</i>	of the <i>private fund's</i> as	ssets (city, state and country):	
City: LONDC	N	State:	Coun Unite	try: d Kingdom	
(e) Is the	custodian a <i>related persor</i>	of your firm?		·	Yes No
	·	•			0 0
(f) If the c	custodian is a broker-deal	er, provide its SEC registration	on number (if any):		
CRD Nu	umber (if any):				
_	custodian is not a broker- N3JPFGFNF3BB653	dealer, or is a broker-dealer	but does not have an	SEC registration number, provide its legal entit	y identifier (if any)
	•	yes," respond to questions (ions (b) through (g) separat		or each custodian the <i>private fund</i> uses. If the μ	rivate fund uses more than one
	name of custodian: NN STANLEY BANK, N.A.				
	y business name of custo N STANLEY BANK, N.A.	dian:			
(d) The loc	cation of the custodian's c	office responsible for <i>custody</i>	<i>,</i>	ssets (city, state and country):	
City: SALT L	AKE CITY		State: Utah	Country: United States	
(e) Is the	custodian a <i>related persor</i>	of your firm?			Yes No
(f) If the c	custodian is a broker-deal	er, provide its SEC registration	on number (if any):		
- CRD Nu	umber (if any):				
	custodian is not a broker- ISON32I3QPILB75	dealer, or is a broker-dealer	but does not have an	SEC registration number, provide its <i>legal entit</i>	y identifier (if any)
		yes," respond to questions (ions (b) through (g) separat		or each custodian the <i>private fund</i> uses. If the μ	rivate fund uses more than one
	name of custodian: NN STANLEY CAPITAL SER\	/ICES, INC.			
	y business name of custo NN STANLEY CAPITAL SER\				
	cation of the custodian's c	,	of the <i>private fund's</i> as	ssets (city, state and country):	
City: NEW Y	ORK	State: New York		Country: United States	
(e) Is the	custodian a <i>related persor</i>	of your firm?			Yes No
(f) If the c	custodian is a broker-deal	er, provide its SEC registration	on number (if any):		
-		o., provide its SEO registration	on nambor (ii ariy).		
CRD Nu	umber (if any):				

I7331LVCZKQKX5T7XV54			
· · · · · · · · · · · · · · · · · · ·	respond to questions (b) through g) belov (b) through (g) separately for each custodi	of for each custodian the private fund uses. If the privalent	vate fund uses more than one
(b) Legal name of custodian: NATIONAL BANK OF CANADA FINANCI	AL INC.		
(c) Primary business name of custodian: NATIONAL BANK OF CANADA FINANCI	AL INC.		
(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: WILMINGTON	State: Delaware	Country: United States	
			Yes 1
(e) Is the custodian a <i>related person</i> of y	our firm?		0
(f) If the custodian is a broker-dealer, pr 8 - 39947	ovide its SEC registration number (if any):		
CRD Number (if any): 22698			
(g) If the custodian is not a broker-deale 549300K66TF1ST7A3V76	r, or is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
	respond to questions (b) through g) below (b) through (g) separately for each custodi	or for each custodian the <i>private fund</i> uses. If the <i>pri</i> van.	vate fund uses more than one
(b) Legal name of custodian: NATIXIS NEW YORK BRANCH			
(c) Primary business name of custodian: NATIXIS NEW YORK BRANCH			
(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: NEW YORK	State: New York	Country: United States	
NEW TORK	New Tork	Office States	Yes 1
(e) Is the custodian a related person of y	our firm?		0
(f) If the custodian is a broker-dealer, pr	ovide its SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-deale KX1WK48MPD4Y2NCUIZ63	r, or is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
	respond to questions (b) through g) belov (b) through (g) separately for each custodi	or for each custodian the <i>private fund</i> uses. If the <i>pri</i> van.	vate fund uses more than one
(b) Legal name of custodian: NATIXIS SA			

(c) Primary business name of custodian:

NATIXIS SA

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

City:	s office responsible for <i>custody</i> of the <i>private fo</i> State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a related pers	son of your firm?		○ ●
(f) If the custodian is a broker-de	ealer, provide its SEC registration number (if ar	ny):	
CRD Number (if any):			
(g) If the custodian is not a broke KX1WK48MPD4Y2NCUIZ63	er-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
	s "yes," respond to questions (b) through g) b estions (b) through (g) separately for each cus	pelow for each custodian the <i>private fund</i> uses. If the <i>privat</i> stodian.	e fund uses more than one
(b) Legal name of custodian: NATIXIS SECURITIES AMERICA	AS LLC		
(c) Primary business name of cus NATIXIS SECURITIES AMERICA			
	s office responsible for <i>custody</i> of the <i>private fu</i> State:		
City: WILMINGTON	Delaware	Country: United States	
(e) Is the custodian a <i>related pers</i>	son of your firm?		Yes No
(f) If the custodian is a broker-de	ealer, provide its SEC registration number (if ar	ny):	
- CRD Number (if any):			
(g) If the custodian is not a broke 549300L8G1E7ZHVEOG75	er-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
	s "yes," respond to questions (b) through g) b estions (b) through (g) separately for each cus	pelow for each custodian the <i>private fund</i> uses. If the <i>privat</i> stodian.	<i>te fund</i> uses more than one
(b) Legal name of custodian: NATWEST MARKETS PLC			
(c) Primary business name of cus NATWEST MARKETS PLC	todian:		
(d) The location of the custodian's City: EDINBURGH	s office responsible for <i>custody</i> of the <i>private fo</i> State:	und's assets (city, state and country): Country: United Kingdom	
(e) Is the custodian a related pers	son of your firm?		Yes No
		ou):	
-	ealer, provide its SEC registration number (if ar	ny).	
CRD Number (if any):			

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

NOMURA SECURITIES INTERNATIONAL, INC.

(d) The location of the custodian's office responsible for *custody* of the *private fund's* assets (city, state and country):

City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a related pers	on of your firm?		○ ●
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if	any):	
8 - 15255			
CRD Number (if any): 4297			
7277			
(g) If the custodian is not a broke	r-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal ent	tity identifier (if any)
	s "yes," respond to questions (b) through g) stions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the ustodian.	private fund uses more than one
(b) Legal name of custodian:			
NORTHERN TRUST INVESTMENT	TS, INC.		
() D:			
(c) Primary business name of cust NORTHERN TRUST INVESTMENT			
	office responsible for <i>custody</i> of the <i>private</i>		
City: CHICAGO	State: Illinois	Country: United States	
			Yes No
(e) Is the custodian a related pers	on of your firm?		0 0
(6) If the supply described in the second of	-1		
(f) If the custodian is a proker-de	aler, provide its SEC registration number (if	any):	
CRD Number (if any):			
(g) If the custodian is not a broke	r-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal ent	tity identifier (if any)
BEL4B8X7EHJU845Y2N39			
		below for each custodian the <i>private fund</i> uses. If the	private fund uses more than one
custodian, you must complete que	stions (b) through (g) separately for each c	ustodian.	
(b) Legal name of custodian:			
RBC EUROPE LIMITED			
(c) Primary business name of cust	todian:		
RBC EUROPE LIMITED	toulait.		
	s office responsible for <i>custody</i> of the <i>private</i>		
City: LONDON	State:	Country: United Kingdom	
		5	Yes No
(e) Is the custodian a related pers	on of your firm?		0 0
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if	any):	
CRD Number (if any):			
(a) If the queterlies is	n doulor, on io a broken destant.	hove on CEC registration assets as and the state of	titu idantifiar (if an)
(g) II the custodian is not a broke	i-uealer, or is a proker-dealer but does not	have an SEC registration number, provide its legal ent	ny identiner (ir any)

•	s "yes," respond to questions (b) through gestions (b) through (g) separately for each) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> custodian.	nd uses more than one
(b) Legal name of custodian: ROYAL BANK OF CANADA			
(c) Primary business name of cust ROYAL BANK OF CANADA	todian:		
(d) The location of the custodian's City: TORONTO	s office responsible for <i>custody</i> of the <i>privat</i> State:	re fund's assets (city, state and country): Country: Canada	
(e) Is the custodian a related pers	on of your firm?		Yes No ○ •
(f) If the custodian is a broker-de	aler, provide its SEC registration number (i	f any):	
- CRD Number (if any):			
(g) If the custodian is not a broke ES7IP3U3RHIGC71XBU11	r-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its <i>legal entity identifiel</i>	r (if any)
•	s "yes," respond to questions (b) through g estions (b) through (g) separately for each) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> custodian.	nd uses more than one
(b) Legal name of custodian: ROYAL BANK OF CANADA, NEW	YORK BRANCH		
(c) Primary business name of cust ROYAL BANK OF CANADA, NEW			
(d) The location of the custodian's City:	s office responsible for <i>custody</i> of the <i>privat</i> State:	re fund's assets (city, state and country): Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a related pers	on of your firm?		0 0
(f) If the custodian is a broker-de	aler, provide its SEC registration number (i	fany):	
CRD Number (if any):			
(g) If the custodian is not a broke	r-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its legal entity identifie	r (if any)
	s "yes," respond to questions (b) through g estions (b) through (g) separately for each) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> custodian.	nd uses more than one
(b) Legal name of custodian: SCOTIA CAPITAL (USA) INC.			
(c) Primary business name of cust SCOTIA CAPITAL (USA) INC.	todian:		
	s office responsible for <i>custody</i> of the <i>privat</i>		
City: ALBANY	State: New York	Country: United States	<u> </u>
(e) Is the custodian a related pers	on of your firm?		Yes No ○ ⊙

(f)) If the custodian is a broker-dealer, provide its SEC registration number (if any): 8 - 3716		
	CRD Number (if any): 2739		
(g)	g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 549300BLWPABP1VNME36		
	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 <i>private fund</i> uses more ustodian, you must complete questions (b) through (g) separately for each custodian.	than on	е
(b)	b) Legal name of custodian: SKANDINAVISKA ENSKILDA BANKEN AB		
(c)	SKANDINAVISKA ENSKILDA BANKEN AB		
(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: STOCKHOLM Sweden		
	STOCKHOLIWI	Yes	No
(e)	e) Is the custodian a <i>related person</i> of your firm?	0	•
(f)) If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) F3JS33DEI6XQ4ZBPTN86		
	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 ustodian, you must complete questions (b) through (g) separately for each custodian.	than on	е
(b)	SOCIETE GENERALE		
(c)	SOCIETE GENERALE		
(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: PARIS France		
	TANG	Yes	No
(e)	e) Is the custodian a <i>related person</i> of your firm?	0	•
(f)) If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) O2RNE8IBXP4R0TD8PU41		

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.

(b)	Legal name of custodian: STANDARD CHARTERED BANK			
(c)	Primary business name of custod STANDARD CHARTERED BANK	ian:		
(d)	The location of the custodian's of City: NEW YORK	ffice responsible for <i>custody</i> of the <i>private fu</i> State: New York	und's assets (city, state and country): Country: United States	
(e)	Is the custodian a related person	of your firm?		Yes No ○ •
(f)	If the custodian is a broker-deale	r, provide its SEC registration number (if ar	ny):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-c	ealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity identif</i>	ier (if any)
cus	todian, you must complete question Legal name of custodian:	ons (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private fu</i> todian.	und uses more than one
(c)	STATE STREET INSTITUTIONAL IN Primary business name of custod			
	STATE STREET INSTITUTIONAL IN	VESTMENT TRUST		
(d)	The location of the custodian's of City:	fice responsible for <i>custody</i> of the <i>private fu</i> State:	und's assets (city, state and country): Country:	
	BOSTON	Massachusetts	United States	Yes No
(e)	Is the custodian a related person	of your firm?		o
(f)	If the custodian is a broker-deale	r, provide its SEC registration number (if ar	ny):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-c	ealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity identif	ier (if any)
	-	ves," respond to questions (b) through g) be ons (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>private fund</i> todian.	<i>und</i> uses more than one
(b)	Legal name of custodian: THE BANK OF NOVA SCOTIA			
(c)	Primary business name of custod THE BANK OF NOVA SCOTIA	ian:		
(d)	The location of the custodian's of City: TORONTO	ffice responsible for <i>custody</i> of the <i>private fu</i> State:	und's assets (city, state and country): Country: Canada	
				Yes No
(e)	Is the custodian a related person	of your firm?		0 0
(f)	If the custodian is a broker deale	r provide its SEC registration number (if an	nv):	

L319ZG2KFGXZ61BMYR72		ve an Sec registration number, provide its legal entity lide	antiner (ii arry)
-	yes," respond to questions (b) through g) be ons (b) through (g) separately for each cust	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> codian.	te fund uses more than one
(b) Legal name of custodian: THE GOVERNOR AND COMPANY O	F THE BANK OF IRELAND		
(c) Primary business name of custod THE GOVERNOR AND COMPANY O			
(d) The location of the custodian's of	ffice responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
City: DUBLIN	State:	Country: Ireland	
			Yes No
(e) Is the custodian a related person	of your firm?		0 ⊚
(f) If the custodian is a broker-deale	er, provide its SEC registration number (if an	y):	
- CRD Number (if any):			
(g) If the custodian is not a broker-c Q2GQA2KF6XJ24W42G291	dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
-		elow for each custodian the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than one
custodian, you must complete questi	ons (b) through (g) separately for each cust	odian.	
(b) Legal name of custodian: UBS AG			
(c) Primary business name of custoo UBS AG	lian:		
(d) The location of the custodian's of	ffice responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	NOW TOTAL	omitod otdios	Yes No
(e) Is the custodian a related person	of your firm?		○ ●
(f) If the custodian is a broker-deale	er, provide its SEC registration number (if ar	y):	
- CRD Number (if any):			
(g) If the custodian is not a broker-o	dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its legal entity ide	entifier (if any)
-	yes," respond to questions (b) through g) be ons (b) through (g) separately for each cust	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> codian.	te fund uses more than one

CRD Number (if any):

(b) Legal name of custodian: UBS AG, LONDON BRANCH

	(c)	Primary business name of custodian: UBS AG, LONDON BRANCH				
	(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>private f</i>	fund's assets (city.	state and country):	
		City: Stat		Country:		
		LONDON		United Kingdom		Yes No
	(e)	Is the custodian a related person of your firm?				0 0
	(f)	If the custodian is a broker-dealer, provide its SE	EC registration number (if a	ny):		
		CRD Number (if any):				
	(g)	If the custodian is not a broker-dealer, or is a br BFM8T61CT2L1QCEMIK50	roker-dealer but does not h	ave an SEC registr	ation number, provide its <i>legal entity identifier</i> (if any)	
		the answer to question 25.(a) is "yes," respond to stodian, you must complete questions (b) through			rodian the <i>private fund</i> uses. If the <i>private fund</i> uses more th	nan one
	(b)	Legal name of custodian: UBS SECURITIES LLC				
	(c)	Primary business name of custodian: UBS SECURITIES LLC				
	(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>private f</i>	fund's assets (city,	state and country):	
		City:	State:		Country:	
		NEW YORK	New York	C	Inited States	Yes No
	(e)	Is the custodian a related person of your firm?				0 0
	(f)	If the custodian is a broker-dealer, provide its SE	EC registration number (if a	ny):		
		CRD Number (if any):				
	(g)	If the custodian is not a broker-dealer, or is a br T6FIZBDPKLYJKFCRVK44	roker-dealer but does not h	ave an SEC registr	ation number, provide its <i>legal entity identifier</i> (if any)	
Adminis	trato	<u>r</u>				
04 ()	-		C. O			Yes No
26. (a)	If the	the <i>private fund</i> use an administrator other than ge answer to question 26.(a) is "yes," respond to question (f) separately for each administrator.		low. If the <i>private i</i>	<i>fund</i> uses more than one administrator, you must complete	⊙ questions
	Add	itional Administrator Information : 1 Record(s)	Filed.			
		the answer to question 26.(a) is "yes," respond to estions (b) through (f) separately for each adminit	-	pelow. If the <i>privat</i>	e fund uses more than one administrator, you must complet	ie.
	(b)	Name of administrator: CITCO FUND SERVICES (CAYMAN ISLANDS) LTD				
	(c)	Location of administrator (city, state and country	():			
		City: JERSEY CITY	State: New Jersey		Country: United States	

Yes No

(d) Is the administrator a related person of your firm?

	(e) Does the administrator prepare and send investor account statements to the private fund's investors?
	O Yes (provided to all investors) O Some (provided to some but not all investors) O No (provided to no investors)
	(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." D. E. SHAW & CO., L.P.
27.	During 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 is not your <i>related person</i> ? O% Include only those assets where (i) such <i>person</i> 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.
Mar	<u>keters</u> Yes No
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 <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or 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 fund</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
Δ ΡΕ	RIVATE FUND
74. 11	
Info	rmation About the <i>Private Fund</i>
1.	(a) Name of the private fund:
	D. E. SHAW OCULUS PORTFOLIOS, L.L.C. (b) Private fund identification number:
	(b) Private fund identification number: (include the "805-" prefix also)
	805-9678869862
2.	Under the laws of what state or country is the <i>private fund</i> organized:
	State: Country: Delaware United States
3.	(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
	D. E. SHAW & CO., L.L.C.
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. Filing Adviser/Relying Adviser Name
	D. E. SHAW & CO., L.P.
4.	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.	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?
	(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> ?
	Name of <i>private fund</i> D. E. SHAW OCULUS FUND, L.L.C. 805-8788254428
	2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2

805-1858847007

D. E. SHAW OCULUS INTERNATIONAL FUND

(d) If yes, Name Private (include)	Yes a "feeder fund" in a master-feeder arrangement? what is the name and private fund identification number (if any) of the master fund in which this private fund invests? of private fund: a fund identification number: de the "805-" prefix also) a must complete question 6 for each master-feeder arrangement regardless of whether you are filling a single Schedule D, Section 7.B.(1) for the master-feeder ent or reporting on the funds separately.	No
-	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 the feeder funds answering questions:	er
Additiona	al Feeder Fund Information : 2 Record(s) Filed.	
	u 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 the feeder funds er the following questions: Name of the <i>private fund</i> : D. E. SHAW OCULUS FUND, L.L.C.	
(b)	Private fund identification number: (include the "805-" prefix also) 805-8788254428	
(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 D. E. SHAW & CO., L.L.C.	
(d) (2	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P.	
(d) (2 (e)	Filing Adviser/Relying Adviser Name	
	Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. 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	
(e) (f)	Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. 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 List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.	

		Cayman Islands	
	(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	
		D. E. SHAW & CO., L.L.C.	
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:	
	(d) (2)	Filing Adviser/Relying Adviser Name	
		D. E. SHAW & CO., L.P.	
	(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	
		Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY	
	("master fur	ourposes 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 nd"). 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 in ass (or series) invests substantially all of its assets in a single master fund.	
			Yes N
8.	(a) Is this p	private fund a "fund of funds"?	0 0
	•	ourposes 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 we so private funds or registered investment companies.	hether
	(b) If yes, o	does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0 0
			Yes N
9.		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 y market funds," to the extent provided in Instruction 6.e.)?	0 0
10.	What type o	of fund is the private fund?	
	• hedge fu	und $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :	
	NOTE: For c	definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.	
11.	Current aro	ess asset value of the <i>private fund</i> :	
	\$ 30,199,24		
<u>Ow</u>	<u>nership</u>		
12.	Minimum inv \$ 1,000,000	vestment commitment required of an investor in the <i>private fund</i> :	
		ort 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 document	s of the
13.	Approximate 355	e number of the <i>private fund's</i> beneficial owners:	
14.	What is the 12%	approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :	
15.	(a) What is 13%	the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:	Yes N
		rivate 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 od limited to qualified clients?	

16. What is the approximate percentage of the private fund beneficially owned by non-United States persons:

57	1 %		
Your A	Advisory Services		
17 (2)) Are you a subadviser to this <i>private fund</i> ?		s No
) 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 to question 17.(a) is "no	C lea," lea	
	this question blank.		
	No Information Filed		
		Ye	s 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?	С	•
(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 to question 18.(a leave this question blank.) is "r	10,"
	No Information Filed		
		Ye	s No
19. Are	e your <i>clients</i> solicited to invest in the <i>private fund</i> ?	C	•
NC	OTE: For purposes of this question, do not consider feeder funds of the private fund.		
20. Ap 0%	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Private	e Offering	V	
21. Ha	as the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	ye ⊙	s No
22 If v	yes, provide the <i>private fund's</i> Form D file number (if any):		
	orm D file number		
	21-64161		
02	21-64162		
Auditor		Υє	es No
23. (a)) (1) Are the <i>private fund's</i> 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?	Œ	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 auditing firm, you must complet (b) through (f) separately for each auditing firm.	e que:	stions
	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 compl questions (b) through (f) separately for each auditing firm.	ete	
	(b) Name of the auditing firm:		
	ERNST & YOUNG 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	No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	0	0
	If yes, Public Company Accounting Oversight Board-Assigned Number		

(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?

 \circ \circ

Il of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unques O No O Report Not Yet Received """ with the value of the value of the private fund use one or more prime brokers? """ as the private fund use one or more prime brokers? """ answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund use broker, you must complete questions (b) through (e) separately for each prime broker. Ilitional Prime Broker Information: 59 Record(s) Filed.	e report is available.
u check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the state of the private fund use one or more prime brokers? e answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund use broker, you must complete questions (b) through (e) separately for each prime broker.	,
the <i>private fund</i> use one or more prime brokers? e answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> use broker, you must complete questions (b) through (e) separately for each prime broker.	•
s the <i>private fund</i> use one or more prime brokers? e answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> use broker, you must complete questions (b) through (e) separately for each prime broker.	
e answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> use broker, you must complete questions (b) through (e) separately for each prime broker.	
e answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> use broker, you must complete questions (b) through (e) separately for each prime broker.	uses. If the <i>private fund</i> uses more than
itional Prime Broker Information : 59 Record(s) Filed.	
the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> e prime broker, you must complete questions (b) through (e) separately for each prime broker.	d uses. If the <i>private fund</i> uses more th
Name of the prime broker: BANK OF AMERICA CORPORATION	
If the prime broker is registered with the SEC, its registration number:	
- CRD Number (if any):	
Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	
·	
	Ye
the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i>	
e prime broker, you must complete questions (b) through (e) separately for each prime broker.	d uses. If the <i>private fund</i> uses more th
	d uses. If the <i>private fund</i> uses more th
e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	d uses. If the <i>private fund</i> uses more th
e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA N.A.	d uses. If the <i>private fund</i> uses more th
e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA N.A. If the prime broker is registered with the SEC, its registration number:	d uses. If the <i>private fund</i> uses more th
e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA N.A. If the prime broker is registered with the SEC, its registration number: CRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	d uses. If the <i>private fund</i> uses more th
e prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA N.A. If the prime broker is registered with the SEC, its registration number: CRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	d uses. If the <i>private fund</i> uses more th
	lame of the prime broker: ANK OF AMERICA CORPORATION The prime broker is registered with the SEC, its registration number: RD Number (if any): Ocation of prime broker's office used principally by the private fund (city, state and country):

Yes No

TORONTO	State:	Country: Canada	
	s custodian for some or all of the <i>private fund's</i> a		Yes No
(-)			
•	is "yes," respond to questions (b) through (e) be plete questions (b) through (e) separately for e	pelow for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e private fund uses more than
(b) Name of the prime broker: BANK OF NEW YORK MELLON			
(c) If the prime broker is registe	ered with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's of	fice used principally by the <i>private fund</i> (city, sta	ite and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	No. To K	otea etates	Yes No
(e) Does this prime broker act as	s custodian for some or all of the private fund's	assets?	⊙ ○
(b) Name of the prime broker: BARCLAYS BANK PLC(c) If the prime broker is registed - CRD Number (if any):	ered with the SEC, its registration number:		
(d) Location of prime broker's of	fice used principally by the <i>private fund</i> (city, sta		
	fice used principally by the <i>private fund</i> (city, sta State:	Country:	
(d) Location of prime broker's of City:			Yes No
(d) Location of prime broker's of City: LONDON		Country: United Kingdom	Yes No ⊙ O
(d) Location of prime broker's off City: LONDON (e) Does this prime broker act as: If the answer to question 24.(a) one prime broker, you must com (b) Name of the prime broker: BARCLAYS BANK PLC, NEW YO	State: s custodian for some or all of the <i>private fund's</i> and is "yes," respond to questions (b) through (e) applete questions (b) through (e) separately for each	Country: United Kingdom assets? Delow for each prime broker the private fund uses. If the	⊙ ○
(d) Location of prime broker's off City: LONDON (e) Does this prime broker act as: If the answer to question 24.(a) one prime broker, you must com (b) Name of the prime broker: BARCLAYS BANK PLC, NEW YO	State: s custodian for some or all of the <i>private fund's</i> and is "yes," respond to questions (b) through (e) the plete questions (b) through (e) separately for export of the private fund's and the private fund's are customized.	Country: United Kingdom assets? Delow for each prime broker the private fund uses. If the	⊙ ○
(d) Location of prime broker's off City: LONDON (e) Does this prime broker act as: If the answer to question 24.(a) one prime broker, you must com (b) Name of the prime broker: BARCLAYS BANK PLC, NEW YOO (c) If the prime broker is register- CRD Number (if any):	State: s custodian for some or all of the <i>private fund's</i> and is "yes," respond to questions (b) through (e) the plete questions (b) through (e) separately for export of the private fund's and the private fund's are customized.	Country: United Kingdom assets? Delow for each prime broker the private fund uses. If the ach prime broker.	⊙ ○
(d) Location of prime broker's of City: LONDON (e) Does this prime broker act as: If the answer to question 24.(a) one prime broker, you must com (b) Name of the prime broker: BARCLAYS BANK PLC, NEW YOO (c) If the prime broker is registered. CRD Number (if any): (d) Location of prime broker's of City:	State: s custodian for some or all of the <i>private fund's</i> and is "yes," respond to questions (b) through (e) to plete questions (b) through (e) separately for each of the series of t	Country: United Kingdom assets? Delow for each prime broker the private fund uses. If the ach prime broker. Ite and country): Country:	⊙ ○
(d) Location of prime broker's off City: LONDON (e) Does this prime broker act as: If the answer to question 24.(a) one prime broker, you must com (b) Name of the prime broker: BARCLAYS BANK PLC, NEW YO (c) If the prime broker is register CRD Number (if any): (d) Location of prime broker's off	State: s custodian for some or all of the <i>private fund's</i> and is "yes," respond to questions (b) through (e) is plete questions (b) through (e) separately for each of the series of t	Country: United Kingdom assets? Delow for each prime broker the private fund uses. If the ach prime broker.	⊙ ○

one prime broker, yo	ou must complete ques				
(b) Name of the print BARCLAYS CAPIT					
(c) If the prime bro 8 - 41342	ker is registered with th	ne SEC, its registration number:			
CRD Number (if	any):				
•	e broker's office used p	rincipally by the <i>private fund</i> (cit	•		
City: NEW YORK		State: New York	Country: United States		
(e) Does this prime	broker act as custodiar	n for some or all of the <i>private fu</i>	nd's assets?		Yes No
one prime broker, you (b) Name of the prime	ou must complete ques	espond to questions (b) through tions (b) through (e) separately	(e) below for each prime broker the <i>private</i> for each prime broker.	fund uses. If the private fund uses	more than
BARGIAYS CAPI					
		ne SEC, its registration number:			
	ker is registered with th	ne SEC, its registration number:			
(c) If the prime bro - CRD Number (if	ker is registered with th	ne SEC, its registration number: rincipally by the <i>private fund</i> (cit State:	y, state and country): Country: United Kingdom		
(c) If the prime broCRD Number (if an arrange)(d) Location of primodity:LONDON	ker is registered with thany): e broker's office used p	rincipally by the <i>private fund</i> (cit	Country: United Kingdom		Yes No ⊙ ೧
(c) If the prime bro CRD Number (if an	ker is registered with the any): e broker's office used publication broker act as custodian estion 24.(a) is "yes," reput must complete question broker:	rincipally by the <i>private fund</i> (cit State: n for some or all of the <i>private fu</i>	Country: United Kingdom nd's assets? (e) below for each prime broker the private	fund uses. If the private fund uses	⊙ ○
(c) If the prime bro CRD Number (if and its answer to que one prime broker, you will be some content of the prime broker and the prime	ker is registered with the any): e broker's office used publication broker act as custodian estion 24.(a) is "yes," report must complete question broker: ARKETS CORP.	rincipally by the <i>private fund</i> (cit State: In for some or all of the <i>private fu</i> espond to questions (b) through	Country: United Kingdom nd's assets? (e) below for each prime broker the private	fund uses. If the private fund uses	⊙ ○
(c) If the prime bro CRD Number (if and an	ker is registered with the any): e broker's office used publication and as custodian estion 24.(a) is "yes," report must complete question and broker: ARKETS CORP. ker is registered with the any of the angle of	rincipally by the <i>private fund</i> (cit State: In for some or all of the <i>private fu</i> espond to questions (b) through tions (b) through (e) separately	Country: United Kingdom nd's assets? (e) below for each prime broker the private	fund uses. If the private fund uses	⊙ ○
(c) If the prime bro CRD Number (if and it is a second or compared to the prime broker, you can be a second of prime broker, you can be a second or compared to the prime broker, you can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker. (c) If the prime broker, and can be a second or compared to the prime broker, and can be a second or compared to the prime broker.	ker is registered with the any): e broker's office used publication broker act as custodian estion 24.(a) is "yes," reput must complete quesume broker: ARKETS CORP. ker is registered with the any):	rincipally by the <i>private fund</i> (cit State: In for some or all of the <i>private fund</i> espond to questions (b) throughtions (b) through (e) separately the SEC, its registration number: rincipally by the <i>private fund</i> (cit	Country: United Kingdom nd's assets? (e) below for each prime broker the private for each prime broker.	fund uses. If the private fund uses	⊙ ○
(c) If the prime bro CRD Number (if and its content of the prime broker, yet) (d) Location of prime City: LONDON (e) Does this prime If the answer to que one prime broker, yet) (b) Name of the prime BMO CAPITAL Manual CRD Number (if and 16686)	ker is registered with the any): e broker's office used publication broker act as custodian estion 24.(a) is "yes," reput must complete quesume broker: ARKETS CORP. ker is registered with the any):	rincipally by the <i>private fund</i> (cit State: In for some or all of the <i>private functions</i> (b) through the separately the second to questions (b) through (e) separately the SEC, its registration number:	Country: United Kingdom nd's assets? (e) below for each prime broker the private for each prime broker.	fund uses. If the private fund uses	⊙ ○

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:

- CDD N - 1 - (15 -)			
CRD Number (if any):			
(d) Location of prime broker	's office used principally by the <i>private fund</i> (city, s	tate and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes N
(e) Does this prime broker a	ct as custodian for some or all of the <i>private fund</i> 's	s assets?	⊙ (
·	.(a) is "yes," respond to questions (b) through (e) complete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broke BNP PARIBAS SA	r:		
(c) If the prime broker is reç	gistered with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker'	's office used principally by the <i>private fund</i> (city, s	tate and country):	
City:	State:	Country:	
PARIS		France	
			Yes N
(e) Does this prime broker a	ct as custodian for some or all of the private fund's	s assets?	⊙ (
(b) Name of the prime broke BNP PARIBAS SECURITIE		each prime broker.	
(c) If the prime broker is rea	gistered with the SEC, its registration number:		
8 - 32682	gistor ou with the GES, its registration hamber.		
CRD Number (if any): 15794			
	's office used principally by the <i>private fund</i> (city, s		
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New Tork	Office States	Yes N
(e) Does this prime broker a	ct as custodian for some or all of the private fund's	s assets?	• (
, , ,	,		
•	(a) is "yes," respond to questions (b) through (e) complete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broke BOFA SECURITIES, INC.	r:		
(c) If the prime broker is rec 8 - 69787	gistered with the SEC, its registration number:		
CRD Number (if any):			

BNP PARIBAS

•	office used principally by the <i>private fund</i> (city, s		
City: NEW YORK	State: New York	Country: United States	
, , <u>-</u>			Yes No
e) Does this prime broker act	t as custodian for some or all of the private fund's	s assets?	⊙ ○
•	(a) is "yes," respond to questions (b) through (e) omplete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: CANADIAN IMPERIAL BANK			
(c) If the prime broker is regi	stered with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, s	tate and country):	
City: TORONTO	State:	Country: Canada	
			Yes No
(e) Does this prime broker act	t as custodian for some or all of the private fund's	s assets?	© 0
-	stered with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, s	tate and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	INCW FOIR	United States	Yes No
(e) Does this prime broker act	t as custodian for some or all of the private fund's	s assets?	• o
•	(a) is "yes," respond to questions (b) through (e) omplete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: CIBC WORLD MARKETS CC			
(c) If the prime broker is regis	stered with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, s	tate and country):	
City: WILMINGTON	State: Delaware	Country: United States	
W. E.MINGTON	Dolaware	ormed States	Yes No
(e) Does this prime broker act	t as custodian for some or all of the private fund's	s assets?	e 0

	es," respond to questions (b) through (e) liquestions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than
(b) Name of the prime broker: CITIBANK N.A.			
(c) If the prime broker is registered w	vith the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office u City:	sed principally by the <i>private fund</i> (city, sta	ate and country): Country:	
NEW YORK	New York	United States	
(e) Does this prime broker act as cust	codian for some or all of the private fund's	assets?	Yes No ⊙ O
one prime broker, you must complete (b) Name of the prime broker:	questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than
CITIGROUP GLOBAL MARKETS INC			
(c) If the prime broker is registered w 8 - 8177	vith the SEC, its registration number:		
CRD Number (if any): 7059			
	sed principally by the <i>private fund</i> (city, sta		
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker act as cus	odian for some or all of the <i>private fund's</i>	assets?	Yes No ⊙ O
•	es," respond to questions (b) through (e) questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than
CITIGROUP GLOBAL MARKETS LTD			
(c) If the prime broker is registered w	with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office u	sed principally by the <i>private fund</i> (city, sta	ate and country): Country:	
LONDON		United Kingdom	Yes No
(e) Does this prime broker act as cust	rodian for some or all of the private fund's	assets?	⊙ ○
	es," respond to questions (b) through (e) questions (b) through (e) separately for e	below for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than

(b) Name of the prime broker:

CREDIT SUISSE INTERNATIONAL

(c) II the prime broker is regist	tered with the SEC, its registration r	number:	
- CRD Number (if any):			
(d) Location of prime broker's c	office used principally by the <i>private</i>	fund (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	
(e) Does this prime broker act :	as custodian for some or all of the $ ho$	private fund's assets?	Yes ſ
'			
) is "yes," respond to questions (b) mplete questions (b) through (e) sep	through (e) below for each prime broker the <i>private fund</i> uses. If the private fund uses if the private fund uses.	he <i>private fund</i> uses more than
(b) Name of the prime broker: CREDIT SUISSE SECURITIES	S (EUROPE) LTD.		
(c) If the prime broker is regist	tered with the SEC, its registration r	number:	
- CRD Number (if any):			
(d) Location of prime broker's c	office used principally by the <i>private</i>	fund (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Voc. I
(e) Does this prime broker act	as custodian for some or all of the p	nrivate fund's assets?	Yes ſ
			•
	mplete questions (b) through (e) sep	through (e) below for each prime broker the <i>private fund</i> uses. If the private fund uses. If the private fund uses is a sparately for each prime broker.	ne private rana ases more than
	tered with the SEC, its registration r	number:	
CRD Number (if any): 816			
•	office used principally by the <i>private</i>		
City: NEW YORK	State: New York	Country: United States	
			Yes I
(e) Does this prime broker act a	as custodian for some or all of the p	private fund's assets?	•
8 - 422 CRD Number (if any): 816 (d) Location of prime broker's of City: NEW YORK	office used principally by the <i>private</i> State: New York	fund (city, state and country): Country: United States	
) is "yes," respond to questions (b) mplete questions (b) through (e) sep	through (e) below for each prime broker the <i>private fund</i> uses. If the private fund the prime broker.	
one prime broker, you must con (b) Name of the prime broker: DEUTSCHE BANK AG		parately for each prime broker.	
one prime broker, you must con (b) Name of the prime broker: DEUTSCHE BANK AG	mplete questions (b) through (e) sep	parately for each prime broker.	

City: FRANKFURT		State:	Country: Germany	
	as custodian for some or all of the	private fund's assets?	y	Yes No
e, Boes this prime broker det d	3 custodian for some of all of the	private rana s assets.		
•	is "yes," respond to questions (b		orime broker the <i>private fund</i> uses. If the <i>p</i> er.	orivate fund uses more than
(b) Name of the prime broker: DEUTSCHE BANK SECURITIES	S INC.			
(c) If the prime broker is registe 8 - 17822	ered with the SEC, its registration	number:		
CRD Number (if any): 2525				
(d) Location of prime broker's of City:	ffice used principally by the <i>private</i> State:	e fund (city, state and country)	: Country:	
NEW YORK	New York		United States	
(a) Does this prime broker act a	as custodian for some or all of the	nrivato fund's assets?		Yes No
——————————————————————————————————————		——————————————————————————————————————		⊙ ○
- CRD Number (if any):				
	ffice used principally by the <i>private</i> State:		:	
City: LONDON	State:	Country: United Kingdoi	m	
() 5				Yes No
(e) Does this prime broker act a	as custodian for some or all of the	private fund's assets?		
•	is "yes," respond to questions (b		orime broker the <i>private fund</i> uses. If the <i>p</i> or.	private fund uses more than
(b) Name of the prime broker: HSBC BANK PLC				
(c) If the prime broker is registed	ered with the SEC, its registration	number:		
- CRD Number (if any):				
(d) Location of prime broker's of	ffice used principally by the <i>privat</i> e	e fund (city, state and country)	:	
City: LONDON	State:	Country: United Kingdoi	m	
LOINDOIN		onited Kingdol	11	Yes No
(e) Does this prime broker act a	as custodian for some or all of the	private fund's assets?		⊙ ○

	ryes," respond to questions (b) through (e) belo te questions (b) through (e) separately for each	w for each prime broker the <i>private fund</i> uses. If the prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: HSBC SECURITIES (USA) INC.			
(c) If the prime broker is registered	with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	used principally by the <i>private fund</i> (city, state a	and country):	
City: WILMINGTON	State: Delaware	Country: United States	
(e) Does this prime broker act as cu	ustodian for some or all of the <i>private fund's</i> asse	ets?	Yes No
	yes," respond to questions (b) through (e) belo te questions (b) through (e) separately for each	w for each prime broker the <i>private fund</i> uses. If the prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: J. ARON & COMPANY			
(c) If the prime broker is registered	with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office City:	used principally by the <i>private fund</i> (city, state a	and country): Country:	
NEW YORK	New York	United States	Yes No
(e) Does this prime broker act as cu	ustodian for some or all of the <i>private fund's</i> asse	ets?	⊙ ○
	yes," respond to questions (b) through (e) belo te questions (b) through (e) separately for each	w for each prime broker the <i>private fund</i> uses. If the prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: J.P. MORGAN SECURITIES LLC			
(c) If the prime broker is registered	with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	used principally by the <i>private fund</i> (city, state a	and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker act as cu	ustodian for some or all of the <i>private fund's</i> asse	ets?	Yes No ⊙ ○
If the answer to question 24 (a) is:	'yes " respond to questions (h) through (a) halo	w for each prime broker the <i>private fund</i> uses. If the	o nrivato fundusos moro than
the answer to aucsticil 44.10/13	THE TOUR OF A PROPERTY OF A STATE OF THE PROPERTY OF THE PROPE		- p. ivalo idila doco illolo lilali

(b) Name of the prime broker: JPMORGAN CHASE BANK N.A.

-	u with the SEC, its registration number.		
CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	ate and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker act as c	ustodian for some or all of the <i>private fund's</i>	assets?	Yes No
	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: MACQUARIE BANK LTD			
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
	a conduction of the section of the s	ata and accepts A	
City:	e used principally by the <i>private fund</i> (city, st State:	ate and country): Country:	
SYDNEY		Australia	Yes No
(e) Does this prime broker act as c	ustodian for some or all of the private fund's	assets?	⊙
(b) Name of the prime broker: MERRILL LYNCH CAPITAL SERVI			
(c) If the prime broker is registered -	d with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	ate and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New TOLK	officed States	Yes No
(e) Does this prime broker act as c	ustodian for some or all of the <i>private fund's</i>	assets?	⊙ ○
•	"yes," respond to questions (b) through (e) ete questions (b) through (e) separately for a	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: MERRILL LYNCH INTERNATIONA	L		
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, st	ate and country):	

LONDON	Ur	nited Kingdom	
(e) Does this prime broker act as custodian	for some or all of the <i>private fund's</i> assu	ats?	Yes No
(c) Boes this prime Broker act as custodian			⊙ ○
If the answer to question 24.(a) is "yes," resone prime broker, you must complete question		w for each prime broker the <i>private fund</i> uses. If the p_i prime broker.	rivate fund uses more than
(b) Name of the prime broker: MIZUHO CAPITAL MARKETS LLC			
(c) If the prime broker is registered with the	SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's office used pr	, , , , , , ,	3 .	
City: WILMINGTON	State: Delaware	Country: United States	
(e) Does this prime broker act as custodian	for some or all of the <i>private fund's</i> assu	ats?	Yes No
(c) Does this prime broker act as custodian			• o
If the answer to question 24.(a) is "yes," resone prime broker, you must complete question		w for each prime broker the <i>private fund</i> uses. If the p_i prime broker.	rivate fund uses more than
(b) Name of the prime broker: MIZUHO SECURITIES USA LLC			
(c) If the prime broker is registered with the 8 - 37710	SEC, its registration number:		
CRD Number (if any): 19647			
(d) Location of prime broker's office used pr	ncipally by the <i>private fund</i> (city, state a	and country):	
City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Does this prime broker act as custodian	for some or all of the <i>private fund's</i> asse	ets?	© 0
		w for each prime broker the <i>private fund</i> uses. If the <i>p</i>	rivate fund uses more than
one prime broker, you must complete questi	ons (b) through (e) separately for each	prime broker.	
(b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATIONA	_ PLC		
(c) If the prime broker is registered with the	SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used pr			
City: LONDON		ountry: nited Kingdom	
			Yes No
(e) Does this prime broker act as custodian	for some or all of the private fund's asse	ets?	⊙ ○

Country:

City:

State:

(a) It the a mainer a breaker is regulated			
	red with the SEC, its registration number:		
8 - 15869 CRD Number (if any):			
8209			
(d) Location of prime broker's off	ice used principally by the <i>private fund</i> (city,	, state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New FOLK	offited States	Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fun</i>	ad's assets?	© 0
	is "yes," respond to questions (b) through (olete questions (b) through (e) separately fo	(e) below for each prime broker the <i>private fund</i> uses. If the portion or each prime broker.	private fund uses more than
(b) Name of the prime broker: MORGAN STANLEY BANK, N.A.			
	red with the SEC, its registration number:		
-	ed with the SEC, its registration number.		
CRD Number (if any):			
(d) Location of prime broker's off	ice used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	• '	
SALT LAKE CITY	Utah	United States	
			Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fun</i>	d's assets?	⊙ ೧
If the answer to question 24 (a)	is "ves." respond to guestions (b) through	(e) below for each prime broker the private fund uses. If the price of	private fund uses more than
•	plete questions (b) through (e) separately for	• • • • • • • • • • • • • • • • • • • •	
(b) Name of the prime broker:			
MORGAN STANLEY CAPITAL G	ROUP INC.		
(c) If the prime broker is registe	red with the SEC, its registration number:		
-			
- CRD Number (if any):			
	ice used principally by the private fund (city	state and country).	
(d) Location of prime broker's off	ice used principally by the <i>private fund</i> (city,	-	
	ice used principally by the <i>private fund</i> (city, State: New York	, state and country): Country: United States	
(d) Location of prime broker's off City: NEW YORK	State: New York	Country: United States	Yes No
(d) Location of prime broker's off City: NEW YORK	State:	Country: United States	Yes No ⊙ ○

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:

MORGAN STANLEY CAPITAL SERVICES, INC.

-			
CRD Number (if any):			
Location of prime broker's office u	used principally by the <i>private fund</i> (city, sta	ate and country):	
_	State:	Country:	
NEW YORK	New York	United States	Yes No
Does this prime broker act as cus	todian for some or all of the private fund's	assets?	⊙ ○
		·	private fund uses more than
·	NCIAL INC.		
If the prime broker is registered v	with the SEC, its registration number:		
8 - 39947			
•			
		-	
_	State: New York	Country: United States	
			Yes No
Does this prime broker act as cus	todian for some or all of the private fund's	assets?	⊙ ○
nrima brakar way must samplata		below for each prime broker the <i>private fund</i> uses. If the	private fund uses more than
prime broker, you must complete Name of the prime broker: NATIXIS NEW YORK BRANCH	es," respond to questions (b) through (e) e questions (b) through (e) separately for e		private fund uses more than
Name of the prime broker: NATIXIS NEW YORK BRANCH			private fund uses more than
Name of the prime broker: NATIXIS NEW YORK BRANCH	questions (b) through (e) separately for e		private fund uses more than
Name of the prime broker: NATIXIS NEW YORK BRANCH If the prime broker is registered v CRD Number (if any): Location of prime broker's office u	e questions (b) through (e) separately for each of the second of the sec	each prime broker.	private fund uses more than
Name of the prime broker: NATIXIS NEW YORK BRANCH If the prime broker is registered v CRD Number (if any): Location of prime broker's office u City:	e questions (b) through (e) separately for each with the SEC, its registration number: used principally by the <i>private fund</i> (city, state:	each prime broker. ate and country): Country:	private fund uses more than
Name of the prime broker: NATIXIS NEW YORK BRANCH If the prime broker is registered v CRD Number (if any): Location of prime broker's office u	e questions (b) through (e) separately for each of the second of the sec	each prime broker.	private fund uses more than
	City: NEW YORK Does this prime broker act as cus e answer to question 24.(a) is "y prime broker, you must complete Name of the prime broker: NATIONAL BANK OF CANADA FINA If the prime broker is registered v 8 - 39947 CRD Number (if any): 22698 Location of prime broker's office u City: NEW YORK Does this prime broker act as cus	City: State: NEW YORK New York Does this prime broker act as custodian for some or all of the <i>private fund's</i> e answer to question 24.(a) is "yes," respond to questions (b) through (e) prime broker, you must complete questions (b) through (e) separately for e Name of the prime broker: NATIONAL BANK OF CANADA FINANCIAL INC. If the prime broker is registered with the SEC, its registration number: 8 - 39947 CRD Number (if any): 22698 Location of prime broker's office used principally by the <i>private fund</i> (city, state: NEW YORK New York Does this prime broker act as custodian for some or all of the <i>private fund's</i>	New York New York United States Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? e 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 prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: NATIONAL BANK OF CANADA FINANCIAL INC. If the prime broker is registered with the SEC, its registration number: 8 - 39947 CRD Number (if any): 22698 Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:

City:	State:	Country:	
WILMINGTON	Delaware	United States	<u> </u>
		0	Yes No
(e) Does this prime broker act as custodian for so	me or all of the <i>private fund's</i>	s assets?	⊙ ○
If the answer to question 24.(a) is "yes," respond one prime broker, you must complete questions (kg)		below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: NATWEST MARKETS PLC			
(c) If the prime broker is registered with the SEC,	, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used principa	lly by the <i>private fund</i> (city, s	tate and country):	
City:	State:	Country:	
EDINBURGH		United Kingdom	
() 5			Yes No
(e) Does this prime broker act as custodian for so	me or all of the <i>private fund's</i>	s assets?	⊙ ○
If the answer to question 24.(a) is "yes," respond one prime broker, you must complete questions (b) Name of the prime broker: NOMURA GLOBAL FINANCIAL PRODUCTS INC.		below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(c) If the prime broker is registered with the SEC,	, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used principa	lly by the <i>private fund</i> (city, s	tate and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
(a) Dans this prime broken act as a victodian for acc	man ar all of the private fixed.	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	Yes No
(e) Does this prime broker act as custodian for so	ime or all of the <i>private runa</i> s	s assets?	⊙ ○
If the answer to question 24.(a) is "yes," respond one prime broker, you must complete questions (b)		below for each prime broker the <i>private fund</i> uses. If each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: NOMURA INTERNATIONAL PLC			
(c) If the prime broker is registered with the SEC,	, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used principa City: S	lly by the <i>private fund</i> (city, s tate:	tate and country): Country:	
LONDON	iaio.	United Kingdom	
			Yes No
(e) Does this prime broker act as custodian for so	me or all of the private fund's	s assets?	⊙

	If the prime broker is registered	ed with the SEC, its registration number:			
	8 - 15255	Č			
	CRD Number (if any): 4297				
	4297				
(d)	Location of prime broker's office	ce used principally by the private fund (city,	state and country):		
	City:	State: New York	Country:		
	NEW YORK	New TOLK	United States	Yes No)
(e)	Does this prime broker act as	custodian for some or all of the private fund	l's assets?	⊙ ○	
If t	he answer to question 24.(a) is	s "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	he <i>private fund</i> uses more than	
one	e prime broker, you must compl	lete questions (b) through (e) separately fo	r each prime broker.		
(b)	Name of the prime broker:				
(~)	RBC EUROPE LIMITED				
<i>(</i>)					
(C)	If the prime broker is registere	ed with the SEC, its registration number:			
	CRD Number (if any):				
(4)	Location of prime broker's office	so used principally by the private fund (city	state and sountry):		
(u)	City:	ce used principally by the <i>private fund</i> (city, State:	Country:		
	LONDON		United Kingdom		
					`
, ,				Yes No	
(e)	Does this prime broker act as	custodian for some or all of the <i>private fund</i>	l's assets?	Yes No	
(e)	Does this prime broker act as	custodian for some or all of the <i>private fund</i>	l's assets?		
	·			⊙ ○	
lf t	he answer to question 24.(a) is	s "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
lf t	he answer to question 24.(a) is		e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If t	he answer to question 24.(a) is e prime broker, you must compl Name of the prime broker:	s "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If t on∈	he answer to question 24.(a) is e prime broker, you must compl	s "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If tone	he answer to question 24.(a) is e prime broker, you must compl Name of the prime broker: ROYAL BANK OF CANADA	s "yes," respond to questions (b) through (lete questions (b) through (e) separately fo	e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If tone	he answer to question 24.(a) is e prime broker, you must compl Name of the prime broker: ROYAL BANK OF CANADA	s "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If tone	he answer to question 24.(a) is e prime broker, you must compl Name of the prime broker: ROYAL BANK OF CANADA	s "yes," respond to questions (b) through (lete questions (b) through (e) separately fo	e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If tone	he answer to question 24.(a) is prime broker, you must complete Name of the prime broker: ROYAL BANK OF CANADA If the prime broker is registered.	s "yes," respond to questions (b) through (lete questions (b) through (e) separately fo	e) below for each prime broker the <i>private fund</i> uses. If t	⊙ ○	
If tone (b)	he answer to question 24.(a) is prime broker, you must complete Name of the prime broker: ROYAL BANK OF CANADA If the prime broker is registered. CRD Number (if any):	s "yes," respond to questions (b) through (lete questions (b) through (e) separately fo	e) below for each prime broker the <i>private fund</i> uses. If t r each prime broker.	⊙ ○	
ftone	he answer to question 24.(a) is prime broker, you must complete Name of the prime broker: ROYAL BANK OF CANADA If the prime broker is registered. CRD Number (if any):	s "yes," respond to questions (b) through (lete questions (b) through (e) separately for	e) below for each prime broker the <i>private fund</i> uses. If t r each prime broker.	⊙ ○	
ftone	he answer to question 24.(a) is prime broker, you must complete Name of the prime broker: ROYAL BANK OF CANADA If the prime broker is registered. CRD Number (if any):	s "yes," respond to questions (b) through (lete questions (b) through (e) separately for ed with the SEC, its registration number:	e) below for each prime broker the <i>private fund</i> uses. If to reach prime broker.	he private fund uses more than	
If tone (b) (c)	he answer to question 24.(a) is a prime broker, you must complete Name of the prime broker: ROYAL BANK OF CANADA If the prime broker is registered. CRD Number (if any): Location of prime broker's office City: TORONTO	s "yes," respond to questions (b) through (lete questions (b) through (e) separately for ed with the SEC, its registration number:	e) below for each prime broker the <i>private fund</i> uses. If the reach prime broker. State and country): Country: Canada	⊙ ○	•

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:

ROYAL BANK OF CANADA, NEW YORK BRANCH

YYORK s this prime broker act as custodian uswer to question 24.(a) is "yes," re	rincipally by the <i>private fund</i> (city, state) State: New York In for some or all of the <i>private fund's</i> as espond to questions (b) through (e) be tions (b) through (e) separately for each	Country: United States ssets? elow for each prime broker the <i>private fund</i> uses. If the <i>pri</i>	Yes No ⊙ O
YYORK Is this prime broker act as custodian Isswer to question 24.(a) is "yes," respectively. The broker, you must complete question of the prime broker:	State: New York In for some or all of the <i>private fund's</i> as espond to questions (b) through (e) be	Country: United States ssets? elow for each prime broker the <i>private fund</i> uses. If the <i>pri</i>	⊙ ○
YYORK s this prime broker act as custodian swer to question 24.(a) is "yes," re the broker, you must complete quest the of the prime broker:	New York In for some or all of the <i>private fund's</i> as espond to questions (b) through (e) be	United States ssets? elow for each prime broker the <i>private fund</i> uses. If the <i>pri</i>	⊙ ○
s this prime broker act as custodian as stated as sustantial as the second seco	n for some or all of the <i>private fund's</i> as	elow for each prime broker the <i>private fund</i> uses. If the <i>pr</i>	⊚ ○
nswer to question 24.(a) is "yes," respectively. The broker, you must complete quest The of the prime broker:	espond to questions (b) through (e) be	elow for each prime broker the <i>private fund</i> uses. If the <i>pr</i>	⊚ ○
ne broker, you must complete quest	•	·	ivate fund uses more than
•			
e prime broker is registered with th	ne SEC, its registration number:		
3716			
Number (if any):			
9			
tion of prime broker's office used p	rincipally by the <i>private fund</i> (city, state	e and country):	
	State:	Country:	
YORK	New York	United States	
s this prime broker act as custodian	o for some or all of the private fund's as	cente?	Yes No
tills prime broker act as custodian	Tion some of all of the private rand's as	33013:	⊙ ○
e of the prime broker: NDINAVISKA ENSKILDA BANKEN AB			
e prime broker is registered with th	ie SEC, its registration number:		
Number (if any):			
·			
CKHOLM	State.	Sweden	
			Yes No
s this prime broker act as custodian	for some or all of the <i>private fund's</i> as	ssets?	⊙ ○
	Number (if any): tion of prime broker's office used p YORK this prime broker act as custodian swer to question 24.(a) is "yes," re e broker, you must complete quest e of the prime broker: NDINAVISKA ENSKILDA BANKEN AB e prime broker is registered with th Number (if any): tion of prime broker's office used p	Number (if any): tion of prime broker's office used principally by the private fund (city, state) State: YORK New York this prime broker act as custodian for some or all of the private fund's as swer to question 24.(a) is "yes," respond to questions (b) through (e) be e broker, you must complete questions (b) through (e) separately for each e of the prime broker: NDINAVISKA ENSKILDA BANKEN AB e prime broker is registered with the SEC, its registration number: Number (if any): tion of prime broker's office used principally by the private fund (city, state) State: CKHOLM	Number (If any): Ition of prime broker's office used principally by the private fund (city, state and country): State: Country: YORK New York United States this prime broker act as custodian for some or all of the private fund's assets? Swer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private prime broker, you must complete questions (b) through (e) separately for each prime broker. State: State: Country: Country: Country: Country: Country: Country: Country: Country: Country:

City	ry:	State:	Country:	
NE'	W YORK	New York	United States	
				Yes No
(e) Do	es this prime broker act as custodian for so	ome or all of the <i>private fund's</i> asse	5?	⊙ ○
	·	<u>'</u>		
If the c	answer to question 24 (a) is "yes " respons	I to questions (b) through (c) holo	for each prime broker the <i>private fund</i> uses. If the	a private funduces more than
	ime broker, you must complete questions (: private runa uses more than
one pri	ine broker, you must complete questions (b) through (c) separately for each	ine bloker.	
	me of the prime broker:			
517	ANDARD CHARTERED BANK			
(c) If t	the prime broker is registered with the SEC	, its registration number:		
-				
CR	RD Number (if any):			
(d) Loc	cation of prime broker's office used principa	illy by the <i>private fund</i> (city, state a	d country):	
City		State:	Country:	
	:W YORK	New York	United States	
				Yes No
(a) Da	soo this primes broken out on sustadion for as		20	
(e) Do	es this prime broker act as custodian for so	ome or all of the <i>private fund's</i> asse	5?	⊙ ○
			for each prime broker the private fund uses. If the	e private fund uses more than
one pri	ime broker, you must complete questions (b) through (e) separately for each	ime broker.	
(b) Nai	me of the prime broker:			
THI	IE BANK OF NOVA SCOTIA			
(c) If t	the prime broker is registered with the SEC	, its registration number:		
_				
CD	RD Number (if any):			
CK	Divumber (if arry).			
	cation of prime broker's office used principa			
City		State:	Country:	
ТО	PRONTO		Canada	
				Yes No
(e) Do	es this prime broker act as custodian for so	ome or all of the <i>private fund's</i> asse	5?	⊙ ○
If the a	answor to quostion 24 (a) is "yos " rosnono	I to questions (h) through (e) holo	for each prime broker the <i>private fund</i> uses. If the	nrivata fundusas mara than
	ime broker, you must complete questions (·	private fund uses more than
one pri	ine broker, you must complete questions (b) through (c) separately for each	ine bloker.	
	me of the prime broker:			
UB:	3S AG			
(c) If t	the prime broker is registered with the SEC	, its registration number:		
-				
CR	PD Number (if any):			
	-			
(d) Loc	cation of prime broker's office used principa	IIIV by the <i>private fund</i> (city_state a	d country):	
Cit	·	State:	Country:	
1	y: W York	New York	United States	
INL			Stated States	V N-
				Yes No
(e) Do	es this prime broker act as custodian for so	ome or all of the <i>private fund's</i> asse	5?	• c

(c) If the prime broker is regis	stered with the SEC, its registration numbe	er:	
-			
CRD Number (if any):			
(d) Location of prime broker's	office used principally by the <i>private fund</i>	(city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	,
(e) Does this prime broker act	as custodian for some or all of the private	e fund's assets?	
If the answer to question 24.(a	a) is "ves." respond to questions (b) throu	ugh (e) below for each prime broker the <i>private fund</i> uses. If th	e <i>private fund</i> uses more
	omplete questions (b) through (e) separate		o private rana acce mere
(b) Name of the prime broker: UBS SECURITIES LLC			
8 - 22651	stered with the SEC, its registration number	er:	
CRD Number (if any): 7654			
(d) Location of prime broker's	office used principally by the <i>private fund</i>	(city, state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New York	Sinted States	,
(e) Does this prime broker act	as custodian for some or all of the private	e fund's assets?	
	a) is "yes," respond to questions (b) throu omplete questions (b) through (e) separate	ugh (e) below for each prime broker the <i>private fund</i> uses. If the left for each prime broker.	e <i>private fund</i> uses more !
(b) Name of the prime broker: WELLS FARGO BANK, N.A.			
(c) If the prime broker is regis	stered with the SEC, its registration number	er:	
CRD Number (if any):			
	office used principally by the <i>private fund</i>		
	State:	Country: United States	
City:	South Dakota		
	South Dakota		,

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

 \odot

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

custodian, you must complete questions (b) through (g) separately for each custodian.

Additional Custodian Information: 74 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

If the answer to question 25.(a) is "yes," responsible to custodian, you must complete questions (b) to		w for each custodian the <i>private fund</i> uses. If the <i>pri</i> vian.	/ate fund uses more than one
(b) Legal name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC			
(c) Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC			
(d) The location of the custodian's office resp	onsible for <i>custody</i> of the <i>private fund</i>	s assets (city, state and country):	
City: WILMINGTON	State: Delaware	Country: United States	
			Yes No
(e) Is the custodian a <i>related person</i> of your f	rm?		0 0
(f) If the custodian is a broker-dealer, provid	e its SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or 549300HDKZE50HZZOG90	is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
custodian, you must complete questions (b) t		w for each custodian the <i>private fund</i> uses. If the <i>pri</i> vian.	/ate fund uses more than one
(b) Legal name of custodian: AMERICAN STOCK TRANSFER & TRUST COI	ЛРANY, LLC		
(c) Primary business name of custodian: AMERICAN STOCK TRANSFER & TRUST COI	ЛРANY, LLC		
(d) The location of the custodian's office resp	onsible for <i>custody</i> of the <i>private fund</i>	s assets (city, state and country):	
City: BROOKLYN	State: New York	Country: United States	
BROOKETT	New Tork	Office States	Yes No
(e) Is the custodian a <i>related person</i> of your f	rm?		○ ⊙
(f) If the custodian is a broker-dealer, provid	e its SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or 254900TS5EWP83BEOU02	is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
If the answer to question 25.(a) is "yes," responsible custodian, you must complete questions (b) to the complete questions (b) to the custodian: BANCO SANTANDER, S.A.		w for each custodian the <i>private fund</i> uses. If the <i>pri</i> v ian.	vate fund uses more than one
(c) Primary business name of custodian: BANCO SANTANDER, S.A.			
(d) The location of the custodian's office resp	•		
City: SANTANDER	State:	Country: Spain	

(f)	•			○ ⊙
(1)	If the custodian is a broker-dealer, prov	ide its SEC registration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, 5493006QMFDDMYWIAM13	or is a broker-dealer but does not have	an SEC registration number, provide its <i>legal entity id</i>	entifier (if any)
	he answer to question 25.(a) is "yes," restodian, you must complete questions (b)		w for each custodian the <i>private fund</i> uses. If the <i>priva</i>	ate fund uses more than one
(b)	Legal name of custodian: BANK OF AMERICA CORPORATION			
(c)	Primary business name of custodian: BANK OF AMERICA CORPORATION			
(d)	The location of the custodian's office re	•		
	City: WILMINGTON	State: Delaware	Country: United States	
(e)	Is the custodian a related person of your	r firm?		Yes No
(f)	If the custodian is a broker-dealer, prov	ride its SEC registration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, 9DJT3UXIJIZJI4WXO774	or is a broker-dealer but does not have	an SEC registration number, provide its legal entity ide	entifier (if any)
	he answer to question 25.(a) is "yes," restodian, you must complete questions (b)		w for each custodian the <i>private fund</i> uses. If the <i>priva</i>	ate fund uses more than one
(b)	Legal name of custodian: BANK OF AMERICA, N.A.			
(c)	Primary business name of custodian: BANK OF AMERICA, N.A.			
` ,				
(d)	The location of the custodian's office re			
(d)	The location of the custodian's office re City: NEW YORK	sponsible for <i>custody</i> of the <i>private fund</i> State: New York	's assets (city, state and country): Country: United States	Vos No
	City:	State: New York	Country:	Yes No ○ ⊙
(e)	City: NEW YORK	State: New York r firm?	Country: United States	
(e)	City: NEW YORK Is the custodian a <i>related person</i> of your	State: New York r firm?	Country: United States	

Yes No

	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throu			dian the <i>private fund</i> uses. If	the <i>private fund</i> uses more the	nan one
(b)	Legal name of custodian: BANK OF MONTREAL					
(c)	Primary business name of custodian: BANK OF MONTREAL					
(d)	The location of the custodian's office responsil	ible for <i>custody</i> of the <i>privat</i> e	e fund's assets (city, st	ate and country):		
	City: TORONTO	State:		Country: Canada		
(e)	Is the custodian a <i>related person</i> of your firm?					Yes No
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if	any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a NQQ6HPCNCCU6TUTQYE16	a broker-dealer but does not	have an SEC registrat	tion number, provide its <i>legal</i>	entity identifier (if any)	
cus	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throu Legal name of custodian: BANK OF NEW YORK MELLON			dian the <i>private fund</i> uses. If	the <i>private fund</i> uses more th	nan one
(c)	Primary business name of custodian: BANK OF NEW YORK MELLON					
(d)	The location of the custodian's office responsil	ible for <i>custody</i> of the <i>private</i>	e fund's assets (city, st	ate and country):		
	City: NEW YORK	State: New York		untry: ited States		Yes No
(e)	Is the custodian a related person of your firm?	,				0 0
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if	any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a HPFHU00Q28E4N0NFVK49	a broker-dealer but does not	have an SEC registrat	tion number, provide its <i>legal</i>	entity identifier (if any)	
	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throu			dian the <i>private fund</i> uses. If	the <i>private fund</i> uses more th	nan one
(b)	Legal name of custodian: BARCLAYS BANK PLC					
(c)	Primary business name of custodian: BARCLAYS BANK PLC					
(d)	The location of the custodian's office responsil		_	ate and country):		
	City: S LONDON	State:	Country: United Kingdom			
(e)	Is the custodian a <i>related person</i> of your firm?)				Yes No

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any):				
- CRD Number (if any):				
	one named (ii ary).			
(a)	If the custodian is not a broker dealer, or is a	orokor doolor but doos not boyo o	n SEC registration number, provide its legal entity identifier (if any)	
(9)	G5GSEF7VJP517OUK5573	or oker-dealer but does not have a	if Sec registration number, provide its legal entity identifier (if any)	
	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more in.	than one
(b)	Legal name of custodian: BARCLAYS BANK PLC, NEW YORK BRANCH			
(c)	Primary business name of custodian: BARCLAYS BANK PLC, NEW YORK BRANCH			
(d)	The location of the custodian's office responsib	le for custody of the private fund's	assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW YORK	New TOLK	officed States	Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			0 0
(6)				
(1)	If the custodian is a broker-dealer, provide its 3	sec registration number (ii any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a G5GSEF7VJP5I7OUK5573	oroker-dealer but does not have a	n SEC registration number, provide its <i>legal entity identifier</i> (if any)	
	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more in.	than one
(b)	Legal name of custodian: BARCLAYS CAPITAL INC.			
(c)	Primary business name of custodian: BARCLAYS CAPITAL INC.			
(d)	The location of the custodian's office responsib	le for <i>custody</i> of the <i>private fund's</i>	assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United 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, provide its \$ 8 - 41342	SEC registration number (if any):		
	CRD Number (if any):			
	19714			
(g)	If the custodian is not a broker-dealer, or is a l	oroker-dealer but does not have a	n SEC registration number, provide its legal entity identifier (if any)	

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.

(b)	Legal name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.			
(c)	Primary business name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.			
(d)	The location of the custodian's office	responsible for <i>custody</i> of the <i>pr</i>	rivate fund's assets (city, state and country):	
	City: LONDON	State:	Country: United Kingdom	
(e)	Is the custodian a related person of you	our firm?		Yes No
(f)	If the custodian is a broker-dealer, pr	ovide its SEC registration number	er (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-deale K9WDOH4D2PYBSLSOB484	r, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity ider	ntifier (if any)
	the answer to question 25.(a) is "yes," stodian, you must complete questions		gh g) below for each custodian the <i>private fund</i> uses. If the <i>private</i> ach custodian.	e fund uses more than one
(b)	Legal name of custodian: BLACK ROCK, INC.			
(c)	Primary business name of custodian: BLACK ROCK, INC.			
(d)	The location of the custodian's office	responsible for <i>custody</i> of the <i>pr</i>	rivate fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of you	our firm?		Yes No
(f)	If the custodian is a broker-dealer, pr	ovide its SEC registration number	er (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-deale 549300LRIF3NWCU26A80	r, or is a broker-dealer but does	not have an SEC registration number, provide its <i>legal entity ider</i>	ntifier (if any)
	the answer to question 25.(a) is "yes," stodian, you must complete questions	_	gh g) below for each custodian the <i>private fund</i> uses. If the <i>private</i> ach custodian.	e fund uses more than one
(b)	Legal name of custodian: BMO CAPITAL MARKETS CORP.			
(c)	Primary business name of custodian: BMO CAPITAL MARKETS CORP.			
(d)			rivate fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related person of you	our firm?		Yes No
(f)	If the custodian is a broker-dealer, pr	ovide its SEC registration number	er (if any):	

(g) If the custodian is not a brok	er-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity identification	fier (if any)
	is "yes," respond to questions (b) through g) estions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the <i>private t</i> ustodian.	<i>fund</i> uses more than one
(b) Legal name of custodian: BNP PARIBAS			
(c) Primary business name of cus BNP PARIBAS	stodian:		
(d) The location of the custodian	's office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related per	son of your firm?		Yes No
(f) If the custodian is a broker-d	ealer, provide its SEC registration number (if	any):	
CRD Number (if any):			
(g) If the custodian is not a brok ROMUWSFPU8MPRO8K5P83	er-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity identia	fier (if any)
	is "yes," respond to questions (b) through g) estions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the <i>private f</i> ustodian.	<i>fund</i> uses more than one
BNP PARIBAS SA			
(c) Primary business name of cus BNP PARIBAS SA	stodian:		
(d) The location of the custodian	's office responsible for <i>custody</i> of the <i>private</i>	e fund's assets (city, state and country):	
City: PARIS	State:	Country: France	
			Yes No
(e) Is the custodian a related per	son of your firm?		၀ ၜ
(f) If the custodian is a broker-d	ealer, provide its SEC registration number (if	any):	
CRD Number (if any):			
(g) If the custodian is not a brok ROMUWSFPU8MPRO8K5P83	er-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity identia	fier (if any)
If the answer to question 25 (a)	is "vas " raspand to quastions (h) through a)	below for each custodian the <i>private fund</i> uses. If the <i>private f</i>	funduses more than one
•	estions (b) through (g) separately for each c		End dood more than one

8 - 34344

16686

CRD Number (if any):

(b) Legal name of custodian:

BNP PARIBAS SECURITIES CORP.

(c)	Primary business name of custodian: BNP PARIBAS SECURITIES CORP.				
(d)	The location of the custodian's office responsible City: NEW YORK	le for <i>custody</i> of the <i>private fund's</i> assets (city State: New York	y, state and country): Country: United States		
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No	
(f)	If the custodian is a broker-dealer, provide its \$8 - 32682 CRD Number (if any): 15794	SEC registration number (if any):			
(g)	If the custodian is not a broker-dealer, or is a b	oroker-dealer but does not have an SEC regis	stration number, provide its legal entity identifier (if any)		
(b) (c) (d)	ne answer to question 25.(a) is "yes," respond to todian, you must complete questions (b) through Legal name of custodian: BOFA SECURITIES, INC. Primary business name of custodian: BOFA SECURITIES, INC. The location of the custodian's office responsible City: NEW YORK Is the custodian a related person of your firm?	h (g) separately for each custodian.	ustodian the <i>private fund</i> uses. If the <i>private fund</i> uses more the year of the private fund uses more the year of	Yes No	
(f)	If the custodian is a broker-dealer, provide its \$8 - 69787 CRD Number (if any): 283942		stration number, provide its <i>legal entity identifier</i> (if any)		,
			, , , , , , , , , , , , , , , , , , , ,		
cust	todian, you must complete questions (b) through Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE		ustodian the <i>private fund</i> uses. If the <i>private fund</i> uses more th	nan one	
(c)	Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERCE				
	The location of the custodian's office responsible City: TORONTO	le for <i>custody</i> of the <i>private fund's</i> assets (city State:	y, state and country): Country: Canada	Yes No	0
(e)	Is the custodian a <i>related person</i> of your firm?			0 0)
(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if any):			
	CRD Number (if any):				

	he answer to question 25.(a) is "yes," restodian, you must complete questions (b)		elow for each custodian the <i>private fund</i> uses. If the p odian.	rivate fund uses more than one
(b)	Legal name of custodian: CANADIAN IMPERIAL BANK OF COMMERC	E, NY BRANCH		
(c)	Primary business name of custodian: CANADIAN IMPERIAL BANK OF COMMERC	E, NY BRANCH		
(d)	The location of the custodian's office res	oonsible for <i>custody</i> of the <i>private fu</i> State:	nd's assets (city, state and country): Country:	
	NEW YORK	New York	United States	
(e)	Is the custodian a <i>related person</i> of your	firm?		Yes No
(f)	If the custodian is a broker-dealer, provide	de its SEC registration number (if ar	y):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, of 549300H8L46OOZOFHU82	r is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entit</i> y	videntifier (if any)
cus	todian, you must complete questions (b) Legal name of custodian: CIBC WORLD MARKETS CORP.		elow for each custodian the <i>private fund</i> uses. If the <i>p</i> odian.	nvate luna uses more than one
(c)	Primary business name of custodian: CIBC WORLD MARKETS CORP.			
(d)	The location of the custodian's office res	·		
	City: WILMINGTON	State: Delaware	Country: United States	
(e)	Is the custodian a related person of your	firm?		Yes No
(f)	If the custodian is a broker-dealer, provide	de its SEC registration number (if ar	y):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, of 549300445CON3DBMU275	r is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entit</i> y	identifier (if any)
	ne answer to question 25.(a) is "yes," restodian, you must complete questions (b)		elow for each custodian the <i>private fund</i> uses. If the <i>p</i> rodian.	rivate fund uses more than one
(b)	Legal name of custodian: CITIBANK N.A.			

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

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(c) Primary business name of custodian:

CITIBANK N.A.

City:	office responsible for <i>custody</i> of the <i>private</i> State:	Country:	
NEW YORK	New York	United States	Yes No
e) Is the custodian a related perso	<i>n</i> of your firm?		0 0
f) If the custodian is a broker-dea	ler, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broker E570DZWZ7FF32TWEFA76	-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its <i>legal entity id</i>	lentifier (if any)
	"yes," respond to questions (b) through g) tions (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>priva</i> istodian.	ate fund uses more than one
(b) Legal name of custodian: CITIGROUP GLOBAL MARKETS II	NC.		
(c) Primary business name of custo CITIGROUP GLOBAL MARKETS II			
(d) The location of the custodian's	office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
	on of very firms?		Yes No
(e) Is the custodian a related perso	noi your ilim?		0 @
••	ler, provide its SEC registration number (if a	any):	
8 - 8177 CRD Number (if any):			
7059			
(g) If the custodian is not a broker	-dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its legal entity id	lentifier (if any)
	"yes," respond to questions (b) through g) tions (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>priva</i> istodian.	ate fund uses more than one
CITIGROUP GLOBAL MARKETS L'	ΓD		
(c) Primary business name of custo CITIGROUP GLOBAL MARKETS L			
(d) The location of the custodian's City:	office responsible for <i>custody</i> of the <i>private</i> State:	fund's assets (city, state and country): Country:	
LONDON		United Kingdom	Yes No
(e) Is the custodian a related perso	<i>n</i> of your firm?		C @
(f) If the custodian is a broker-dea	ler, provide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broker XKZZ2JZF41MRHTR1V493	dealer, or is a broker-dealer but does not h	nave an SEC registration number, provide its <i>legal entity id</i>	lentifier (if any)

	a) is "yes," respond to questions (b) through g questions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the $ ho$ ustodian.	private fund uses more than one
(b) Legal name of custodian: COINBASE CUSTODY TRUS	T COMPANY, LLC		
(c) Primary business name of COINBASE CUSTODY TRUS			
(d) The location of the custodi	an's office responsible for <i>custody</i> of the <i>private</i>	e fund's assets (city state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Is the custodian a <i>related</i> p	person of your firm?		0 0
(f) If the custodian is a broker	dealer, provide its SEC registration number (if	any):	
CRD Number (if any):			
(g) If the custodian is not a br 549300ZHW72BH3BM4Q58		have an SEC registration number, provide its legal entity	y identifier (if any)
	a) is "yes," respond to questions (b) through g questions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the $ ho$ ustodian.	private fund uses more than one
(b) Legal name of custodian: COMPUTERSHARE LIMITED			
(c) Primary business name of COMPUTERSHARE LIMITED	custodian:		
	an's office responsible for <i>custody</i> of the <i>private</i>		
City: CHICAGO	State: Illinois	Country: United States	
			Yes No
(e) Is the custodian a related p	person of your firm?		○ ●
(f) If the custodian is a broker	-dealer, provide its SEC registration number (if	any):	
- CRD Number (if any):			
(g) If the custodian is not a br	oker-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity	y identifier (if any)
•	a) is "yes," respond to questions (b) through g questions (b) through (g) separately for each o	below for each custodian the <i>private fund</i> uses. If the <i>p</i> ustodian.	private fund uses more than one
(b) Legal name of custodian:			
CREDIT SUISSE INTERNATI	ONAL		
(c) Primary business name of CREDIT SUISSE INTERNATI			
(d) The location of the custodi	an's office responsible for <i>custody</i> of the <i>private</i>	e fund's assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	

(e)	Is the custodian a related person of your firm?		0	⊙
(f)	If the custodian is a broker-dealer, provide its SEC rec	gistration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broker-E58DKGMJYYYJLN8C3868	dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	he answer to question 25.(a) is "yes," respond to questodian, you must complete questions (b) through (g) s	stions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than separately for each custodian.	n one	
(b)	Legal name of custodian: CREDIT SUISSE SECURITIES (EUROPE) LTD.			
(c)	Primary business name of custodian: CREDIT SUISSE SECURITIES (EUROPE) LTD.			
(d)	The location of the custodian's office responsible for a	custody of the private fund's assets (city, state and country):		
	City: State: LONDON	Country: United Kingdom		
(e)	Is the custodian a <i>related person</i> of your firm?		Yes O	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC reg	gistration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broker-DL6FFRRLF74S01HE2M14	dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	he answer to question 25.(a) is "yes," respond to questodian, you must complete questions (b) through (g) s	stions (b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than separately for each custodian.	n one	
(b)	Legal name of custodian: CREDIT SUISSE SECURITIES (USA) LLC			
(c)	Primary business name of custodian: CREDIT SUISSE SECURITIES (USA) LLC			
(d)	The location of the custodian's office responsible for a	custody of the private fund's assets (city, state and country):		
	City: State NEW YORK New	York Country: United States		
(e)	Is the custodian a <i>related person</i> of your firm?		Yes O	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC reg 8 - 422	gistration number (if any):		
	CRD Number (if any): 816			
(g)	If the custodian is not a broker-dealer, or is a broker-	dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		

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

Yes No

custodian, you must comple	te questions (b) through (g) sepa	arately for each custodiar		
(b) Legal name of custodiar DEUTSCHE BANK AG	n:			
(c) Primary business name DEUTSCHE BANK AG	of custodian:			
(d) The location of the customer (d)	odian's office responsible for <i>cust</i>	tody of the private fund's a	ssets (city, state and country):	
City: FRANKFURT		State:	Country: Germany	
(e) Is the custodian a relate	ed person of your firm?			Yes No
(f) If the custodian is a bro	ker-dealer, provide its SEC regist	ration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a 7LTWFZYICNSX8D621K8		aler but does not have ar	SEC registration number, provide its legal entity	identifier (if any)
•	5.(a) is "yes," respond to questio te questions (b) through (g) sepa		or each custodian the <i>private fund</i> uses. If the <i>pr</i>	rivate fund uses more than one
(b) Legal name of custodiar DEUTSCHE BANK SECUR				
(c) Primary business name DEUTSCHE BANK SECUR				
(d) The location of the customer (d) (d) (d) (d) (d) (d) (e) (d) (e) (d) (e) (e) (e) (e) (e) (e) (e) (e) (e) (e	odian's office responsible for cust	tody of the <i>private fund's</i> a	ssets (city, state and country):	
City: NEW YORK	State: New Yo	rk	Country: United States	
(e) Is the custodian a <i>relate</i>	ed person of your firm?			Yes No
(c) is the custodian a relate	ca person or your min:			0 @
(f) If the custodian is a bro 8 - 17822	ker-dealer, provide its SEC regist	ration number (if any):		
CRD Number (if any): 2525				
(g) If the custodian is not a	broker-dealer, or is a broker-dealer	aler but does not have ar	SEC registration number, provide its legal entity	identifier (if any)
· ·	5.(a) is "yes," respond to questio te questions (b) through (g) sepa		or each custodian the <i>private fund</i> uses. If the <i>pr</i>	rivate fund uses more than one
(b) Legal name of custodiar EQUINITI TRUST COMPA				
(c) Primary business name EQUINITI TRUST COMPA				
(d) The location of the customer	odian's office responsible for <i>cust</i>	tody of the private fund's a	ssets (city, state and country):	
City: BOSTON	State: Massachusetts		Country: United States	
-				Yes No
(e) Is the custodian a relate	ed person of your firm?			○ ●

	CRD Number (if any):				
(g)	If the custodian is not a broker-dea	aler, or is a broker-dealer but dc	es not have an SEC registration number, pr	rovide its <i>legal entity identifier</i> (if any)	
	e answer to question 25.(a) is "yes odian, you must complete question		ough g) below for each custodian the <i>private</i> each custodian.	e fund uses. If the <i>private fund</i> uses mor	re than one
	Legal name of custodian: FEDERATED HERMES, INC.				
	Primary business name of custodian FEDERATED HERMES, INC.	n:			
d)	The location of the custodian's offic	ce responsible for <i>custody</i> of the	private fund's assets (city, state and country	y):	
	City:	State:	Country:		
	PITTSBURGH	Pennsylvania	United St	ates	
∋)	Is the custodian a related person of	your firm?			Yes O
Ē)	If the custodian is a broker-dealer,	provide its SEC registration num	nber (if any):		
	- CRD Number (if any):				
	If the custodian is not a broker-dea	aler, or is a broker-dealer but do	es not have an SEC registration number, pr	rovide its <i>legal entity identifier</i> (if any)	
		aler, or is a broker-dealer but do	es not have an SEC registration number, pr	rovide its <i>legal entity identifier</i> (if any)	
	If the custodian is not a broker-dea				ro than and
f th	If the custodian is not a broker-dea	s," respond to questions (b) thro	ough g) below for each custodian the <i>private</i>		re than one
f th ust b)	If the custodian is not a broker-dea R05X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yes	s," respond to questions (b) thro	ough g) below for each custodian the <i>private</i>		re than one
f thustb)	If the custodian is not a broker-dea R05X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yes odian, you must complete question Legal name of custodian:	s," respond to questions (b) throns (b) throns (b) through (g) separately for	ough g) below for each custodian the <i>private</i>		re than one
thusto)	If the custodian is not a broker-dear R05X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yestodian, you must complete question Legal name of custodian: GOLDMAN SACHS INTERNATIONAL Primary business name of custodian GOLDMAN SACHS INTERNATIONAL The location of the custodian's office	s," respond to questions (b) throus (b) throus (b) through (g) separately for n:	ough g) below for each custodian the <i>private</i> each custodian. private fund's assets (city, state and country)	e fund uses. If the <i>private fund</i> uses mor	re than one
thust)	If the custodian is not a broker-dead RO5X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yestodian, you must complete question Legal name of custodian: GOLDMAN SACHS INTERNATIONAL Primary business name of custodian GOLDMAN SACHS INTERNATIONAL	s," respond to questions (b) throns (b) throns (b) through (g) separately for no	ough g) below for each custodian the <i>private</i> each custodian.	e fund uses. If the <i>private fund</i> uses mor	
thust (c)	If the custodian is not a broker-dead RO5X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yestodian, you must complete question Legal name of custodian: GOLDMAN SACHS INTERNATIONAL Primary business name of custodian GOLDMAN SACHS INTERNATIONAL The location of the custodian's official City:	s," respond to questions (b) throus (b) throus (b) through (g) separately for n: ce responsible for <i>custody</i> of the State:	ough g) below for each custodian the <i>private</i> each custodian. private fund's assets (city, state and country	e fund uses. If the <i>private fund</i> uses mor	Yes
f thustb)	If the custodian is not a broker-dead RO5X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yestodian, you must complete question Legal name of custodian: GOLDMAN SACHS INTERNATIONAL Primary business name of custodian GOLDMAN SACHS INTERNATIONAL The location of the custodian's official City: LONDON	s," respond to questions (b) throus (b) through (g) separately for n: ce responsible for <i>custody</i> of the State: f your firm?	ough g) below for each custodian the <i>private</i> each custodian. private fund's assets (city, state and country: Country: United Kingdom	e fund uses. If the <i>private fund</i> uses mor	Yes
f th cust b) c)	If the custodian is not a broker-dear R05X5UQ874RGFF7HHD84 e answer to question 25.(a) is "yestodian, you must complete question Legal name of custodian: GOLDMAN SACHS INTERNATIONAL Primary business name of custodian GOLDMAN SACHS INTERNATIONAL The location of the custodian's officity: LONDON Is the custodian a related person of	s," respond to questions (b) throus (b) through (g) separately for n: ce responsible for <i>custody</i> of the State:	ough g) below for each custodian the <i>private</i> each custodian. private fund's assets (city, state and country: Country: United Kingdom	e fund uses. If the <i>private fund</i> uses mor	Yes

(b) Legal name of custodian:

(c)	Primary business name of custodian: HSBC BANK BERMUDA LIMITED		
(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: HAMILTON State: Country: Bermuda		
(e)	Is the custodian a related person of your firm?	Yes	
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) OW1U67PTV5WY3WYWKD79		
	he 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 that stodian, you must complete questions (b) through (g) separately for each custodian.	an one	Э
(b)	Legal name of custodian: HSBC BANK PLC		
(c)	Primary business name of custodian: HSBC BANK PLC		
(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: LONDON United Kingdom		
(e)	Is the custodian a related person of your firm?	Yes	
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) MP6I5ZYZBEU3UXPYFY54		
cus	he 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 <i>private fund</i> uses more that stodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: HSBC BANK USA, N.A.	an one	٥)
(c)	Primary business name of custodian: HSBC BANK USA, 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: NEW YORK New York United States		
(e)	Is the custodian a related person of your firm?	Yes O	O.
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		

HSBC BANK BERMUDA LIMITED

If the answer to question 25.(a) is "yes," rescustodian, you must complete questions (b)		for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uan.	uses more than one
(b) Legal name of custodian: HSBC SECURITIES (USA) INC.			
(c) Primary business name of custodian: HSBC SECURITIES (USA) INC.			
(d) The location of the custodian's office res	sponsible for <i>custody</i> of the <i>private fund's</i>	s assets (city, state and country):	
City: WILMINGTON	State: Delaware	Country: United 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, provi	de its SEC registration number (if any):		
-			
CRD Number (if any):			
(g) If the custodian is not a broker-dealer, of CYYGQCGNHMHPSMRL3R97	or is a broker-dealer but does not have a	an SEC registration number, provide its <i>legal entity identifier</i> (i	if any)
custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC.		for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses. If the <i>private fund</i> uses.	uses more than one
custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC.		·	uses more than one
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. 	through (g) separately for each custodia	an.	uses more than one
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State:	an. s assets (city, state and country): Country:	uses more than one
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i>	s assets (city, state and country):	
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: WILMINGTON 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware	an. s assets (city, state and country): Country:	ves No.
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware firm?	an. s assets (city, state and country): Country:	Yes No
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: WILMINGTON (e) Is the custodian a <i>related person</i> of your 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware firm?	an. s assets (city, state and country): Country:	Yes No
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: WILMINGTON (e) Is the custodian a <i>related person</i> of your 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware firm?	an. s assets (city, state and country): Country:	Yes No
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: WILMINGTON (e) Is the custodian a <i>related person</i> of your (f) If the custodian is a broker-dealer, provi - CRD Number (if any): 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware firm? de its SEC registration number (if any):	an. s assets (city, state and country): Country:	Yes No
 custodian, you must complete questions (b) (b) Legal name of custodian: INVESCO ADVISERS, INC. (c) Primary business name of custodian: INVESCO ADVISERS, INC. (d) The location of the custodian's office res City: WILMINGTON (e) Is the custodian a <i>related person</i> of your (f) If the custodian is a broker-dealer, province CRD Number (if any): (g) If the custodian is not a broker-dealer, or 	through (g) separately for each custodial sponsible for <i>custody</i> of the <i>private fund's</i> State: Delaware firm? de its SEC registration number (if any):	an. s assets (city, state and country):	Yes No

CRD Number (if any):

(b) Legal name of custodian: J. ARON & COMPANY

(c)	Primary business name of custodian: J. ARON & COMPANY			
(d)	The location of the custodian's office respon City: NEW YORK	nsible for <i>custody</i> of the <i>private</i> State: New York	fund's assets (city, state and country): Country: United States	
(e)	Is the custodian a related person of your firm	า?		Yes No
(f)	If the custodian is a broker-dealer, provide i	ts SEC registration number (if	any):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is MXKQVM4U1OHBQWFPG196	a broker-dealer but does not	have an SEC registration number, provide its legal entity identifier	· (if any)
Cus	the answer to question 25.(a) is "yes," responstodian, you must complete questions (b) through the complete graph of custodian: J.P. MORGAN SECURITIES LLC		below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses. If the private fund	d uses more than one
(c)	Primary business name of custodian: J.P. MORGAN SECURITIES LLC			
(d)	The location of the custodian's office respon City: NEW YORK	sible for <i>custody</i> of the <i>private</i> State: New York	fund's assets (city, state and country): Country: United States	
(e)	Is the custodian a related person of your firm	1?		Yes No
(f)	If the custodian is a broker-dealer, provide i	ts SEC registration number (if	any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is ZBUT11V806EZRVTWT807	a broker-dealer but does not	have an SEC registration number, provide its legal entity identifier	(if any)
cus	the answer to question 25.(a) is "yes," responstodian, you must complete questions (b) thro Legal name of custodian:		below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses.	d uses more than one
(c)	JPMORGAN CHASE BANK, N.A. Primary business name of custodian: JPMORGAN CHASE BANK, N.A.			
(d)	The location of the custodian's office respon City: NEW YORK	nsible for <i>custody</i> of the <i>private</i> State: New York	fund's assets (city, state and country): Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm		Sinted States	Yes No
(f)	If the custodian is a broker-dealer, provide i		any):	0 0
	- CRD Number (if any):	12 020 Togration number (III	<u></u>	

7H6GLXDRUGQFU57RNE97			
•	respond to questions (b) through g) below (b) through (g) separately for each custodia	or for each custodian the <i>private fund</i> uses. If the <i>pri</i> vant	vate fund uses more than one
(b) Legal name of custodian: KRYPTON FUND SERVICES (BERMUDA)		
c) Primary business name of custodian KRYPTON FUND SERVICES (BERMUDA			
(d) The location of the custodian's office City: PEMBROKE	responsible for <i>custody</i> of the <i>private fund's</i> State:	s assets (city, state and country): Country: Bermuda	
PEWDRONE		Delilluud	Yes N
(e) Is the custodian a related person of y	our firm?		0 6
(f) If the custodian is a broker-dealer, p	rovide its SEC registration number (if any):		
-			
CRD Number (if any):			
g) If the custodian is not a broker-deal	er, or is a broker-dealer but does not have a	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
(b) Legal name of custodian: MACQUARIE BANK LIMITED			
(c) Primary business name of custodian MACQUARIE BANK LIMITED			
(d) The location of the custodian's office	responsible for custody of the private fund's	s assets (city, state and country):	
City: SYDNEY	State:	Country: Australia	
SIBNET		Adstralia	Yes N
(e) Is the custodian a <i>related person</i> of y	our firm?		0 6
(f) If the custodian is a broker-dealer, p	rovide its SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-deal 4ZHCHI4KYZG2WVRT8631	er, or is a broker-dealer but does not have a	an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
,	" respond to questions (b) through g) below (b) through (g) separately for each custodia	of for each custodian the <i>private fund</i> uses. If the <i>pri</i> nan.	vate fund uses more than one
(b) Legal name of custodian: MERRILL LYNCH CAPITAL SERVICES,	INC.		

(c) Primary business name of custodian:

MERRILL LYNCH CAPITAL SERVICES, INC.

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a related pers	son of your firm?		Yes No ○ •
(f)	If the custodian is a broker-de	ealer, provide its SEC registration number	r (if any):	
	- CRD Number (if any):			
(g)	If the custodian is not a broke GDWTXX036O1TB7DW3U69	er-dealer, or is a broker-dealer but does i	not have an SEC registration number, provide its legal entity identifier ((if any)
	•	s "yes," respond to questions (b) through estions (b) through (g) separately for eac	h g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> ch custodian.	uses more than one
(b)	Legal name of custodian: MERRILL LYNCH INTERNATION	IAL		
(c)	Primary business name of cus MERRILL LYNCH INTERNATION			
(d)			vate fund's assets (city, state and country):	
	City: LONDON	State:	Country: United Kingdom	
(e)	Is the custodian a related pers	son of your firm?		Yes No ○ ⊙
(f)	If the custodian is a broker-de	ealer, provide its SEC registration number	r (if any):	
	CRD Number (if any):			
			not have an SEC registration number, provide its legal entity identifier ((if any)
(g)	If the custodian is not a broke GGDZP1UYGU9STUHRDP48	er-dealer, or is a broker-dealer but does i		
(g)		er-dealer, or is a broker-dealer but does		
If t	GGDZP1UYGU9STUHRDP48 he answer to question 25.(a) is		h g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> ch custodian.	uses more than one
If t	GGDZP1UYGU9STUHRDP48 he answer to question 25.(a) is	s "yes," respond to questions (b) through estions (b) through (g) separately for eac		uses more than one
If t cus	GGDZP1UYGU9STUHRDP48 he answer to question 25.(a) is todian, you must complete que	s "yes," respond to questions (b) through estions (b) through (g) separately for eac LC stodian:		uses more than one
If t cus	he answer to question 25.(a) is todian, you must complete que Legal name of custodian: MIZUHO CAPITAL MARKETS LL Primary business name of cus MIZUHO CAPITAL MARKETS LL The location of the custodian's	s "yes," respond to questions (b) through estions (b) through (g) separately for each	vate fund's assets (city, state and country):	uses more than one
If t cus	he answer to question 25.(a) is todian, you must complete que Legal name of custodian: MIZUHO CAPITAL MARKETS LL Primary business name of cus MIZUHO CAPITAL MARKETS LL	s "yes," respond to questions (b) through estions (b) through (g) separately for each continuous continuous (b) through (c) separately for each continuous	ch custodian.	
If t cus (b) (c) (d)	he answer to question 25.(a) is todian, you must complete que Legal name of custodian: MIZUHO CAPITAL MARKETS LL Primary business name of cus MIZUHO CAPITAL MARKETS LL The location of the custodian's City:	s "yes," respond to questions (b) through estions (b) through (g) separately for each continuous co	ch custodian. Evate fund's assets (city, state and country): Country:	uses more than one Yes No C
(b) (c) (d) (e)	he answer to question 25.(a) is todian, you must complete question. Legal name of custodian: MIZUHO CAPITAL MARKETS LL Primary business name of custodian MIZUHO CAPITAL MARKETS LL The location of the custodian's City: WILMINGTON Is the custodian a related person	s "yes," respond to questions (b) through estions (b) through (g) separately for each continuous co	vate fund's assets (city, state and country): Country: United States	Yes No

OV6W8S6QX2D1J857QP30

	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) thro		low for each custodian the <i>private fund</i> uses. If thodian.	ne <i>private fund</i> uses more than one
(b)	Legal name of custodian: MIZUHO SECURITIES USA LLC			
(c)	Primary business name of custodian: MIZUHO SECURITIES USA LLC			
(d)	The location of the custodian's office respons	sible for <i>custody</i> of the <i>private fur</i>	nd's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	V N-
(e)	Is the custodian a <i>related person</i> of your firm?	?		Yes No
(f)	If the custodian is a broker-dealer, provide it	s SEC registration number (if any	y):	
	8 - 37710 CRD Number (if any): 19647			
(g)		a broker-dealer but does not hav	ve an SEC registration number, provide its <i>legal e</i>	ntity identifier (if any)
				3 , 3,
	he answer to question 25.(a) is "yes," respondatodian, you must complete questions (b) thro	, , , , , ,	low for each custodian the <i>private fund</i> uses. If thodian.	ne <i>private fund</i> uses more than one
(b)	Legal name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PLO			
(c)	Primary business name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PLO			
(d)	The location of the custodian's office respons	sible for <i>custody</i> of the <i>private fur</i>	nd's assets (city, state and country):	
	3		Country:	
	LONDON		United Kingdom	Yes No
(e)	Is the custodian a <i>related person</i> of your firm	?		0 0
(f)	If the custodian is a broker-dealer, provide it	s SEC registration number (if any	y):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 4PQUHN3JPFGFNF3BB653	a broker-dealer but does not hav	ve an SEC registration number, provide its <i>legal e</i>	ntity identifier (if any)
11	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) thro		low for each custodian the <i>private fund</i> uses. If thodian.	ne <i>private fund</i> uses more than one
(b)	Legal name of custodian: MORGAN STANLEY & CO. LLC			
(c)	Primary business name of custodian: MORGAN STANLEY & CO. LLC			
(d)	The location of the custodian's office respons	sible for <i>custody</i> of the <i>private fur</i>	nd's assets (city, state and country):	
	City:	State:	Country:	

New York

United States

NEW YORK

(e) Is the custodian a <i>related person</i> of your firm?			Yes No
(f) If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
8 - 15869 CRD Number (if any):			
8209			
(g) If the custodian is not a broker-dealer, or is a l	oroker-dealer but does not have a	n SEC registration number, provide its <i>legal entit</i> y	videntifier (if any)
If the answer to question 25.(a) is "yes," respond custodian, you must complete questions (b) throug			rivate fund uses more than one
(b) Legal name of custodian: MORGAN STANLEY BANK, N.A.			
(c) Primary business name of custodian: MORGAN STANLEY BANK, N.A.			
(d) The location of the custodian's office responsib	•		
City: SALT LAKE CITY	State: Utah	Country: United States	
(e) Is the custodian a <i>related person</i> of your firm?			Yes No
(f) If the custodian is a broker-dealer, provide its 5	SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a I G1MLHISON32I3QPILB75	oroker-dealer but does not have a	n SEC registration number, provide its <i>legal entit</i> y	videntifier (if any)
If the answer to question 25.(a) is "yes," respond custodian, you must complete questions (b) throug			rivate fund uses more than one
(b) Legal name of custodian: MORGAN STANLEY CAPITAL GROUP INC.			
(c) Primary business name of custodian: MORGAN STANLEY CAPITAL GROUP INC.			
(d) The location of the custodian's office responsib			
City: NEW YORK	State: New York	Country: United States	Vac No
(e) Is the custodian a <i>related person</i> of your firm?			Yes No
(f) If the custodian is a broker-dealer, provide its \$	SEC registration number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a l VB7RXNZGO6KVDABYB880	oroker-dealer but does not have a	n SEC registration number, provide its <i>legal entit</i> y	videntifier (if any)

If the answer to question 25.(a) is "yes," respond to questions (b) through q) 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 c	ustodian.	
(b) Legal name of custodian: MORGAN STANLEY CAPITAL	SERVICES, INC.		
(c) Primary business name of o MORGAN STANLEY CAPITAL			
(d) The location of the custodia	an's office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related p	person of your firm?		Yes N
(f) If the custodian is a broker	-dealer, provide its SEC registration number (if	any):	
- CRD Number (if any):			
(g) If the custodian is not a bro	oker-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity	identifier (if any)
•	questions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ustodian.	ivate fund uses more than one
(c) Primary business name of a	custodian:		
NATIONAL BANK OF CANAD	A FINANCIAL INC.		
	an's office responsible for <i>custody</i> of the <i>private</i> State:	fund's assets (city, state and country): Country:	
City: NEW YORK	New York	United States	
(e) Is the custodian a <i>related</i> p	person of your firm?		Yes N
8 - 39947	-dealer, provide its SEC registration number (if	any):	
CRD Number (if any): 22698			
(g) If the custodian is not a broad	oker-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)
	a) is "yes," respond to questions (b) through g) questions (b) through (g) separately for each c	below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ustodian.	ivate fund uses more than one
(b) Legal name of custodian: NATIXIS NEW YORK BRANCE	Н		
(c) Primary business name of a NATIXIS NEW YORK BRANCE			
(d) The location of the custodia	an's office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
-			Yes N
(e) Is the custodian a related p	person of your firm?		0.6

(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
	CRE Number (if diffy).		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) KX1WK48MPD4Y2NCUIZ63		
	KATWK4GWF D412NCU12U3		
lf t	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 that	n one	
	stodian, you must complete questions (b) through (g) separately for each custodian.	ii one	!
(b)	Legal name of custodian: NATIXIS SECURITIES AMERICAS LLC		
	NATIATS SECURITIES AMERICAS EEC		
(c)	Primary business name of custodian:		
	NATIXIS SECURITIES AMERICAS LLC		
(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:		
	WILMINGTON Delaware United States		
(0)		Yes	
(e)	Is the custodian a <i>related person</i> of your firm?	0	⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	549300L8G1E7ZHVEOG75		
	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	n one	!
cus	stodian, you must complete questions (b) through (g) separately for each custodian.		
(b)	Legal name of custodian:		
	NATWEST MARKETS PLC		
(C)	Primary business name of custodian: NATWEST MARKETS PLC		
(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: Country: United Kingdom		
	· · · · · · · · · · · · · · · · · · ·	Yes	No
(e)	Is the custodian a related person of your firm?	0	•
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	- CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) RR3QWICWWIPCS8A4S074		
15.	the answer to question 2E (a) is "yes," respond to questions (b) through a) helpsy for each systedian the material for the satisfications.	0.6=	
l III (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 that	ii one	:

custodian, you must complete questions (b) through (g) separately for each custodian.

(b)	Legal name of custodian: NOMURA GLOBAL FINANCIAL PRODUCTS INC.				
(c)	Primary business name of custodian: NOMURA GLOBAL FINANCIAL PRODUCTS INC.				
(d)	The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private</i>	fund's assets (cit	y, state and country):	
	City:	State:		Country:	
	NEW YORK	New York		United 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, provide its	SEC registration number (if a	any):		
	- CRD Number (if any):				
(g)	If the custodian is not a broker-dealer, or is a 0Z3VO5H2G7GRS05BHJ91	broker-dealer but does not h	nave an SEC regi	stration number, provide its <i>legal entity identifier</i> (if any	/)
cus	todian, you must complete questions (b) throu Legal name of custodian:			ustodian the <i>private fund</i> uses. If the <i>private fund</i> uses	more than one
	NOMURA INTERNATIONAL PLC				
(c)	Primary business name of custodian: NOMURA INTERNATIONAL PLC				
(d)	The location of the custodian's office responsil	ble for <i>custody</i> of the <i>private</i>	fund's assets (cit	y, state and country):	
		state:	Country:		
	LONDON		United Kingdo	m	
(e)	Is the custodian a related person of your firm?				Yes No ○ ⊙
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if a	any):		
	- CRD Number (if any):				
(g)	If the custodian is not a broker-dealer, or is a DGQCSV2PHVF7I2743539	broker-dealer but does not h	nave an SEC regi	stration number, provide its <i>legal entity identifier</i> (if any	/)
	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throu			ustodian the <i>private fund</i> uses. If the <i>private fund</i> uses	more than one
(b)	Legal name of custodian: NOMURA SECURITIES INTERNATIONAL, INC.				
(c)	Primary business name of custodian: NOMURA SECURITIES INTERNATIONAL, INC.				
(d)	The location of the custodian's office responsil	ble for custody of the private	fund's assets (cit	y, state and country):	
	City: NEW YORK	State: New York		Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?				Yes No
	, ,				~ ~
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if a	any):		

			er (if any)
	a) is "yes," respond to questions (b) throquestions (b) through (g) separately for	ugh g) below for each custodian the <i>private fund</i> uses. If the <i>private fu</i> each custodian.	<i>und</i> uses more than one
(b) Legal name of custodian: NORTHERN TRUST INVESTM	ЛENTS, INC.		
(c) Primary business name of NORTHERN TRUST INVESTM			
(d) The location of the custodi	an's office responsible for custody of the	private fund's assets (city, state and country):	
City: CHICAGO	State: Illinois	Country: United States	
CHICAGO	IIIIIIOIS	United States	Yes No
(e) Is the custodian a related	person of your firm?		0 6
,			
(f) If the custodian is a broker	r-dealer, provide its SEC registration num	ber (if any):	
- CRD Number (if any):			
(g) If the custodian is not a br BEL4B8X7EHJU845Y2N39	roker-dealer, or is a broker-dealer but do	es not have an SEC registration number, provide its legal entity identifi	er (if any)
DEC4DOX/E13004312N3/			
•	a) is "yes," respond to questions (b) thro questions (b) through (g) separately for	ugh g) below for each custodian the <i>private fund</i> uses. If the <i>private fu</i> each custodian.	und uses more than one
•			<i>und</i> uses more than one
custodian, you must complete (b) Legal name of custodian:	questions (b) through (g) separately for		<i>und</i> uses more than one
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED	questions (b) through (g) separately for custodian:	each custodian.	<i>and</i> uses more than one
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED	questions (b) through (g) separately for custodian:		<i>and</i> uses more than one
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodians	questions (b) through (g) separately for custodian: an's office responsible for <i>custody</i> of the	each custodian. private fund's assets (city, state and country):	<i>und</i> uses more than one
 custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodi City: LONDON 	questions (b) through (g) separately for custodian: an's office responsible for custody of the State:	each custodian. private fund's assets (city, state and country): Country:	
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodian City:	questions (b) through (g) separately for custodian: an's office responsible for custody of the State:	each custodian. private fund's assets (city, state and country): Country:	Yes N
 custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodi City: LONDON (e) Is the custodian a related price of the custodian and the custodi	questions (b) through (g) separately for custodian: an's office responsible for custody of the State:	private fund's assets (city, state and country): Country: United Kingdom	Yes N
 custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodi City: LONDON (e) Is the custodian a related price of the custodian and the custodi	questions (b) through (g) separately for custodian: an's office responsible for custody of the State: person of your firm?	private fund's assets (city, state and country): Country: United Kingdom	Yes N
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodi City: LONDON (e) Is the custodian a related of (f) If the custodian is a broker - CRD Number (if any):	questions (b) through (g) separately for custodian: an's office responsible for custody of the State: person of your firm? r-dealer, provide its SEC registration num	private fund's assets (city, state and country): Country: United Kingdom	Yes No
custodian, you must complete (b) Legal name of custodian: RBC EUROPE LIMITED (c) Primary business name of RBC EUROPE LIMITED (d) The location of the custodi City: LONDON (e) Is the custodian a related of (f) If the custodian is a broker - CRD Number (if any):	questions (b) through (g) separately for custodian: an's office responsible for custody of the State: person of your firm? r-dealer, provide its SEC registration num	each custodian. private fund's assets (city, state and country): Country: United Kingdom ber (if any):	Yes N

8 - 15255

4297

CRD Number (if any):

(b) Legal name of custodian: ROYAL BANK OF CANADA

(c)	Primary business name of custodian: ROYAL BANK OF CANADA			
(d)	The location of the custodian's office responsib	ole for <i>custody</i> of the <i>private fur</i>	nd's assets (city, state and country):	
	City:	State:	Country:	
	TORONTO		Canada	
<i>(</i>)				Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			0 0
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any	y):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a ES7IP3U3RHIGC71XBU11	broker-dealer but does not hav	ve an SEC registration number, provide its legal entity identifie	ˆ (if any)
	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		slow for each custodian the <i>private fund</i> uses. If the <i>private fun</i> odian.	d uses more than one
(b)	Legal name of custodian: ROYAL BANK OF CANADA, NEW YORK BRANCH			
(c)	Primary business name of custodian: ROYAL BANK OF CANADA, NEW YORK BRANCH			
(q)	The location of the custodian's office responsib	nle for custody of the private ful	nd's assets (city, state and country):	
(u)	City:	State:	Country:	
	NEW YORK	New York	United States	
(e)	Is the custodian a <i>related person</i> of your firm?			Yes No
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any	y):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a ES7IP3U3RHIGC71XBU11	broker-dealer but does not hav	ve an SEC registration number, provide its <i>legal entity identifie</i>	r (if any)
	he answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		elow for each custodian the <i>private fund</i> uses. If the <i>private fun</i> odian.	d uses more than one
(b)	Legal name of custodian: SCOTIA CAPITAL (USA) INC.			
(c)	Primary business name of custodian: SCOTIA CAPITAL (USA) INC.			
(d)	The location of the custodian's office responsible City:	ole for <i>custody</i> of the <i>private fur</i> State:	nd's assets (city, state and country): Country:	
	NEW YORK	New York	United 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, provide its	SEC registration number (if any	y):	
	8 - 3716			
	CRD Number (if any):			

	estion 25.(a) is "yes," respond to ques t complete questions (b) through (g) s		h custodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more than on	е
(b) Legal name of c	sustodian: A ENSKILDA BANKEN AB				
_	ss name of custodian: A ENSKILDA BANKEN AB				
(d) The location of City:	the custodian's office responsible for α	custody of the private fund's assets (State:	(city, state and country): Country: Sweden		
(e) Is the custodiar	n a <i>related person</i> of your firm?			Yes O	N G
(f) If the custodian	is a broker-dealer, provide its SEC req	gistration number (if any):			
- CRD Number (if	any):				
(g) If the custodian F3JS33DEI6XQ4	is not a broker-dealer, or is a broker-ZBPTN86	-dealer but does not have an SEC re	egistration number, provide its <i>l</i> e	egal entity identifier (if any)	
	estion 25.(a) is "yes," respond to quest t complete questions (b) through (g) s		h custodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more than on	е
(b) Legal name of c					
(c) Primary busines	ss name of custodian: RALE				
(d) The location of City:	the custodian's office responsible for a	custody of the private fund's assets ((city, state and country): Country:		
PARIS	State.		France	Yes	N
(e) Is the custodiar	a related person of your firm?			0	
(f) If the custodian	is a broker-dealer, provide its SEC req	gistration number (if any):			
CRD Number (if	any):				
(g) If the custodian O2RNE8IBXP4R	is not a broker-dealer, or is a broker- OTD8PU41	-dealer but does not have an SEC r	egistration number, provide its <i>l</i> e	egal entity identifier (if any)	
	estion 25.(a) is "yes," respond to quest complete questions (b) through (g) s		h custodian the <i>private fund</i> uses	. If the <i>private fund</i> uses more than on	е
(b) Legal name of c					

(c) Primary business name of custodian: STANDARD CHARTERED BANK

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

(d) The	e location of the custodian's offi	ce responsible for custody of the private	e fund's assets (city, state and country):	
City	/: W YORK	State: New York	Country: United States	
INLV	VIORK	New TOTA	United States	Yes No
(e) Is t	he custodian a <i>related person</i> o	f your firm?		0 0
(f) If th	he custodian is a broker-dealer,	provide its SEC registration number (if	any):	
- CRE	O Number (if any):			
	he custodian is not a broker-de FO74KP1CM8P6PCT96	aler, or is a broker-dealer but does not	have an SEC registration number, provide its legal entity identifier (i	if any)
	•	es," respond to questions (b) through g)	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses to be a custodian.	uses more than one
	al name of custodian: ATE STREET INSTITUTIONAL INVI	ESTMENT TRUST		
	mary business name of custodia ATE STREET INSTITUTIONAL INVI			
(d) The	e location of the custodian's offi	ce responsible for <i>custody</i> of the <i>private</i>	e fund's assets (city, state and country):	
City		State:	Country:	
BOS	STON	Massachusetts	United States	Yes No
(e) Is t	he custodian a related person o	f your firm?		0 0
(f) If th	he custodian is a broker-dealer,	provide its SEC registration number (if	any):	
- CRE	O Number (if any):			
(a) If the	ha custodian is not a hrokar-da	aler or is a broker-dealer but does not	have an SEC registration number, provide its legal entity identifier (i	if any)
(9) 11 11	ne custoulan is not a broker-ue	aler, or is a broker-dealer but does not	Trave art See registration number, provide its legal entity lacitimer (i	
	-	es," respond to questions (b) through g) ns (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses to be sustodian.	uses more than one
	al name of custodian: E BANK OF NOVA SCOTIA			
	mary business name of custodia E BANK OF NOVA SCOTIA	ın:		
City	<i>/</i> :	ce responsible for <i>custody</i> of the <i>private</i> State:	Country:	
TOF	RONTO		Canada	Yes No
(e) Is t	he custodian a related person o	f your firm?		0 0
(f) If th	he custodian is a broker-dealer,	provide its SEC registration number (if	any):	
- CRE	O Number (if any):			
_	he custodian is not a broker-de 9ZG2KFGXZ61BMYR72	aler, or is a broker-dealer but does not	have an SEC registration number, provide its <i>legal entity identifier</i> (i	if any)

	ne answer to question 25.(a) is "yes," resp todian, you must complete questions (b) the		elow for each custodian the <i>private fund</i> uses. If the todian.	private fund uses more than one
(b)	Legal name of custodian: THE GOVERNOR AND COMPANY OF THE BA	NK OF IRELAND		
(c)	Primary business name of custodian: THE GOVERNOR AND COMPANY OF THE BA	NK OF IRELAND		
(d)	The location of the custodian's office resp City:	onsible for <i>custody</i> of the <i>private fu</i> State:	und's assets (city, state and country): Country:	
	DUBLIN	Otato.	Ireland	
(e)	Is the custodian a <i>related person</i> of your fi	rm?		Yes No
(f)	If the custodian is a broker-dealer, provide	e its SEC registration number (if ar	ny):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or Q2GQA2KF6XJ24W42G291	is a broker-dealer but does not ha	ive an SEC registration number, provide its <i>legal ent</i>	ity identifier (if any)
cus	todian, you must complete questions (b) tl		elow for each custodian the <i>private fund</i> uses. If the todian.	private fund uses more than one
(b)	Legal name of custodian: UBS AG			
(c)	Primary business name of custodian: UBS AG			
(d)	The location of the custodian's office resp	, ,	und's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(۵)	Is the custodian a <i>related person</i> of your fi			Yes No
(e)	is the custodian a related person of your n	11111		○ ●
(f)	If the custodian is a broker-dealer, provide	e its SEC registration number (if ar	ny):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or BFM8T61CT2L1QCEMIK50	is a broker-dealer but does not ha	ove an SEC registration number, provide its <i>legal ent</i>	ity identifier (if any)
	ne answer to question 25.(a) is "yes," resp todian, you must complete questions (b) the		elow for each custodian the <i>private fund</i> uses. If the todian.	private fund uses more than one
(b)	Legal name of custodian: UBS AG, LONDON BRANCH			
(c)	Primary business name of custodian: UBS AG, LONDON BRANCH			
(d)	The location of the custodian's office resp	· ·		
	City: LONDON	State:	Country: United Kingdom	

			Yes No
(e) Is the custodian a related pers	on of your firm?		0 0
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if any	·):	
- CRD Number (if any):			
(g) If the custodian is not a broke BFM8T61CT2L1QCEMIK50	r-dealer, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)
	"yes," respond to questions (b) through g) be stions (b) through (g) separately for each custo	ow for each custodian the <i>private fund</i> uses. If the <i>privat</i>	te fund uses more than one
(b) Legal name of custodian: UBS SECURITIES LLC			
(c) Primary business name of cust UBS SECURITIES LLC	rodian:		
(d) The location of the custodian's	office responsible for <i>custody</i> of the <i>private fur</i>	od's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related pers	on of your firm?		Yes No ○ ⊙
(f) If the custodian is a broker-de 8 - 22651	aler, provide its SEC registration number (if any):	
CRD Number (if any): 7654			
(g) If the custodian is not a broke	r-dealer, or is a broker-dealer but does not hav	e an SEC registration number, provide its legal entity ide	ntifier (if any)
	"yes," respond to questions (b) through g) be stions (b) through (g) separately for each custo	ow for each custodian the <i>private fund</i> uses. If the <i>privat</i> odian.	te fund uses more than one
WELLS FARGO BANK, N.A.			
(c) Primary business name of cust WELLS FARGO BANK, N.A.	odian:		
	office responsible for <i>custody</i> of the <i>private fur</i>		
City: SIOUX FALLS	State: South Dakota	Country: United States	
(e) Is the custodian a related pers	on of your firm?		Yes No ○ ⊙
(f) If the custodian is a broker-de	aler, provide its SEC registration number (if any	·):	
- CRD Number (if any):			
(g) If the custodian is not a broke KB1H1DSPRFMYMCUFXT09	r-dealer, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entity ide</i>	ntifier (if any)

Additional Administrator Information :	1 Record(s) Filed.		
If the answer to question 26.(a) is "yes questions (b) through (f) separately for		ow. If the <i>private fund</i> uses more than one administ	rator, you must complete
(b) Name of administrator:			
CITCO FUND SERVICES (CAYMAN IS	SLANDS) LTD		
(c) Location of administrator (city, stat	te and country):		
City:	State:	Country:	
JERSEY CITY	New Jersey	United States	Yes N
(d) Is the administrator a related perso	on of your firm?		0 @
	d send investor account statements to the Some (provided to some but not all invest		
•	"no" or "some," who sends the investor acts of the) private fund's investors, respond	ccount statements to the (rest of the) private fund's "not applicable."	investors? If investor account
de only those assets where (i) such <i>pers</i> ation used for purposes of investor subsc	son carried out the valuation procedure esta	valued by a <i>person</i> , such as an administrator, that ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the value	ny relevant quotes, and (ii) the
de only those assets where (i) such <i>pers</i>	son carried out the valuation procedure esta	ablished for that asset, if any, including obtaining a	ny relevant quotes, and (ii) the
de only those assets where (i) such personal tion used for purposes of investor subscipations are subscipated by the services of the private fund use the services of the following the personal to question 28.(a) is "yes," respond to question 28.(a) is "yes," respond to question 28.	son carried out the valuation procedure established criptions, redemptions or distributions, and someone other than you or your <i>employee</i> son acts as a placement agent, consultant, stions (b) through (g) below for each such the son carried out the son acts as a placement agent.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the valu	ny relevant quotes, and (ii) the partial determined by such personant of the control of the cont
de only those assets where (i) such personal tion used for purposes of investor subscipations are subscipated by the services of the private fund use the services of the following the personal to question 28.(a) is "yes," respond to question 28.(a) is "yes," respond to question 28.	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partial determined by such personant of the control of the cont
de only those assets where (i) such personal tion used for purposes of investor subscipations are subscipated by the services of the private fund use the services of the following the personal to question 28.(a) is "yes," respond to question 28.(a) is "yes," respond to question 28.	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values of the calculations of the values of the calculations (including allocations) was the values of the calculations of	ny relevant quotes, and (ii) the partion determined by such personer, or similar person. If the answ
de only those assets where (i) such <i>pers</i> ation used for purposes of investor subscrizes Does the <i>private fund</i> use the services of you must answer "yes" whether the <i>pers</i>	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partion determined by such personer, or similar person. If the answ
de only those assets where (i) such persation used for purposes of investor subscipations are private fund use the services of you must answer "yes" whether the persauestion 28.(a) is "yes," respond to questions complete questions (b) through (g)	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partion determined by such <i>perso</i> Ye or, or similar <i>person</i> . If the answ
de only those assets where (i) such personation used for purposes of investor subscrizes Does the private fund use the services of You must answer "yes" whether the personal question 28.(a) is "yes," respond to questions to complete questions (b) through (g) E FUND On About the Private Fund	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partion determined by such <i>perso</i> Ye or, or similar <i>person</i> . If the answ
de only those assets where (i) such personation used for purposes of investor subscriptions. Does the private fund use the services of You must answer "yes" whether the personal question 28.(a) is "yes," respond to quesmust complete questions (b) through (g)	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partion determined by such <i>perso</i> Ye or, or similar <i>person</i> . If the answ
de only those assets where (i) such persition used for purposes of investor subscition used for purposes of investor subscition used for purposes of investor subscitions. Solves the private fund use the services of You must answer "yes" whether the persiquestion 28.(a) is "yes," respond to questions to the questions (b) through (g) EFUND On About the Private Fund Name of the private fund: D. E. SHAW TERRELLA FUND, L.P. Private fund identification number: include the "805-" prefix also)	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such a separately for each marketer.	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partial parti
de only those assets where (i) such personation used for purposes of investor subscrition used for purposes of investor subscrition used for purposes of investor subscritions. Does the private fund use the services of You must answer "yes" whether the personate question 28. (a) is "yes," respond to questions (b) through (g) Don About the Private fund: D. E. SHAW TERRELLA FUND, L.P. Private fund identification number: Ginclude the "805-" prefix also) 805-7657170835	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such is separately for each marketer. No Infor	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partion determined by such personer, or similar person. If the answ
de only those assets where (i) such personation used for purposes of investor subscription of the private fund use the services of you must answer "yes" whether the personate question 28.(a) is "yes," respond to questions (b) through (g) and the private questions (b) through (g) and the private fund: Definition used for purposes of investor subscription as a service of investor subscription and the personate fund: Definition used for purposes of investor subscription as a service of investor subscription and the personate fund: Definition used for purposes of investor subscription as a service of investor subscription and the personate fund in the personate fund: Definition used for purposes of investor subscription and the services of investor subscription and the personate fund in the personate fund in the personate fund in the personate fund: Definition used for purposes of investor subscription and the personate fund in the pe	son carried out the valuation procedure establishments, redemptions or distributions, and someone other than you or your employee son acts as a placement agent, consultant, stions (b) through (g) below for each such is separately for each marketer. No Infor	ablished for that asset, if any, including obtaining a fee calculations (including allocations) was the values for marketing purposes? finder, introducer, municipal advisor or other solicito marketer the private fund uses. If the private fund uses.	ny relevant quotes, and (ii) the partial determined by such personant of the control of the cont

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

Name of General Partner, Manager, Trustee, or Director

D. E. SHAW TERRELLA FUND GP, L.L.C.

Yes No

 \odot \circ

	Filing Adviser/Relying Adviser Name		
	D. E. SHAW ADVISER, L.L.C.		
4	The products found (almost a production of the about at least and)		
4.	The private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert the private fund (check all that apply; you must check at least one): [Insert 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)(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		
	Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY		
,		Yes	
6.	(a) Is this a "master fund" in a master-feeder arrangement?	0	⊙
	(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		
	No illioithation riled		
		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?		
	Name of private fund:		
	Private fund identification number: (include the "805-" prefix also)		
	(morade the lees premates)		
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feed	der	
	arrangement or reporting on the funds separately.		
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), for each of the feeder funds a	₃nsw∈	٩r
	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 f	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 integrand each class (or series) invests substantially all of its assets in a single master fund.	erests	;,
		Yes	No
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 who		_
	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> ?	\circ	C
		Yes	
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?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private fund:		
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11	Commant group agent value of the private found		
11.	Current gross asset value of the <i>private fund</i> : \$ 2,069		
	+ - ,		
Ow	vnership vnership		

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

\$ 1,000,000

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

	fund			
13.	Аррі 3	proximate number of the <i>private fund's</i> beneficial owners:		
14.	Wha	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 <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
		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?	Yes	No O
16.	Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	<u>ır Ad</u>	dvisory Services		
17	(a)	Are you a subadviser to this <i>private fund</i> ?	Yes	No ⊙
. , .		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 to question 17.(a) is "no,"		
		this question blank. No Information Filed		
		NO ITHOLINATION 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?		•
		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 answer to question 18.(a) is leave this question blank.	s "no,	,"
		No Information Filed		
19	Are	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	Yes	
1 7.		TE: For purposes of this question, do not consider feeder funds of the private fund.	0	⊙
20.	Appi 0%	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
<u>Pri</u>	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 ©	No O
22.	If y∈	es, provide the <i>private fund's</i> Form D file number (if any):		
		rm D file number		
	021	1-169651		
B. S	ERVI(CE PROVIDERS		
Aud	ditors			
			Yes	No
23.		(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?	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 auditing firm, you must complete of		ions
		(b) through (f) separately for each auditing firm.		
		No Information Filed		
			V	
	(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?	Yes	No
		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 opinions?	~	~

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

		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.
<u>Prim</u>	е В і	<u>roker</u>
24. (a)	Yes No Does the <i>private fund</i> use one or more prime brokers? 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
Custo	<u>odia</u>	an an
2E /	·0)	Yes No
25. (Does the <i>private fund</i> 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 <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.
		No Information Filed
<u>Admi</u>	nis	<u>trator</u> Yes No
26. (a)	Does the <i>private fund</i> 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 <i>private fund</i> uses more than one administrator, you must complete questions (b) through (f) separately for each administrator.
		No Information Filed
C)% nclı	ng 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 is not your <i>related person</i> ? ude only those assets where (i) such <i>person</i> carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the ation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such <i>person</i> .
<u>Mark</u>	<u>ete</u>	<u>rs</u>
20 ((a)	Yes No Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?
20. (You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or 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 fund</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. PRI	VAT	TE FUND
nforr	nat	ion About the <i>Private Fund</i>
1. ((a)	Name of the <i>private fund</i> :
`		D. E. SHAW VALENCE PORTFOLIOS, L.L.C.
(b)	Private fund identification number:

State: Country:

2. Under the laws of what state or country is the *private fund* organized:

(include the "805-" prefix also)

805-4712338271

C Yes No Report Not Yet Received

Delaware **United States** (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 D. E. SHAW & CO., L.L.C. (b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund. Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. 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 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 (a) Is this a "master fund" in a master-feeder arrangement? (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund? Name of *private fund* Private fund identification number D. E. SHAW VALENCE FUND, L.L.C. 805-9626474042 D. E. SHAW VALENCE INTERNATIONAL FUND, L.P. 805-9898645133 Yes No (c) Is this a "feeder fund" in a master-feeder arrangement? \circ (d) 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: 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.(1) 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 the feeder funds answer the following questions: Additional Feeder Fund Information: 2 Record(s) Filed. 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), for each of the feeder funds answer the following questions: Name of the private fund: D. E. SHAW VALENCE FUND, L.L.C. (b) Private fund identification number: (include the "805-" prefix also) 805-9626474042 Under the laws of what state or country is the private fund organized: (c) Country: State: Delaware **United States** (d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW & CO., L.L.C. (d) (2) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name

	D. E. SHAW & CO., L.P.	
(e)	The <i>private fund</i> (check all that apply; you must check at least one):	
(6)	(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 <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. No Information Filed	
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), for each of the feeder	funds
	r the following questions:	
(a)	Name of the <i>private fund</i> : D. E. SHAW VALENCE INTERNATIONAL FUND, L.P.	
(b)	Private fund identification number: (include the "805-" prefix also)	
	805-9898645133	
(c)	Under the laws of what state or country is the <i>private fund</i> organized:	
(c)	State: Country:	
	Cayman Islands	
(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 D. E. SHAW VALENCE INTERNATIONAL FUND GP. L.L.C.	
(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:	
	Filing Adviser/Relying Adviser Name	
	D. E. SHAW & CO., L.P.	
(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	
	Cayman Islands - Cayman Islands Monetary Authority	
("master fu	ourposes 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 singl nd"). 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 i ass (or series) invests substantially all of its assets in a single master fund.	
· > 1 11 1		Yes
NOTE: For p	private fund a "fund of funds"? Durposes 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 viso private funds or registered investment companies.	C whether
•	does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0
		Yes
	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 y market funds," to the extent provided in Instruction 6.e.)?	•
What type o	of fund is the private fund?	
6 hadaa fi		
- neuge II	und $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :	

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:	
	\$ 26,530,434,740	
<u>Ow</u>	<u>vnership</u>	
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :	
	\$ 1,000,000 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 fund).	of the
13.	Approximate number of the <i>private fund's</i> beneficial owners:	
	194	
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 41%	
15.	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 13%	
	(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?	Yes No
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 35%	
You	ur Advisory Services	
		Yes No
17.	(a) Are you a subadviser to this <i>private fund</i>?(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 to question 17.(a) is "no," I	○
	this question blank.	
	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?	Yes No
10.	(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 answer to question 18.(a) is leave this question blank.	○
	No Information Filed	
		Yes No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0 0
	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> ? 6%	
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 No O
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):	
	Form D file number	
	021-232002	
	021-232003	
B. S	ERVICE PROVIDERS	
Aud	<u>ditors</u>	
_		Yes No
23.	(a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	⊙ ⊙

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

(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 questions (b) through (f) separate	1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must	st complete
questions (b) tillough (i) separate	ery for each additing firm.	
(b) Name of the auditing firm: ERNST & YOUNG LLP		
ERNST & TOUNG LLP		
(c) The location of the auditing fire	rm's office responsible for the <i>private fund's</i> audit (city, state and country):	
City: NEW YORK	State: Country: New York United States	
		Yes No
(d) Is the auditing firm an independent	ndent public accountant?	⊙ ○
(e) Is the auditing firm registered	d with the Public Company Accounting Oversight Board?	⊙ ○
If yes, Public Company Accou	nting Oversight Board-Assigned Number:	
42		
(f) If "yes" to (e) above, is the au	uditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its i	ules? o o
		Yes I
e the <i>private fund's</i> audited financ	sial statements for the most recently completed fiscal year distributed to the private fund's investors?	•
o all of the reports prepared by the	e auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified opinions?	
8 v O v O b . v v v b		
🖲 Yes 🖰 No 🤼 Report Not Yet Red	ceived	
·	ceived d," you must promptly file an amendment to your Form ADV to update your response when the report is available.	
you check "Report Not Yet Received		
you check "Report Not Yet Received		Yes 1
you check "Report Not Yet Received ker	d," you must promptly file an amendment to your Form ADV to update your response when the report is available.	Yes N
you check "Report Not Yet Received been been been been been been been be	d," you must promptly file an amendment to your Form ADV to update your response when the report is available.	•
expose the private fund use one or more the answer to question 24.(a) is '	d," you must promptly file an amendment to your Form ADV to update your response when the report is available. Dre prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker.	•
oes the <i>private fund</i> use one or more the answer to question 24.(a) is trime broker, you must complete quadditional Prime Broker Informate	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) roker. tion: 47 Record(s) Filed.	es more than one
oes the private fund use one or more the answer to question 24.(a) is trime broker, you must complete questional Prime Broker Informate.	d," you must promptly file an amendment to your Form ADV to update your response when the report is available. Dre prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker.	es more than one
oes the <i>private fund</i> use one or more the answer to question 24.(a) is trime broker, you must complete questional Prime Broker Information one prime broker, you must comp	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	es more than one
oes the private fund use one or more the answer to question 24.(a) is trime broker, you must complete questional Prime Broker Informate.	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	es more than one
oes the private fund use one or more the answer to question 24.(a) is rime broker, you must complete question 24.(a) is one prime broker, you must complete one prime broker. [BANK OF AMERICA, N.A.]	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	es more than one
oes the private fund use one or motorime broker, you must complete quadditional Prime Broker Information 24.(a) is one prime broker, you must complete quadritional Prime Broker Information one prime broker, you must complete quadritional Prime Broker Information one prime broker, you must complete quadritional Prime Broker Information one prime broker, you must complete graphs of the prime broker: BANK OF AMERICA, N.A.	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usuestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uses the private fund uses	es more than one
oes the private fund use one or more the answer to question 24.(a) is rime broker, you must complete quantitional Prime Broker Informational Prime Broker Informational Prime broker, you must complete one prime broker, you must compose the prime broker. (b) Name of the prime broker: BANK OF AMERICA, N.A.	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usuestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uses the private fund uses	es more than one
oes the private fund use one or more the answer to question 24.(a) is rime broker, you must complete questional Prime Broker Informate. If the answer to question 24.(a) is one prime broker, you must compose the prime broker: BANK OF AMERICA, N.A. (c) If the prime broker is registered. CRD Number (if any):	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses usestions (b) through (e) below for each prime broker the private fund uses. If the private fund uses used to the questions (b) through (e) separately for each prime broker.	es more than one
coes the private fund use one or months answer to question 24. (a) is in the answer to question 24. (a) is indicated and the answer to question 24. (b) If the answer to question 24. (a) is one prime broker, you must compose to prime broker, you must compose to prime broker, you must compose to prime broker. (b) Name of the prime broker: BANK OF AMERICA, N.A. (c) If the prime broker is register. CRD Number (if any):	ore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. Ition: 47 Record(s) Filed. Is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses usestions (b) through (e) below for each prime broker the private fund uses. If the private fund uses are given that the private fund uses are given to private fund uses. If the private fund uses are given the private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses are given to private fund uses. If the private fund uses are given to private fund uses are given to private fund uses are given to private fund uses.	es more than one
oes the private fund use one or month the answer to question 24.(a) is in the answer to question 24.(a) is indicated and the answer to question 24.(a) is one prime broker, you must compose the prime broker: BANK OF AMERICA, N.A. (c) If the prime broker is register and the prime broker is register and the prime broker is register. CRD Number (if any):	d," you must promptly file an amendment to your Form ADV to update your response when the report is available. bre prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund to be private questions (b) through (e) separately for each prime broker. The definition of the private fund (city, state and country): State: Country:	es more than one
oes the private fund use one or most the answer to question 24.(a) is rime broker, you must complete quadditional Prime Broker Informate. If the answer to question 24.(a) is one prime broker, you must compose broker, you must compose broker, you must compose broker. (b) Name of the prime broker: BANK OF AMERICA, N.A. (c) If the prime broker is register. CRD Number (if any): (d) Location of prime broker's officity: NEW YORK	d," you must promptly file an amendment to your Form ADV to update your response when the report is available. bre prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund usestions (b) through (e) separately for each prime broker. tion: 47 Record(s) Filed. s "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund to be private questions (b) through (e) separately for each prime broker. The definition of the private fund (city, state and country): State: Country:	es more than one
oes the private fund use one or most the answer to question 24.(a) is rime broker, you must complete quadditional Prime Broker Informate. If the answer to question 24.(a) is one prime broker, you must compose broker, you must compose broker, you must compose broker. (b) Name of the prime broker: BANK OF AMERICA, N.A. (c) If the prime broker is register. CRD Number (if any): (d) Location of prime broker's officity: NEW YORK	d," you must promptly file an amendment to your Form ADV to update your response when the report is available. The prime brokers? Tyes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses uestions (b) through (e) separately for each prime broker. The private fund uses are specified. The private fund uses are specified and uses are specified and uses. If the private fund uses are fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses are specified uses. If the private fund uses are specified uses are specified uses ar	es more than one ses more than

BANK OF MONTREAL

(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and	country):	
	City: State: TORONTO	Country: Canada	
			Yes No
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?		⊚ 0
	he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for eprime broker, you must complete questions (b) through (e) separately for each princ		the <i>private fund</i> uses more than
(b)	Name of the prime broker: BANK OF NEW YORK MELLON		
(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and	country):	
	City: State: NEW YORK New York	Country: United States	
			Yes No
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?		© 0
(b)	Name of the prime broker: BARCLAYS BANK PLC		
(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and		
	City: State: Count United	ry: I Kingdom	
(0)	Does this prime broker act as sustedian for some or all of the private fund's assets?		Yes No
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?		⊙ ○
	he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prince broker, you must complete questions (b) through (e) separately for each prince		the <i>private fund</i> uses more than
	Name of the prime broker:		
	BARCLAYS BANK PLC, NEW YORK BRANCH		
(c)	If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and	country):	

City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as cus	stodian for some or all of the private fund	's assets?	⊙ ○
If the answer to question 24.(a) is "y	es," respond to questions (b) through () below for each prime broker the private fund uses. If the private	fund uses more than
one prime broker, you must complete	e 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 v	with the SEC, its registration number:		
8 - 41342			
CRD Number (if any):			
19714			
(d) Location of prime broker's office u	used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as cus	stodian for some or all of the private fund	's assets?	⊙ ○
. ,	<u> </u>		
If the answer to guestion 24.(a) is "v	es." respond to guestions (b) through (6) below for each prime broker the private fund uses. If the private	fund uses more than
	e questions (b) through (e) separately for		
(b) Name of the prime broker:			
BARCLAYS CAPITAL SECURITIES, L	_TD.		
(c) If the prime broker is registered v	with the SEC, its registration number:		
_			
CRD Number (if any):			
_			
(d) Location of prime broker's office u	used principally by the private fund (city,	state and country):	
City:	State:	Country:	
LONDON		United Kingdom	
			Yes No
(e) Does this prime broker act as cus	stodian for some or all of the private fund	's assets?	⊙ ○
If the answer to question 24.(a) is "y	es," respond to questions (b) through () below for each prime broker the private fund uses. If the private	fund uses more than
one prime broker, you must complete	e questions (b) through (e) separately for	each prime broker.	
(b) Name of the prime broker:			
BMO CAPITAL MARKETS CORP.			
(c) If the prime broker is registered v	with the SEC, its registration number:		
8 - 34344			
CRD Number (if any):			
16686			
(d) Location of prime broker's office u	used principally by the <i>private fund</i> (city,	state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act as cus	stodian for some or all of the private fund	's assets?	⊙ ○
			<u> </u>

CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK (e) Does this prime broker act as custodian for some or all of the private fund's assets? 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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country:	
(d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the private fund's assets? 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 one prime broker, you must complete questions (b) through (e) separately for each prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country:	⊙ C
City: State: Country: NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the private fund's assets? 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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country:	⊙ C
NEW YORK New York United States (e) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	⊙ C
(e) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	⊙ C
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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	
one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BNP PARIBAS SECURITIES CORP. (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country:	than
 (c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: 	
CRD Number (if any): (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	
(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: Country:	
City: Country:	
· · · · · · · · · · · · · · · · · · ·	
NEW YORK New York United States	
	Yes No
(e) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	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 one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: BOFA SECURITIES INDIA LIMITED	than
(c) If the prime broker is registered with the SEC, its registration number:	
- CRD Number (if any):	
(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	
City: Country: MUMBAI India	
	Yes No
(e) Does this prime broker act as custodian for some or all of the private fund's assets?	⊙ ○

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: BOFA SECURITIES, INC.

	red with the SEC, its registration number:		
8 - 69787			
CRD Number (if any): 283942			
(d) Location of prime broker's off	fice used principally by the <i>private fund</i> (city, st	rate and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	TVCVV TOTK	Office States	Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fund's</i>	assets?	⊙ ○
	is "yes," respond to questions (b) through (e) plete questions (b) through (e) separately for	below for each prime broker the <i>private fund</i> uses. If the each prime broker.	private fund uses more than
(b) Name of the prime broker: CIBC WORLD MARKETS CORP			
(c) If the prime broker is register	red with the SEC, its registration number:		
- CRD Number (if any):			
	fice used principally by the <i>private fund</i> (city, st	-	
City: WILMINGTON	State: Delaware	Country: United States	
			Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fund's</i>	assets?	⊙ ○
(b) Name of the prime broker: CITIBANK N.A.			
(c) If the prime broker is register	red with the SEC, its registration number:		
- CRD Number (if any):			
•	Fice used principally by the <i>private fund</i> (city, st		
City: NEW YORK	State: New York	Country: United States	
			Yes No
(e) Does this prime broker act as	s custodian for some or all of the <i>private fund's</i>	assets?	⊚ ○
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	private fund uses more than
one prime broker, you must comp	plete questions (b) through (e) separately for	each prime broker.	
(b) Name of the prime broker: CITIGROUP GLOBAL MARKETS	S INC.		
8 - 8177	red with the SEC, its registration number:		
CRD Number (if any): 7059			
(d) Location of prime broker's off	Fice used principally by the <i>private fund</i> (city st	tate and country):	

NEW	/ YORK	New York	United States		
(-) D				Yes	
(e) Does	s this prime broker act as custodian for so	me or all of the <i>private fund's</i>	assets?	•	0
	nswer to question 24.(a) is "yes," respond ne broker, you must complete questions (b	-	below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more each prime broker.	than	
	ne of the prime broker: GROUP GLOBAL MARKETS LTD				
(c) If th	e prime broker is registered with the SEC,	its registration number:			
CRD	Number (if any):				
	ation of prime broker's office used principa				
City: LON		tate:	Country: United Kingdom		
				Yes	No
(e) Does	s this prime broker act as custodian for so	me or all of the <i>private fund's</i>	assets?	\odot	\circ
one prim	nswer to question 24.(a) is "yes," respond ne broker, you must complete questions (b ne of the prime broker: DIT SUISSE INTERNATIONAL	-	below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more each prime broker.	than	
(c) If th	e prime broker is registered with the SEC,	its registration number:			
CRD	Number (if any):				
(d) Loca	ation of prime broker's office used principa	ly by the <i>private fund</i> (city, st	ate and country):		
City: LON		tate:	Country: United Kingdom		
LON	DOIN		Officed Kingdom	Yes	No
(e) Does	s this prime broker act as custodian for so	me or all of the <i>private fund's</i>	assets?	•	0
	nswer to question 24.(a) is "yes," respond ne broker, you must complete questions (b		below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more each prime broker.	than	
	ne of the prime broker: DIT SUISSE SECURITIES (EUROPE) LIMITE)			
(c) If th	e prime broker is registered with the SEC,	its registration number:			
CRD	Number (if any):				
(d) Loca	ation of prime broker's office used principa	ly by the <i>private fund</i> (city, st tate:	ate and country): Country:		
-	DON	idio.	United Kingdom		
				Yes	No
(e) Does	s this prime broker act as custodian for so	me or all of the <i>private fund's</i>	assets?	\odot	\circ

Country:

State:

City:

•	broker is registered with the	SEC, its registration number:		
8 - 422	J	·		
CRD Number	r (if any):			
816				
(d) Location of p	prime broker's office used pri	ncipally by the <i>private fund</i> (city, sta	ate and country):	
City:		State:	Country:	
NEW YORK		New York	United States	Yes No
(e) Does this pr	ime broker act as custodian f	for some or all of the private fund's	assets?	• o
If the answer to	question 24.(a) is "yes," res	spond to questions (b) through (e) I	below for each prime broker the <i>private fund</i> uses. If the	e <i>private fund</i> uses more than
	•	ons (b) through (e) separately for e		,
/L\ N= = 5.4L=	andre a breaker			
(b) Name of the DAIWA CAPI	e prime broker: TAL MARKETS EUROPE LIMITE	ED		
(c) If the prime	broker is registered with the	SEC, its registration number:		
- CRD Number	r (if any):			
CND Namber	(II diriy).			
	orime broker's office used pri	ncipally by the <i>private fund</i> (city, sta		
City: LONDON		State:	Country: United Kingdom	
				Yes No
(e) Does this pr	ime broker act as custodian f	for some or all of the private fund's	assets?	⊙ ○
		-	below for each prime broker the <i>private fund</i> uses. If the	e private fund uses more than
		spond to questions (b) through (e) bons (b) through (e) separately for e		e <i>private fund</i> uses more than
one prime broke	er, you must complete question	-		e <i>private fund</i> uses more than
one prime broke	er, you must complete question exprise prime broker:	-		e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B	er, you must complete question e prime broker: BANK AG	ons (b) through (e) separately for e		e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B	er, you must complete question e prime broker: BANK AG	-		e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B	er, you must complete questions e prime broker: BANK AG broker is registered with the	ons (b) through (e) separately for e		e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B (c) If the prime -	er, you must complete questions e prime broker: BANK AG broker is registered with the	ons (b) through (e) separately for e		e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B (c) If the prime - CRD Number	er, you must complete questice prime broker: BANK AG broker is registered with the r (if any):	ons (b) through (e) separately for e	each prime broker.	e <i>private fund</i> uses more than
(b) Name of the DEUTSCHE E (c) If the prime - CRD Number (d) Location of p	er, you must complete questice prime broker: BANK AG broker is registered with the r (if any):	ons (b) through (e) separately for e e SEC, its registration number: ncipally by the <i>private fund</i> (city, sta	ate and country):	e <i>private fund</i> uses more than
(b) Name of the DEUTSCHE B (c) If the prime - CRD Number	er, you must complete questice prime broker: BANK AG broker is registered with the r (if any):	ons (b) through (e) separately for e	each prime broker.	e <i>private fund</i> uses more than
(b) Name of the DEUTSCHE E (c) If the prime - CRD Number (d) Location of p	er, you must complete questice prime broker: BANK AG broker is registered with the r (if any):	ons (b) through (e) separately for e e SEC, its registration number: ncipally by the <i>private fund</i> (city, sta	ate and country): Country:	e <i>private fund</i> uses more than
one prime broke (b) Name of the DEUTSCHE B (c) If the prime - CRD Number (d) Location of p City: FRANKFURT	er, you must complete questions prime broker: BANK AG broker is registered with the r (if any): prime broker's office used prince	ons (b) through (e) separately for e e SEC, its registration number: ncipally by the <i>private fund</i> (city, sta	ate and country): Country: Germany	

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: GOLDMAN SACHS BANK USA

(c) If the prime broker is registe	ered with the SEC, its registration numb	per:		
- CRD Number (if any):				
(d) Location of prime broker's of	ffice used principally by the <i>private fund</i>	(city, state and country):		
City:	State:	Count	•	
NEW YORK	New York	United	d States	Yes No
(e) Does this prime broker act a	s custodian for some or all of the <i>privat</i>	te fund's assets?		⊙ C
	is "yes," respond to questions (b) thro	-	oker the <i>private fund</i> uses. If the μ	orivate fund uses more than
(b) Name of the prime broker: GOLDMAN SACHS INTERNATI	ONAL			
(c) If the prime broker is registe	ered with the SEC, its registration numb	per:		
CRD Number (if any):				
(d) Location of prime broker's of City:	ffice used principally by the <i>private fund</i> State:	(city, state and country): Country:		
LONDON	State.	United Kingdom		
(e) Does this prime broker act as	s custodian for some or all of the <i>privat</i>	e fund's assets?		Yes No ⊙ O
•	is "yes," respond to questions (b) thro aplete questions (b) through (e) separat	•	roker the <i>private fund</i> uses. If the μ	private fund uses more than
(b) Name of the prime broker: HSBC BANK PLC				
(c) If the prime broker is registe	ered with the SEC, its registration numb	per:		
CRD Number (if any):				
(d) Location of prime broker's of City:	ffice used principally by the <i>private fund</i> State:	(city, state and country): Country:		
LONDON	State.	United Kingdom		
				Yes No
(e) Does this prime broker act a	s custodian for some or all of the <i>privat</i>	te fund's assets?		⊙ ○
	is "yes," respond to questions (b) thro	-	roker the <i>private fund</i> uses. If the <i>p</i>	private fund uses more than
	nplete questions (b) through (e) separat	tely for each prime broker.		
(b) Name of the prime broker: HSBC SECURITIES (USA) INC				
(c) If the prime broker is registe	ered with the SEC, its registration numb	er:		
CRD Number (if any):				
(d) Location of prime broker's of	ffice used principally by the <i>private fund</i>	(city_state and country):		

	City:	State:	Country:		
	WILMINGTON	Delaware	United States		
				Yes	No
(e)	Does this prime broker act as custodian for some	e or all of the <i>private fund's</i> assets?		⊙	0
			prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more	e thar	1
one	e prime broker, you must complete questions (b)	through (e) separately for each prime broken	Ker.		
4.					
(b)	Name of the prime broker: J.P. MORGAN SECURITIES LLC				
	J.P. MORGAN SECURITIES LLC				
	16.11				
(C)	If the prime broker is registered with the SEC, it	s registration number:			
	8 - 35008				
	CRD Number (if any):				
	79				
(1)					
(d)	Location of prime broker's office used principally				
	City:	State:	Country:		
	NEW YORK	New York	United States		
				Yes	No
(e)	Does this prime broker act as custodian for some	e or all of the <i>private fund's</i> assets?		⊙	\circ
			prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more	e thar	1
one	e prime broker, you must complete questions (b)	through (e) separately for each prime broken	Ker.		
(b)	Name of the prime broker:				
	J.P. MORGAN SECURITIES PLC				
(c)	If the prime broker is registered with the SEC, it	s registration number:			
	-				
	CRD Number (if any):				
(d)	Location of prime broker's office used principally		y):		
	City: Stat	3	lam		
	LONDON	United Kingo	10111		
				Yes	
(e)	Does this prime broker act as custodian for some	e or all of the <i>private fund's</i> assets?		•	0
		•	prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more	e thar	1
one	e prime broker, you must complete questions (b)	through (e) separately for each prime bro	Ker.		
(b)	Name of the prime broker:				
	JPMORGAN CHASE BANK N.A.				
(c)	If the prime broker is registered with the SEC, it	s registration number:			
	-				
	CRD Number (if any):				
(d)	Location of prime broker's office used principally				
	City:	State:	Country:		
	NEW YORK	New York	United States		
				Yes	No
(e)	Does this prime broker act as custodian for some	e or all of the <i>private fund's</i> assets?		\odot	\circ

	MACQUARIE BANK LIMITED			
(c)	If the prime broker is registered with the SEC, its regis	stration number:		
	CRD Number (if any):			
(d)	Location of prime broker's office used principally by the	e <i>private fund</i> (city, state an	d country):	
	City: St SYDNEY	tate:	Country: Australia	
(e)	Does this prime broker act as custodian for some or al	II of the <i>private fund's</i> assets	;?	Yes No ⊙ O
If t	he answer to question 24.(a) is "yes," respond to ques	stions (b) through (e) below	for each prime broker the <i>private fund</i> uses.	If the <i>private fund</i> uses more than
	e prime broker, you must complete questions (b) throug	• • • • • • • • • • • • • • • • • • • •	·	
(b)	Name of the prime broker: MERRILL LYNCH INTERNATIONAL			
(c)	If the prime broker is registered with the SEC, its regis	stration number:		
	CRD Number (if any):			
(4)	Location of prime broker's office used principally by the	e <i>nrivate fund</i> (city, state an	d country).	
(u)	City: State:	Cou	ntry:	
	LONDON		ed Kingdom	Yes No
(e)	Does this prime broker act as custodian for some or al	Il of the <i>private fund's</i> assets	?	⊙ ○
one	he answer to question 24.(a) is "yes," respond to quest e prime broker, you must complete questions (b) throug Name of the prime broker: MIZUHO CAPITAL MARKETS LLC	_		If the <i>private fund</i> uses more than
(c)	If the prime broker is registered with the SEC, its regis	stration number:		
	CRD Number (if any):			
	Location of prime broker's office used principally by the	e <i>private fund</i> (city, state an	d country):	
(d)	zecation of prime zecate contact accar prime painty by the	State:	Country: United States	
(d)	City: WILMINGTON	Delaware		
	City:		?	Yes No ⊙ O

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:

MIZUHO MARKETS CAYMAN LP

(c) If the prime broker is regist	tered with the SEC, its registration n	number:	
- CRD Number (if any):			
(d) Location of prime broker's o	office used principally by the <i>private</i> i	fund (city, state and country):	
City: GRAND CAYMAN	:	State: Country: Cayman Islands	
GRAND CATWAN		Cayman Islands	Yes No
(e) Does this prime broker act	as custodian for some or all of the $ ho$	private fund's assets?	⊙ ○
) is "yes," respond to questions (b) mplete questions (b) through (e) sep	through (e) below for each prime broker the <i>private fund</i> uses. If the parately for each prime broker.	e <i>private fund</i> uses more than
(b) Name of the prime broker: MORGAN STANLEY & CO. IN	TERNATIONAL PLC		
(c) If the prime broker is regist	tered with the SEC, its registration n	number:	
CRD Number (if any):			
	office used principally by the <i>private</i> i		
City: LONDON	State:	Country: United Kingdom	
LONDON		Critted Killigaetti	Yes No
(e) Does this prime broker act	as custodian for some or all of the p	private fund's assets?	⊙ ○
(b) Name of the prime broker: MORGAN STANLEY CAPITAL	mplete questions (b) through (e) sep	sarately for each prime broker.	
(c) If the prime broker is regist	tered with the SEC, its registration n	number:	
CRD Number (if any):			
(d) Location of prime broker's of City:	office used principally by the <i>private</i> a	fund (city, state and country): Country:	
NEW YORK	New York	United States	
(e) Does this prime broker act	as custodian for some or all of the $ ho$	private fund's assets?	Yes No ⊙ O
•) is "yes," respond to questions (b) mplete questions (b) through (e) sep	through (e) below for each prime broker the <i>private fund</i> uses. If the parately for each prime broker.	e <i>private fund</i> uses more than
NATIONAL BANK OF CANADA	A FINANCIAL INC.		
(c) If the prime broker is regist8 - 39947CRD Number (if any):	tered with the SEC, its registration n	number:	
22698	office used principally by the <i>private</i> i		

City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Does this prime broker act	as custodian for some or all of the private fund's	assets?	⊙ ○
If the answer to question 24.(a	a) is "yes," respond to guestions (b) through (e) t	pelow for each prime broker the private fund uses. If th	e <i>private fund</i> uses more than
	mplete questions (b) through (e) separately for e		, , , , , , , , , , , , , , , , , , ,
(b) Name of the prime broker:			
NATIXIS SA			
(a) 16 the a mineral broken in marks	to and with the CEO its assistantian assessment		
(c) If the prime broker is regis	tered with the SEC, its registration number:		
-			
CRD Number (if any):			
(d) Location of prime broker's of	office used principally by the <i>private fund</i> (city, sta	te and country):	
City:	State:	Country:	
PARIS		France	
			Yes No
(e) Does this prime broker act	as custodian for some or all of the private fund's	assets?	⊙ ○
(c) Does the prime presented	as easternant services of an error private rand e		6 0
		pelow for each prime broker the private fund uses. If the	e <i>private fund</i> uses more than
one prime broker, you must col	mplete questions (b) through (e) separately for e	ach prime broker.	
(b) Name of the prime broker:			
NATIXIS SECURITIES AMER	ICAS LLC		
(c) If the prime broker is regis	tered with the SEC, its registration number:		
8 - 719			
CRD Number (if any):			
1101			
(d) Location of prime broker's	office used principally by the <i>private fund</i> (city, sta	to and country).	
		-	
City: WILMINGTON	State:	Country: United States	
WILMINGTON	Delaware	United States	
			Yes No
(e) Does this prime broker act	as custodian for some or all of the private fund's a	assets?	⊙ ○
If the answer to guestion 24.(a	a) is "yes," respond to guestions (b) through (e) b	pelow for each prime broker the private fund uses. If th	e <i>private fund</i> uses more than
	mplete questions (b) through (e) separately for e	·	,
		·	
(b) Name of the prime broker:			
NATWEST MARKETS PLC			
WATER WATER			
(c) If the prime broker is regis	tered with the SEC, its registration number:		
-			
CRD Number (if any):			
(d) Location of prime broker's of	office used principally by the <i>private fund</i> (city, sta	te and country):	
City:	State:	Country:	
EDINBURGH	otato.	United Kingdom	
		, and the second	Yes No
(a) Doos this prime broken set	as custodian for some or all of the private fund's	accote?	
(e) Does this prime proker act	as custoulari for some of all of the private rund's	155515 (⊙ ○

(c) If the prime broken is recit	orod with the SEC its registration mumber		
(c) If the prime broker is register -	ered with the SEC, its registration number:		
CRD Number (if any):			
(d) Location of prime broker's of	fice used principally by the <i>private fund</i> (city, s	state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New TOLK	Utilited States	Yes No
(e) Does this prime broker act a	is custodian for some or all of the <i>private fund</i>	's assets?	⊙ ○
one prime broker, you must com (b) Name of the prime broker:	nplete questions (b) through (e) separately for) below for each prime broker the <i>private fund</i> uses. If th each prime broker.	e <i>private fund</i> uses more than
NOMURA INTERNATIONAL PL			
(c) If the prime broker is register -	ered with the SEC, its registration number:		
CRD Number (if any):			
City:	fice used principally by the <i>private fund</i> (city, s State:	Country:	
LONDON		United Kingdom	
(e) Does this prime broker act a	is custodian for some or all of the <i>private fund</i>	's assets?	Yes No ⊙ O
, ,	<u>'</u>		
	is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the each prime broker.	e <i>private fund</i> uses more than
(c) If the prime broker is registe 8 - 3716	ered with the SEC, its registration number:		
CRD Number (if any): 2739			
(d) Location of prime broker's of	ffice used principally by the <i>private fund</i> (city, s	state and country):	
(a) Location of prime brokers of	State: New York	Country: United States	
City:	New Tork	officed States	Yes No
			100 110
City: NEW YORK	s custodian for some or all of the <i>private fund</i>	's assets?	⊙

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:

SKANDINAVISKA ENSKILDA BANKEN AB

(c) If the pr	rime broker is registered with th	he SEC, its registration number:		
- CRD Nu	mber (if any):			
(d) Locatior	n of prime broker's office used p	orincipally by the <i>private fund</i> (city, sta	ite and country):	
City: STOCKF	HOLM	State:	Country: Sweden	
(e) Does th	nis prime broker act as custodiar	n for some or all of the <i>private fund's</i>	assets?	Yes ⊙
		espond to questions (b) through (e) stions (b) through (e) separately for e	pelow for each prime broker the <i>private fund</i> ach prime broker.	uses. If the <i>private fund</i> uses more than
	of the prime broker: E GENERALE			
(c) If the pi	rime broker is registered with th	he SEC, its registration number:		
- CRD Nu	mber (if any):			
(d) Location	n of prime broker's office used p	orincipally by the <i>private fund</i> (city, sta	ite and country):	
City: PARIS		State:	Country: France	
171103			Trance	Yes
(e) Does th	is prime broker act as custodiar	n for some or all of the private fund's	assets?	•
	of the prime broker: ARD CHARTERED BANK			
(c) If the pi	rime broker is registered with th	he SEC, its registration number:		
- CRD Nu	mber (if any):			
(d) Location	n of prime broker's office used p	orincipally by the <i>private fund</i> (city, sta	ite and country):	
City: NEW YC)RK	State: New York	Country: United States	
				Yes
(e) Does th	iis prime broker act as custodiar	n for some or all of the <i>private fund's</i>	assets?	•
NEW YC	nis prime broker act as custodiar	New York n for some or all of the <i>private fund's</i>	United States assets?	
		espond to questions (b) through (e) listions (b) through (e) separately for e	pelow for each prime broker the <i>private fund</i> ach prime broker.	uses. If the <i>private fund</i> uses more that
	of the prime broker: NK OF NOVA SCOTIA			
(c) If the pr	rime broker is registered with th	ne SEC, its registration number:		
CRD Nu	mber (if any):			
(d) Location	n of prime broker's office used n	principally by the <i>private fund</i> (city, sta	ite and country):	

City:	State:	Country:	
TORONTO		Canada	
(a) Doos this prime broker set as a	custodian for some or all of the <i>private fund's</i> a	accotc?	Υ
(e) Does this prime broker act as c	sustoulant for some of all of the private fund's i	122E(2)	
•	"yes," respond to questions (b) through (e) bete questions (b) through (e) separately for e	pelow for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e <i>private fund</i> uses more tl
(b) Name of the prime broker: UBS AG			
(c) If the prime broker is registered	d with the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office	e used principally by the <i>private fund</i> (city, sta	ite and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New Tork	officed States	Υ
(e) Does this prime broker act as c	custodian for some or all of the private fund's	assets?	
•	"yes," respond to questions (b) through (e) bete questions (b) through (e) separately for e	pelow for each prime broker the <i>private fund</i> uses. If the ach prime broker.	e <i>private fund</i> uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651		·	e <i>private fund</i> uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered	ete questions (b) through (e) separately for e	·	e <i>private fund</i> uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654	ete questions (b) through (e) separately for e	ach prime broker.	e <i>private fund</i> uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City:	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, sta	ach prime broker. Inte and country): Country:	e <i>private fund</i> uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, sta	ach prime broker.	e private fund uses more t
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, state: New York	ach prime broker. Ite and country): Country: United States	e <i>private fund</i> uses more
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, sta	ach prime broker. Ite and country): Country: United States	
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK (e) Does this prime broker act as complete to the prim	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, state:	ach prime broker. Ite and country): Country: United States assets?	
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK (e) Does this prime broker act as complete the private fund use any custodictions of the private	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, state:	ach prime broker. Ite and country): Country: United States assets?	
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK (e) Does this prime broker act as complete private fund use any custoding the answer to question 25.(a) is "you must complete prime broker."	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, state:	ach prime broker. Ite and country): Country: United States assets? It to hold some or all of its assets? It to hold some or all of its assets?	
one prime broker, you must complete (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office City: NEW YORK (e) Does this prime broker act as complete private fund use any custoding the answer to question 25.(a) is "you must complete prime broker."	ete questions (b) through (e) separately for e d with the SEC, its registration number: e used principally by the <i>private fund</i> (city, state:	ach prime broker. Ite and country): Country: United States assets? It to hold some or all of its assets? It to hold some or all of its assets?	

(b) Legal name of custodian:

City:

ALLSPRING FUNDS MANAGEMENT, LLC

(d) The location of the custodian's office responsible for *custody* of the *private fund's* assets (city, state and country):

State:

Country:

(c) Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC

(e) Is the custodian a related person of you	our firm?		Yes No
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer 549300HDKZE50HZZOG90	r, or is a broker-dealer but does not h	nave an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
If the answer to question 25.(a) is "yes," custodian, you must complete questions (below for each custodian the <i>private fund</i> uses. If the <i>private</i> stodian.	e fund uses more than one
(b) Legal name of custodian: BANK OF AMERICA, N.A.			
(c) Primary business name of custodian: BANK OF AMERICA, N.A.			
(d) The location of the custodian's office r	responsible for <i>custody</i> of the <i>private</i> i	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a related person of you	our firm?		Yes No
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if a	any):	
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer B4TYDEB6GKMZO031MB27	r, or is a broker-dealer but does not h	nave an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
If the answer to question 25.(a) is "yes," custodian, you must complete questions (below for each custodian the <i>private fund</i> uses. If the <i>private</i> stodian.	e fund uses more than one
(b) Legal name of custodian: BANK OF MONTREAL			
(c) Primary business name of custodian: BANK OF MONTREAL			
(d) The location of the custodian's office r	responsible for <i>custody</i> of the <i>private</i> i	fund's assets (city, state and country):	
City: TORONTO	State:	Country: Canada	
(e) Is the custodian a <i>related person</i> of yo	our firm?		Yes No
(f) If the custodian is a broker-dealer, pro			
-	ovide its SEC registration number (if a	any):	
CRD Number (if any):	ovide its SEC registration number (if a	any):	

Delaware

United States

WILMINGTON

		ons (b) through (g) separately for each	h custodian.	a uses more than one
(b)	Legal name of custodian: BANK OF NEW YORK MELLON			
(c)	Primary business name of custod BANK OF NEW YORK MELLON	ian:		
(d)	City:	fice responsible for <i>custody</i> of the <i>pri</i> State:	vate fund's assets (city, state and country): Country:	
	NEW YORK	New York	United States	Yes No
(e)	Is the custodian a related person	of your firm?		0 0
(f)	If the custodian is a broker-deale	r, provide its SEC registration number	(if any):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-d HPFHU00Q28E4N0NFVK49	lealer, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity identifier	· (if any)
cus	todian, you must complete question	ves," respond to questions (b) through ons (b) through (g) separately for eac	ng) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> h custodian.	d uses more than one
(b)	Legal name of custodian: BARCLAYS BANK PLC			
(c)	Primary business name of custod BARCLAYS BANK PLC	ian:		
(d)	The location of the custodian's of	fice responsible for <i>custody</i> of the <i>pri</i>	vate fund's assets (city, state and country):	
	City: LONDON	State:	Country: United Kingdom	
(0)	Is the custodian a <i>related person</i>	of your firm?		Yes No
(e)	is the custodian a related person	or your mine		0 0
(f)	If the custodian is a broker-deale	r, provide its SEC registration number	(if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-d G5GSEF7VJP5I7OUK5573	lealer, or is a broker-dealer but does	not have an SEC registration number, provide its legal entity identifier	(if any)
cus (b)	Legal name of custodian: BARCLAYS BANK PLC, NEW YORK Primary business name of custod BARCLAYS BANK PLC, NEW YORK	ons (b) through (g) separately for each BRANCH ian:	ng) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> h custodian. **The custodian of the private fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses are fund uses are fund uses. If the private fund uses are	d uses more than one
` '	City:	State:	Country:	
	NEW YORK	Now York	United States	

tion number, provide its <i>legal entity identifier</i> (if any)
odian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one
tate and country):
ountry: nited States
Yes No
tion number, provide its <i>legal entity identifier</i> (if any)
odian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one
tate and country):
Yes No
tion number, provide its <i>legal entity identifier</i> (if any)
t on

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.

(0)	BLACK ROCK, INC.			
(c)	Primary business name of custodian: BLACK ROCK, INC.			
(d)	The location of the custodian's office r	esponsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	Yes No
(e)	Is the custodian a related person of you	ur firm?		0 0
(f)	If the custodian is a broker-dealer, pro	ovide its SEC registration number (if	any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer 549300LRIF3NWCU26A80	, or is a broker-dealer but does not l	have an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
	he answer to question 25.(a) is "yes," is todian, you must complete questions (b		below for each custodian the <i>private fund</i> uses. If the <i>private</i> ustodian.	e fund uses more than one
(b)	Legal name of custodian: BMO CAPITAL MARKETS CORP.			
(c)	Primary business name of custodian: BMO CAPITAL MARKETS CORP.			
(d)	The location of the custodian's office r		fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of you	ur firm?		Yes No
(f)	If the custodian is a broker-dealer, pro	ovide its SEC registration number (if	any):	
	8 - 34344 CRD Number (if any): 16686			
(g)	If the custodian is not a broker-dealer	, or is a broker-dealer but does not I	have an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
	he answer to question 25.(a) is "yes," is todian, you must complete questions (b		below for each custodian the <i>private fund</i> uses. If the <i>private</i> ustodian.	e fund uses more than one
(b)	Legal name of custodian: BNP PARIBAS			
(c)	Primary business name of custodian: BNP PARIBAS			
(d)	The location of the custodian's office r	•		
	City: NEW YORK	State: New York	Country: United States	
				Yes No
(e)	Is the custodian a related person of you	ur firm?		0 0
(f)	If the custodian is a broker-dealer, pro	ovide its SEC registration number (if	anv):	
(')	I I I I I I I I I I I I I I I I I		- 37	

	CRD Number (if any):				
(g) If the custodian is not a broker-dealer, or is a b ROMUWSFPU8MPRO8K5P83	proker-dealer but does not	have an SEC registr	ration number, provide its legal entity identifier (if any)	
	the answer to question 25.(a) is "yes," respond t stodian, you must complete questions (b) through			todian the <i>private fund</i> uses. If the <i>private fund</i> uses me	ore than one
(b)	Legal name of custodian: BNP PARIBAS SECURITIES CORP.				
(c)	Primary business name of custodian: BNP PARIBAS SECURITIES CORP.				
(d)	The location of the custodian's office responsible	e for <i>custody</i> of the <i>private</i>	fund's assets (city,	state and country):	
	City: NEW YORK	State: New York		Country: Jnited States	
	WEW TORK	New York	`	Sinted States	Yes No
(e)) Is the custodian a <i>related person</i> of your firm?				○ ⊙
(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if	any):		
	CRD Number (if any):				
(g) If the custodian is not a broker-dealer, or is a b RCNB6OTYUAMMP879YW96	proker-dealer but does not	have an SEC registr	ration number, provide its <i>legal entity identifier</i> (if any)	
	the answer to question 25.(a) is "yes," respond t stodian, you must complete questions (b) througl			todian the <i>private fund</i> uses. If the <i>private fund</i> uses me	ore than one
(b)) Legal name of custodian: BOFA SECURITIES INDIA LIMITED				
(c)	Primary business name of custodian: BOFA SECURITIES INDIA LIMITED				
(d)	The location of the custodian's office responsibl	e for <i>custody</i> of the <i>private</i>	fund's assets (city,	state and country):	
	City:	State:		Country:	
	MUMBAI			India	Yes No
(e)	Is the custodian a <i>related person</i> of your firm?				0 0
(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if	any):		
	CRD Number (if any):				
(g) If the custodian is not a broker-dealer, or is a b 549300A5QXDCAXLKH833	proker-dealer but does not	have an SEC registr	ration number, provide its <i>legal entity identifier</i> (if any)	
	the answer to question 25.(a) is "yes," respond t			todian the <i>private fund</i> uses. If the <i>private fund</i> uses me	ore than one

(b) Legal name of custodian: BOFA SECURITIES, INC.

(c)	Primary business name of custodian: BOFA SECURITIES, INC.			
(d)	The location of the custodian's office responsible City:	State:	Country:	
(0)	NEW YORK	New York	United States	Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			○ ●
(f)	If the custodian is a broker-dealer, provide its 8 - 69787	SEC registration number (if any):		
	CRD Number (if any): 283942			
(g)	If the custodian is not a broker-dealer, or is a	broker-dealer but does not have an	SEC registration number, provide its legal entity	identifier (if any)
11	the answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) through		or each custodian the <i>private fund</i> uses. If the <i>pr</i>	ivate fund uses more than one
(b)	Legal name of custodian: CIBC WORLD MARKETS CORP.			
(c)	Primary business name of custodian: CIBC WORLD MARKETS CORP.			
(d)	The location of the custodian's office responsib	ole for <i>custody</i> of the <i>private fund's</i> a	essets (city, state and country):	
	City: WILMINGTON	State: Delaware	Country: United States	Vac Na
(e)	Is the custodian a related person of your firm?			Yes No ○ •
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a 549300445CON3DBMU275	broker-dealer but does not have an	SEC registration number, provide its legal entity	identifier (if any)
	the answer to question 25.(a) is "yes," respond stodian, you must complete questions (b) throug		or each custodian the <i>private fund</i> uses. If the <i>pr</i> I.	ivate fund uses more than one
(b)	Legal name of custodian: CITIBANK N.A.			
(c)	Primary business name of custodian: CITIBANK N.A.			
(d)	The location of the custodian's office responsib	·	. ,	
	City: NEW YORK	State: New York	Country: United States	Yes No
(e)	Is the custodian a related person of your firm?			0 0
(f)	If the custodian is a broker-dealer, provide its	SEC registration number (if any):		

CRD Number (if any):

16.11			
	a) is "yes," respond to questions (b) questions (b) through (g) separately) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses is the private fund to you for each custodian.	uses more than one
(b) Legal name of custodian: CITIGROUP GLOBAL MARKE	ETS INC.		
(c) Primary business name of a CITIGROUP GLOBAL MARKE			
(d) The location of the custodia	an's office responsible for <i>custody</i> of	f the <i>private fund's</i> assets (city, state and country):	
City:	State: New York	Country: United States	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a related p	person of your firm?		0 6
(f) If the custodian is a broker	r-dealer, provide its SEC registration	number (if any):	
8 - 8177			
CRD Number (if any): 7059			
(g) If the custodian is not a broad	-oker-dealer, or is a broker-dealer bι	ut does not have an SEC registration number, provide its legal entity identifier (i	if any)
(b) Legal name of custodian: CITIGROUP GLOBAL MARKE	TS LTD		
(c) Primary business name of a CITIGROUP GLOBAL MARKE			
(d) The location of the custodic			
		f the <i>private fund's</i> assets (city, state and country):	
City:	an's office responsible for <i>custody</i> of State:	Country:	
			Yes No
City: LONDON	State:	Country:	
City: LONDON (e) Is the custodian a <i>related p</i>	State:	Country: United Kingdom	
City: LONDON (e) Is the custodian a <i>related p</i>	State: person of your firm?	Country: United Kingdom	Yes No
City: LONDON (e) Is the custodian a <i>related p</i> (f) If the custodian is a broker -	State: person of your firm?	Country: United Kingdom	
City: LONDON (e) Is the custodian a related p (f) If the custodian is a broker - CRD Number (if any):	State: person of your firm? r-dealer, provide its SEC registration	Country: United Kingdom	0 @
City: LONDON (e) Is the custodian a related p (f) If the custodian is a broker - CRD Number (if any): (g) If the custodian is not a broker XKZZ2JZF41MRHTR1V493	State: person of your firm? r-dealer, provide its SEC registration roker-dealer, or is a broker-dealer but a) is "yes," respond to questions (b)	Country: United Kingdom n number (if any): ut does not have an SEC registration number, provide its legal entity identifier (i	if any)
City: LONDON (e) Is the custodian a related p (f) If the custodian is a broker - CRD Number (if any): (g) If the custodian is not a broker XKZZ2JZF41MRHTR1V493	State: person of your firm? r-dealer, provide its SEC registration roker-dealer, or is a broker-dealer bu	Country: United Kingdom n number (if any): ut does not have an SEC registration number, provide its legal entity identifier (i	if any)

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

E570DZWZ7FF32TWEFA76

(c) Primary business name of custodian: COMPUTERSHARE LIMITED

Vest Color	(d) The location of the custodian's City: CHICAGO	s office responsible for <i>custody</i> of the <i>priva</i> . State: Illinois	<i>te fund's</i> assets (city, state and country): Country: United States	
(i) If the custodian is a broken-dealer, provide its bett registration number (if any): (ii) If the custodian is a broken-dealer, or is a broven-dealer but does not have an Set registration number, provide its legal contry identific (if any) (ii) If the custodian is a broken-dealer, or is a broven-dealer but does not have an Set registration number, provide its legal contry identific (if any) (ii) Legal name or custodian. (CONTINNEL IAL NUCK) Intelligent (ii) Intelligent (iii) Intelligent				Yes N
CRID humore (if any): (i) If the custodian is not a broker-decler, or is a broker-decler, but does not have an SEC registration number, provide its logisl energy bootstate (if any) (ii) If the answer to question 25.(4) is "yes," respond to questions (ii) through (ii) below for each custodian, the private fund uses. If the private fund uses if	(e) is the custodian a related pers	son or your mim?		0 6
the answer to question 25 (a) is "yes," responsible of consistency of the private fund uses in the answer to question 25 (a) is "yes," responsible of the answer to question 25 (b) is "yes," responsible of the answer to question 25 (c) is "yes," responsible of the answer to question 25 (c) is "yes," responsible of consistency of the answer to question 25 (c) is "yes," responsible of consistency of the answer to question 35 (c) is "yes," responsible of consistency of the private fund uses in the fund uses in the fund uses in the private fund uses in the fund uses in the fund uses in the private fund uses in the fund uses in the fund uses in the fund uses in the private fund uses in the private fund uses in the fund uses in the fund uses in the private fund uses. If the private fund uses in the fund use in the private fund uses in the fund u	(f) If the custodian is a broker-de	aler, provide its SEC registration number (f any):	
t the answer to question 25.(a) is "yes," respond to questions (b) through (g) separately for each custodian the private hand uses. If the private hand uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Oblition STOCK TRANSPER'S TRUST COMPANY Or through questions name or custodian. Oblition STOCK TRANSPER'S TRUST COMPANY (i) The location or the custodian's ontice responsible for custody or the private rund's assets (city, state and country): Clip Stock Oblition STANSPER'S TRUST COMPANY (ii) The custodian's and country provide its SEC registration number (if any): Clumber (if any): (ii) The custodian is a broken-dealer, provide its SEC registration number (if any): (iii) The custodian is not a broken-dealer, or is a broken-dealer but does not have an SEC registration number, provide its legal entity identitier (if any) If the custodian is not a broken-dealer, or is a broken-dealer but does not have an SEC registration number, provide its legal entity identitier (if any) If the answer to question 25.(a) is "yes," respond to questions (b) through (g) separately for each custodian in the private fund uses more than one custodian, you must complete duestions (b) through (g) separately for each custodian. (ii) Legal name of custodians office responsible for custody of the private fund's assets (city, state and country): Clip Transpositions a colored parsen of your firm? Light of Custodian is a broken-dealer, provide its SEC registration number (if any): Yes Custodian is a broken-dealer, provide its SEC registration number (if any):	CRD Number (if any):			
Legal name of custodian. Description of the custodian is an an architect person of your firm? Other than the custodian is a broker dealer, or is a broker dealer but does not have an SEC registration number, provide its legal next flue private fund is sected for custodian. The custodian is a broker dealer, or is a broker dealer but does not have an SEC registration number, provide its legal next flue private fund is sected for custodian. The custodian is a broker dealer, or is a broker dealer but does not have an SEC registration number, provide its legal next flue private fund uses more than encustodian. The custodian is not a broker dealer, or is a broker dealer but does not have an SEC registration number, provide its legal next flue private fund uses more than encustodian. The answer to question 25 (a) is "yes," respond to questions (b) through (g) separately for each custodian the private fund uses. If the private fund uses more than encustodian, you must complete questions (b) through (g) separately for each custodian. Depth name of custodian is office responsible for custody of the private fund's assets (alty, state and country). Dity: State: Country: LONION The legation of the custodian's office responsible for custody of the private fund's assets (alty, state and country). Dity: State: Country: LONION Ves If the custodian is a broker-dealer, provide its SEC registration number (if any):	(g) If the custodian is not a broke	er-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its <i>legal enti</i>	ty identifier (if any)
CONTINUAL STOCK TRANSFER & TRUST COMPANY (3) Primary business name of custodian. CONTINENTAL STOCK TRANSFER & TRUST COMPANY (3) The location of the custodian's office responsible for custody of the private fund's assots (city, state and country). City: NEW YORK New York United States Yes (4) Is the custodian a related person of your firm? (5) If the sustodian is a broker-dealer, provide its SEC registration number (if any):	•		•	private fund uses more than one
CONTINENTAL STOCK TRANSPER & TRUST COMPANY (3) The location of the custodian's office responsible for castody of the private fund's assets (city, state and country): (1) City State: Country: NEW YORK New York United States (2) Is the custodian a related person of your litrin? City State is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any): (3) If the answer to question 25,(a) is "yes," respond to questions (b) through (g) separately for each custodian. (4) Legal name of custodian: CRD Number (if supplications): (5) Legal name of custodian: CRD Number (if supplications): (6) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL. (6) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL. (7) If the custodian is net abroker-dealer, provide its SEC registration number (if any): - CRD Number (if any): Yes (8) Is the custodian is related person of your litrin? Yes C D If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	(b) Legal name of custodian: CONTINENTAL STOCK TRANSF	ER & TRUST COMPANY		
City: CRD Number (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any): 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 sustodian, you must complete questions (b) through (g) separately for each custodian. CREDIT SUISSE INTERNATIONAL (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: CREDIT SUISSE INTERNATIONAL (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: CINDON If the sustodian a rebited person of your firm? Yes (e) Is the custodian a rebited person of your firm? Yes COUNTY: COUNTY: COUNTY: COUNTY: CITY: COUNTY: COUNTY: CITY:	•			
NEW YORK New York United States Yes Is the custodian a related person of your firm? C Of If the custodian is a broker-dealer, provide its SEC registration number (it any): The answer to question 25. (a) is "yes," respond to questions (b) through (g) separately for each custodian. Legal name of custodian: CRED Number of custodian: CRED TUSISSE INTERNATIONAL (g) Primary business name of custodian: CREDIT SUSSE INTERNATIONAL (g) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: CREDIT SUSSE INTERNATIONAL (g) Is the custodian a related person of your firm? (g) It is the custodian a related person of your firm? (g) It is the custodian is a broker-dealer, provide its SEC registration number (it any): CREDIT SUSSE (any):	(d) The location of the custodian's	s office responsible for <i>custody</i> of the <i>priva</i>	te fund's assets (city, state and country):	
If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 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 sustedian, you must complete questions (b) through (g) separately for each custodian. CREDIT SUISSE INTERNATIONAL (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: CREDIT SUISSE INTERNATIONAL (e) Is the custodian a related person of your firm? (e) Is the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):			•	
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 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 sustodian, you must complete questions (b) through (q) separately for each custodian. (b) Legal name of custodian: CREDIT SUISSE INTERNATIONAL (g) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL (g) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: COUNTY: LONDON Yes (c) Is the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):				Yes N
CRD Number (if any): (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) (f) 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. (b) Legal name of custodian: CREDIT SUISSE INTERNATIONAL (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: LONDON Yes (c) Is the custodian a related person of your firm? C (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):	(e) Is the custodian a related pers	son of your firm?		0 6
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 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. (b) Legal name of custodian: CREDIT SUISSE INTERNATIONAL. (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: Cly: State: Country: LONDON United Kingdom Yes (e) Is the custodian a related person of your firm? C CRD Number (if any):	(f) If the custodian is a broker-de	ealer, provide its SEC registration number (fany):	
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 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. (b) Legal name of custodian: CREDIT SUISSE INTERNATIONAL. (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: Cly: State: Country: LONDON United Kingdom Yes (e) Is the custodian a related person of your firm? C CRD Number (if any):	- CRD Number (if any):			
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. (b) Legal name of custodian: CREDIT SUISSE INTERNATIONAL (c) Primary business name of custodian: CREDIT SUISSE INTERNATIONAL (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: City: State: Country: LONDON United Kingdom Yes (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any):				
custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian:	(g) If the custodian is not a broke	er-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its <i>legal enti</i>	ty identifier (if any)
custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian:				
CREDIT SUISSE INTERNATIONAL (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: LONDON State: Country: LONDON United Kingdom Yes (e) Is the custodian a <i>related person</i> of your firm? O (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	custodian, you must complete que (b) Legal name of custodian:	estions (b) through (g) separately for each		private fund uses more than one
City: State: Country: LONDON United Kingdom Yes (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	•			
Yes (e) Is the custodian a related person of your firm? (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	City:		Country:	
(f) If the custodian is a broker-dealer, provide its SEC registration number (if any): - CRD Number (if any):	LONDON		United Kingdom	Yes N
- CRD Number (if any):	(e) Is the custodian a related pers	son of your firm?		0 6
	(f) If the custodian is a broker-de	ealer, provide its SEC registration number (f any):	
	- CRD Number (if any):			
g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)	, - <i>3</i> /			
	(g) If the custodian is not a broke	er-dealer, or is a broker-dealer but does no	t have an SEC registration number, provide its <i>legal enti</i>	ty identifier (if any)

	·	5.(a) is "yes," respond to questi ete questions (b) through (g) se		•	ivate fund uses. If the private fund	d uses more than one
	Legal name of custodia CREDIT SUISSE SECUR	n: ITIES (EUROPE) LIMITED				
	Primary business name CREDIT SUISSE SECUR	of custodian: ITIES (EUROPE) LIMITED				
	The location of the cus City:	todian's office responsible for <i>cu</i> s State:	-	d's assets (city, state and co Country:	untry):	
	LONDON			United Kingdom		Yes No
(e)	Is the custodian a rela	ted person of your firm?				C ©
(f)	If the custodian is a bro	oker-dealer, provide its SEC regis	stration number (if any):		
	- CRD Number (if any):					
	If the custodian is not DL6FFRRLF74S01HE2M		ealer but does not hav	e an SEC registration numbe	r, provide its <i>legal entity identifier</i>	r (if any)
custo (b)	·	ete questions (b) through (g) sep		•	ivate fund uses. If the private fun	d uses more than one
	Primary business name CREDIT SUISSE SECUR					
	City:	todian's office responsible for <i>cus</i> State: New Y		d's assets (city, state and co Country: United States		
	NEW YORK	New Y	OI K	United States		Yes No
(e)	Is the custodian a rela	ted person of your firm?				○ ●
(f)	If the custodian is a bro	oker-dealer, provide its SEC regis	stration number (if any):		
	8 - 422 CRD Number (if any): 816					
(g)	If the custodian is not	a broker-dealer, or is a broker-d	ealer but does not hav	e an SEC registration numbe	r, provide its <i>legal entity identifier</i>	r (if any)
custo (b)	·	ete questions (b) through (g) sep		•	ivate fund uses. If the private fund	d uses more than one
	Primary business name DAIWA CAPITAL MARKE					
(d)	The location of the cus	todian's office responsible for <i>cu</i> s	stody of the <i>private fun</i>	d's assets (city, state and co	untry):	
	City:	State:		Country:		
	LONDON			United Kingdom		

(e) Is the custodian a <i>related person</i> of your firm?			0 0
(f) If the custodian is a broker-dealer, provide its SEC registration	on number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a broker-dealer MIM2K09LFYD4IB163W58	but does not have an	SEC registration number, provide its legal entity iden	tifier (if any)
If the answer to question 25.(a) is "yes," respond to questions (locustodian, you must complete questions (b) through (g) separate		·	fund uses more than one
(b) Legal name of custodian: DEUTSCHE BANK AG			
(c) Primary business name of custodian: DEUTSCHE BANK AG			
(d) The location of the custodian's office responsible for <i>custody</i>	of the <i>private fund's</i> a	assets (city, state and country):	
City: FRANKFURT	State:	Country: Germany	
		cormany	Yes No
(e) Is the custodian a <i>related person</i> of your firm?			○ ◎
(f) If the custodian is a broker-dealer, provide its SEC registration	on number (if any):		
- CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a broker-dealer	but does not have an	SEC registration number, provide its legal entity iden	tifier (if any)
7LTWFZYICNSX8D621K86			
If the answer to question 25.(a) is "yes," respond to questions (locustodian, you must complete questions (b) through (g) separate			fund uses more than one
(b) Legal name of custodian: EQUINITI TRUST COMPANY			
(c) Primary business name of custodian: EQUINITI TRUST COMPANY			
(d) The location of the custodian's office responsible for <i>custody</i>	of the <i>private fund's</i> a	assets (city, state and country):	
City: State: BOSTON Massachusetts		Country: United States	
BOSTON		officed States	Yes No
(e) Is the custodian a related person of your firm?			○ ●
(f) If the custodian is a broker-dealer, provide its SEC registration	on number (if any):		
CRD Number (if any):			
(g) If the custodian is not a broker-dealer, or is a broker-dealer	but does not have an	SEC registration number, provide its legal entity iden	tifier (if any)
II			

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.

(k	o) Legal name of custodian: GOLDMAN SACHS BANK USA				
(0	c) Primary business name of custodian: GOLDMAN SACHS BANK USA				
(0	d) The location of the custodian's office re	sponsible for <i>custody</i> o	of the <i>private fund's</i> as:	sets (city, state and country):	
	City:		State:	Country:	
	SALT LAKE CITY		Utah	United States	Yes No
(6	e) Is the custodian a <i>related person</i> of you	r firm?			0 @
(f) If the custodian is a broker-dealer, prov	ide its SEC registratior	n number (if any):		
	CRD Number (if any):				
(9	g) If the custodian is not a broker-dealer, KD3XUN7C6T14HNAYLU02	or is a broker-dealer b	out does not have an S	SEC registration number, provide its <i>legal</i>	entity identifier (if any)
CI	the answer to question 25.(a) is "yes," reustodian, you must complete questions (b) b) Legal name of custodian:			r each custodian the <i>private fund</i> uses. If	the <i>private fund</i> uses more than one
	GOLDMAN SACHS INTERNATIONAL				
(0	c) Primary business name of custodian: GOLDMAN SACHS INTERNATIONAL				
(0	d) The location of the custodian's office re	sponsible for <i>custody</i> o	of the <i>private fund's</i> as:	sets (city, state and country):	
	City: LONDON	State:	Count		
	LONDON		United	d Kingdom	Yes No
(6	e) Is the custodian a <i>related person</i> of you	r firm?			0 @
(f) If the custodian is a broker-dealer, prov	ide its SEC registratior	n number (if any):		
	CRD Number (if any):				
(9	g) If the custodian is not a broker-dealer, W22LROWP2IHZNBB6K528	or is a broker-dealer b	out does not have an S	SEC registration number, provide its <i>legal</i>	entity identifier (if any)
	the answer to question 25.(a) is "yes," reustodian, you must complete questions (b)			r each custodian the <i>private fund</i> uses. If	the <i>private fund</i> uses more than one
(k	b) Legal name of custodian: HSBC BANK PLC				
(0	c) Primary business name of custodian: HSBC BANK PLC				
(0	d) The location of the custodian's office re		,	, ,	
	City: LONDON	State:	Count United	ry: d Kingdom	
					Yes No
(6	e) Is the custodian a <i>related person</i> of you	firm?			0 @

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

(g) If the custodian is not a broker-dealer MP615ZYZBEU3UXPYFY54	r, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entity i</i> d	dentifier (if any)
If the answer to question 25.(a) is "yes," custodian, you must complete questions (ow for each custodian the <i>private fund</i> uses. If the <i>priv</i> idian.	vate fund uses more than one
(b) Legal name of custodian: HSBC BANK USA, N.A.			
(c) Primary business name of custodian: HSBC BANK USA, N.A.			
(d) The location of the custodian's office i	responsible for <i>custody</i> of the <i>private fun</i>	d's assets (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	United States	
			Yes No
(e) Is the custodian a related person of you	ur firm?		○ ⊙
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if any):	
CRD Number (if any):			
(g) If the custodian is not a broker-dealer	r, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entity i</i> d	dentifier (if any)
If the answer to question 25.(a) is "yes," custodian, you must complete questions (ow for each custodian the <i>private fund</i> uses. If the <i>priv</i> idian.	vate fund uses more than one
(b) Legal name of custodian: HSBC SECURITIES (USA) INC.			
(c) Primary business name of custodian: HSBC SECURITIES (USA) INC.			
(d) The location of the custodian's office i	responsible for <i>custody</i> of the <i>private fun</i>	d's assets (city, state and country):	
City:	State:	Country:	
WILMINGTON	Delaware	United States	
(e) Is the custodian a related person of you	ur firm?		Yes No ○ ⊙
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if any):	
CRD Number (if any):			
(g) If the custodian is not a broker-dealer CYYGQCGNHMHPSMRL3R97	r, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entity i</i> d	dentifier (if any)
If the answer to question 25 (a) is "yes "	respond to appetions (b) through a) hal	ow for each custodian the private funduses. If the private	vato fundusos moro than one

custodian, you must complete questions (b) through (g) separately for each custodian.

(b) Legal name of custodian:

CRD Number (if any):

(c)	Primary business name of custodian: INVESCO ADVISERS, INC.			
(d)	The location of the custodian's office re-	sponsible for <i>custody</i> of the <i>private fun</i>	d's assets (city, state and country):	
	City:	State:	Country:	
	WILMINGTON	Delaware	United States	
				Yes No
(e)	Is the custodian a related person of your	firm?		0 0
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration number (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, O37NHJVF7S22I1ONOU83	or is a broker-dealer but does not have	e an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
	ne answer to question 25.(a) is "yes," re todian, you must complete questions (b)		ow for each custodian the <i>private fund</i> uses. If the <i>pri</i> v	vate fund uses more than one
(b)	Legal name of custodian: J.P. MORGAN SECURITIES LLC			
(c)	Primary business name of custodian: J.P. MORGAN SECURITIES LLC			
(d)	The location of the custodian's office res		, , , , , , , , , , , , , , , , , , ,	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a <i>related person</i> of your	firm?		Yes No
(0)	To the custodian a related person of your			0 ⊙
(f)	If the custodian is a broker-dealer, prov 8 - 35008	ide its SEC registration number (if any):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer,	or is a broker-dealer but does not have	e an SEC registration number, provide its <i>legal entity i</i>	dentifier (if any)
	ne answer to question 25.(a) is "yes," retodian, you must complete questions (b)		ow for each custodian the <i>private fund</i> uses. If the <i>pri</i> vidian.	vate fund uses more than one
(b)	Legal name of custodian: J.P. MORGAN SECURITIES PLC			
(c)	Primary business name of custodian: J.P. MORGAN SECURITIES PLC			
(d)	The location of the custodian's office res			
	City: LONDON		Country: Jnited Kingdom	
	-	·	3	Yes No
(e)	Is the custodian a related person of your	firm?		0 0
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration number (if anv):	
. ,	, -	<u> </u>		

INVESCO ADVISERS, INC.

CRD Number (if any):

-	yes," respond to questions (b) through g) boons (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> todian.	nte fund uses more than one
b) Legal name of custodian: JPMORGAN CHASE BANK N.A.			
c) Primary business name of custod JPMORGAN CHASE BANK N.A.	lian:		
	ffice responsible for <i>custody</i> of the <i>private fo</i>		
City: NEW YORK	State: New York	Country: United States	
e) Is the custodian a related person	of your firm?		Yes O
f) If the custodian is a broker-deale	er, provide its SEC registration number (if a	ny):	
CRD Number (if any):			
g) If the custodian is not a broker-c 7H6GLXDRUGQFU57RNE97	dealer, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
ustodian, you must complete question b) Legal name of custodian:	yes," respond to questions (b) through g) boons (b) through (g) separately for each cus	elow for each custodian the <i>private fund</i> uses. If the <i>priva</i> todian.	nte fund uses more than one
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod	ons (b) through (g) separately for each cus		nte fund uses more than one
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED	ons (b) through (g) separately for each cus		nte fund uses more than one
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of	ons (b) through (g) separately for each custions.	und's assets (city, state and country):	nte fund uses more than one
ustodian, you must complete question D) Legal name of custodian: MACQUARIE BANK LIMITED C) Primary business name of custod MACQUARIE BANK LIMITED	ons (b) through (g) separately for each cus	todian.	nte fund uses more than one
ustodian, you must complete question D) Legal name of custodian: MACQUARIE BANK LIMITED C) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY	ons (b) through (g) separately for each custion: If it is a separately for each custom in the second custom in th	und's assets (city, state and country): Country:	rte fund uses more than one
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person	ons (b) through (g) separately for each custion: If it is a separately for each custom in the second custom in th	und's assets (city, state and country): Country: Australia	Yes
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person	ons (b) through (g) separately for each custion: Ilian: Iffice responsible for <i>custody</i> of the <i>private for</i> State: of your firm?	und's assets (city, state and country): Country: Australia	Yes
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person f) If the custodian is a broker-dealed CRD Number (if any):	dian: Hian: State: of your firm? er, provide its SEC registration number (if an	and's assets (city, state and country): Country: Australia	Yes
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person f) If the custodian is a broker-dealed CRD Number (if any):	dian: Hian: State: of your firm? er, provide its SEC registration number (if an	und's assets (city, state and country): Country: Australia	Yes
b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person f) If the custodian is a broker-deale - CRD Number (if any):	dian: Hian: State: of your firm? er, provide its SEC registration number (if an	and's assets (city, state and country): Country: Australia	Yes
ustodian, you must complete question b) Legal name of custodian: MACQUARIE BANK LIMITED c) Primary business name of custod MACQUARIE BANK LIMITED d) The location of the custodian's of City: SYDNEY e) Is the custodian a related person f) If the custodian is a broker-dealer - CRD Number (if any): g) If the custodian is not a broker-dealer - 4ZHCHI4KYZG2WVRT8631	dian: ffice responsible for <i>custody</i> of the <i>private for</i> State: of your firm? er, provide its SEC registration number (if an element of the state)	and's assets (city, state and country): Country: Australia	Yes O

(b) Legal name of custodian:

MERRILL LYNCH INTERNATIONAL

(c) Primary business name of custodian:

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

City: LONDON	State:		ntry: :ed Kingdom	
			5	Yes No
(e) Is the custodian a related	person of your firm?			○ ●
(f) If the custodian is a broke	r-dealer, provide its SEC regis	stration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a b GGDZP1UYGU9STUHRDP48		ealer but does not have a	n SEC registration number, provide its <i>legal entity id</i>	dentifier (if any)
custodian, you must complete (b) Legal name of custodian:	questions (b) through (g) sep		for each custodian the <i>private fund</i> uses. If the <i>priv</i> n.	ate fund uses more than one
MIZUHO CAPITAL MARKETS (c) Primary business name of MIZUHO CAPITAL MARKETS	custodian:			
(d) The location of the custod	ian's office responsible for <i>cus</i>	stody of the private fund's	assets (city, state and country):	
City:		State:	Country:	
WILMINGTON		Delaware	United States	Yes No
(e) Is the custodian a related	person of your firm?			O •
(f) If the custodian is a broke	r-dealer, provide its SEC regis	stration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a book OV6W8S6QX2D1J857QP30		ealer but does not have a	n SEC registration number, provide its <i>legal entity id</i>	dentifier (if any)
If the answer to question 25.(custodian, you must complete			for each custodian the <i>private fund</i> uses. If the <i>priv</i> n.	rate fund uses more than one
(b) Legal name of custodian: MIZUHO MARKETS CAYMAN	N LP			
(c) Primary business name of MIZUHO MARKETS CAYMAN				
(d) The location of the custod City:	ian's office responsible for <i>cus</i>	stody of the <i>private fund's</i> State:	assets (city, state and country): Country:	
GRAND CAYMAN			Cayman Islands	Yes No
(e) Is the custodian a related	person of your firm?			o •
(0) 16.11	n dealar manyida ita CEC mania	atratian number (if any)		
(f) If the custodian is a broke	r-dealer, provide its SEC regis	stration number (ii any):		

MERRILL LYNCH INTERNATIONAL

CRD Number (if any):

	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 stodian, you must complete questions (b) through (g) separately for each custodian.	than on	9
(b)	Legal name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PLC		
(c)	Primary business name of custodian: MORGAN STANLEY & CO. INTERNATIONAL PLC		
(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: LONDON United Kingdom		
	London Cinted Kingdon	Yes	N
(e)	Is the custodian a related person of your firm?	0	•
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 4PQUHN3JPFGFNF3BB653		
cus	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 <i>private fund</i> uses more stodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: MORGAN STANLEY CAPITAL SERVICES, INC.	than one	Э
(c)	Primary business name of custodian: MORGAN STANLEY CAPITAL SERVICES, INC.		
(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: NEW YORK New York United States		
(e)	Is the custodian a <i>related person</i> of your firm?	Yes O	
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) I7331LVCZKQKX5T7XV54		
	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 stodian, you must complete questions (b) through (g) separately for each custodian.	than one	9
(b)	Legal name of custodian: NATIONAL BANK OF CANADA FINANCIAL INC.		

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

549300KHUXLS6Q30KT26

(c) Primary business name of custodian:

NATIONAL BANK OF CANADA FINANCIAL INC.

(d)	The location of the custodian's	office responsible for <i>custody</i> of the <i>private fu</i>	und's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	Yes No
(e)	Is the custodian a related perso	on of your firm?		0 @
(f)	If the custodian is a broker-dea	aler, provide its SEC registration number (if ar	ıy):	
	8 - 39947			
	CRD Number (if any): 22698			
(g)	If the custodian is not a broker	-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity ider	ntifier (if any)
If th	a answer to question 25 (a) is	"yes " respond to questions (b) through a) b	elow for each custodian the <i>private fund</i> uses. If the <i>private</i>	a funduses more than one
	•	stions (b) through (g) separately for each cus	·	e runa uses more man one
	Legal name of custodian:			
	NATIXIS SA			
(c)	Primary business name of cust	odian.		
	NATIXIS SA	Jaian.		
		office responsible for <i>custody</i> of the <i>private fu</i>		
	City: PARIS	State:	Country: France	
	TANIS		Traffice	Yes N
(e)	Is the custodian a related person	on of your firm?		0 6
(f)	If the custodian is a broker-dea	aler, provide its SEC registration number (if ar	ıy):	
	-			
	CRD Number (if any):			
(g)	If the custodian is not a broker	-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity ider	ntifier (if any)
	KX1WK48MPD4Y2NCUIZ63			
If th	e answer to question 25.(a) is	"yes," respond to questions (b) through g) b	elow for each custodian the private fund uses. If the private	e fund uses more than one
cust	odian, you must complete ques	stions (b) through (g) separately for each cus	todian.	
	Legal name of custodian: NATIXIS SECURITIES AMERICAS	SILC		
(c)	Primary business name of cust	odian:		
	NATIXIS SECURITIES AMERICAS	3 LLC		
(1)	TI I I I I I I I I I I I I I I I I I I			
	The location of the custodian's City:	office responsible for <i>custody</i> of the <i>private fu</i> State:	und's assets (city, state and country): Country:	
	WILMINGTON	Delaware	United States	
				Yes N
(e)	Is the custodian a related person	on of your firm?		0 @
		aler, provide its SEC registration number (if ar	ny):	
	8 - 719			
	CRD Number (if any): 1101			
(g)	If the custodian is not a broker	-dealer, or is a broker-dealer but does not ha	ave an SEC registration number, provide its legal entity ider	ntifier (if any)

	answer to question 25.(a) is "yes," respond lian, you must complete questions (b) throu			ses. If the <i>private fund</i> uses more than one
	egal name of custodian: ATWEST MARKETS PLC			
	imary business name of custodian: ATWEST MARKETS PLC			
	ne location of the custodian's office responsi	•		
	ty: DINBURGH	State:	Country: United Kingdom	
(-) l-	Alexander and a second a second and a second a second and			Yes No
(e) 15	the custodian a <i>related person</i> of your firm?			0 @
(f) If	the custodian is a broker-dealer, provide its	s SEC registration number (if a	ny):	
- CR	RD Number (if any):			
_	the custodian is not a broker-dealer, or is a	a broker-dealer but does not ha	ave an SEC registration number, provide it	s <i>legal entity identifier</i> (if any)
custod (b) Le	answer to question 25.(a) is "yes," responding the street of the street		•	ses. If the <i>private fund</i> uses more than one
	OMURA GLOBAL FINANCIAL PRODUCTS INC.			
	imary business name of custodian: DMURA GLOBAL FINANCIAL PRODUCTS INC.			
(d) Th	ne location of the custodian's office responsi	ible for <i>custody</i> of the <i>private for</i>	und's assets (city, state and country):	
	ty: EW YORK	State: New York	Country: United States	
INC	EW TORK	New TOLK	offited States	Yes No
(e) Is	the custodian a related person of your firm?			0 0
(f) If	the custodian is a broker-dealer, provide its	s SEC registration number (if a	ny):	
- CR	RD Number (if any):			
_	the custodian is not a broker-dealer, or is a Z3VO5H2G7GRS05BHJ91	a broker-dealer but does not ha	ave an SEC registration number, provide it	s legal entity identifier (if any)
(b) Le	answer to question 25.(a) is "yes," respondian, you must complete questions (b) througant name of custodian: DMURA INTERNATIONAL PLC imary business name of custodian: DMURA INTERNATIONAL PLC			ses. If the <i>private fund</i> uses more than one
	ne location of the custodian's office responsity:	ible for <i>custody</i> of the <i>private f</i> o State:	und's assets (city, state and country): Country:	
	DNDON		United Kingdom	

(e)	Is the custodian a <i>related person</i> of your firm?			C	0	•
(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if	any):			
	- CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a b DGQCSV2PHVF7I2743539	broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)		
	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		below for each custodian the <i>private fund</i> uses. If the <i>pr</i>	ivate fund uses more than	one	.
(b)	Legal name of custodian: NORTHERN TRUST INVESTMENTS, INC.					
(c)	Primary business name of custodian: NORTHERN TRUST INVESTMENTS, INC.					
(d)	The location of the custodian's office responsible					
	City: CHICAGO	State: Illinois	Country: United States			
(e)	Is the custodian a <i>related person</i> of your firm?				es Ö	No ⊙
(f)	If the custodian is a broker-dealer, provide its S	SEC registration number (if	any):			
	CRD Number (if any):					
(g)	If the custodian is not a broker-dealer, or is a beautiful BEL4B8X7EHJU845Y2N39	broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)		
	ne answer to question 25.(a) is "yes," respond todian, you must complete questions (b) throug		below for each custodian the <i>private fund</i> uses. If the <i>pr</i>	ivate fund uses more than	one	;
(b)	Legal name of custodian: SCOTIA CAPITAL (USA) INC.					
(c)	Primary business name of custodian: SCOTIA CAPITAL (USA) INC.					
(d)	The location of the custodian's office responsible					
	City: NEW YORK	State: New York	Country: United States			
(e)	Is the custodian a <i>related person</i> of your firm?				es O	No ⊙
(f)	If the custodian is a broker-dealer, provide its \$8 - 3716	SEC registration number (if	any):			
	CRD Number (if any): 2739					
(g)	If the custodian is not a broker-dealer, or is a b	broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)		

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

Yes No

custodian, you must complete	questions (b) through (g) separately for e	each custodian.		
(b) Legal name of custodian: SKANDINAVISKA ENSKILDA	A BANKEN AB			
(c) Primary business name of SKANDINAVISKA ENSKILDA				
(d) The location of the custod	lian's office responsible for $\it custody$ of the $\it p$	orivate fund's assets (city, state and	country):	
City: STOCKHOLM		State:	Country: Sweden	
(e) Is the custodian a related	person of your firm?			Yes No
(f) If the custodian is a broke	er-dealer, provide its SEC registration numb	per (if any):		
- CRD Number (if any):				
(g) If the custodian is not a b F3JS33DEI6XQ4ZBPTN86	roker-dealer, or is a broker-dealer but doe	es not have an SEC registration num	nber, provide its <i>legal entity identifier</i> (if any)	
	•		e private fund uses. If the private fund uses mo	ore than one
custodian, you must complete	questions (b) through (g) separately for e	each custodian.		
(b) Legal name of custodian: SOCIETE GENERALE				
(c) Primary business name of SOCIETE GENERALE	custodian:			
(d) The location of the custod	lian's office responsible for <i>custody</i> of the μ	orivate fund's assets (city, state and	country):	
City: PARIS	State:	Country: France		
(e) Is the custodian a <i>related</i>	person of your firm?			Yes No ○ ⊙
(f) If the custodian is a broke	er-dealer, provide its SEC registration numb	per (if any):		
- CRD Number (if any):				
(g) If the custodian is not a b O2RNE8IBXP4R0TD8PU41	roker-dealer, or is a broker-dealer but doe	s not have an SEC registration nun	nber, provide its <i>legal entity identifier</i> (if any)	
If the answer to question 25 ((a) is "yes " respond to questions (b) throu	ugh a) holow for each custodian the	e private fund uses. If the private fund uses mo	oro than ono
	questions (b) through (g) separately for e		, private fana uses. If the private fana uses me	ine than one
(b) Legal name of custodian: STANDARD CHARTERED BA	NK			
(c) Primary business name of STANDARD CHARTERED BA				
(d) The location of the custod	lian's office responsible for <i>custody</i> of the <i>p</i>	orivate fund's assets (city, state and	country):	
City: NEW YORK	State: New York	Country: United Sta	ites	
INLAN TORK	NEW TOLK	onited Sta	1103	Yes No
(e) Is the custodian a related	person of your firm?			0 0

(٢)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) RILFO74KP1CM8P6PCT96		
	he 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 <i>private fund</i> uses more that stodian, you must complete questions (b) through (g) separately for each custodian.	an one	
(b)	Legal name of custodian: STATE STREET INSTITUTIONAL INVESTMENT TRUST		
(c)	Primary business name of custodian: STATE STREET INSTITUTIONAL INVESTMENT TRUST		
(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: BOSTON Massachusetts United States	Yes N	No
(e)	Is the custodian a <i>related person</i> of your firm?	0 0	•
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)		
	he 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 the stodian, you must complete questions (b) through (g) separately for each custodian.	an one	
(b)	Legal name of custodian: THE BANK OF NOVA SCOTIA		
(c)	Primary business name of custodian: THE BANK OF NOVA SCOTIA		
(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: TORONTO Canada		
(e)	Is the custodian a <i>related person</i> of your firm?	Yes N	Vo ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) L319ZG2KFGXZ61BMYR72		
	he 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 that stodian, you must complete questions (b) through (g) separately for each custodian.	an one	

(b) Legal name of custodian:

(c)	Primary business name of custodian: UBS AG			
(d)	The location of the custodian's office re	sponsible for <i>custody</i> of the <i>private f</i>	und's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW TORK	New YORK	United States	Yes No
(e)	Is the custodian a related person of your	firm?		○ ●
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration number (if a	ny):	
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, BFM8T61CT2L1QCEMIK50	or is a broker-dealer but does not h	ave an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
	the answer to question 25.(a) is "yes," restodian, you must complete questions (b)		pelow for each custodian the <i>private fund</i> uses. If the <i>private</i> stodian.	e fund uses more than one
(b)	Legal name of custodian: UBS SECURITIES LLC			
(c)	Primary business name of custodian: UBS SECURITIES LLC			
(d)	The location of the custodian's office re	sponsible for <i>custody</i> of the <i>private t</i>	und's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW TORK	INGW TOLK	United States	Yes No
(e)	Is the custodian a related person of your	firm?		○ ●
(f)	If the custodian is a broker-dealer, prov	ide its SEC registration number (if a	ny):	
	8 - 22651			
	CRD Number (if any): 7654			
(g)	If the custodian is not a broker-dealer,	or is a broker-dealer but does not h	ave an SEC registration number, provide its <i>legal entity iden</i>	ntifier (if any)
<u>ninistrato</u>	<u>r</u>			Yes N
(a) Does	the private fund use an administrator oth	ner than your firm?		•
	e answer to question 26.(a) is "yes," resp hrough (f) separately for each administra	_	ow. If the <i>private fund</i> uses more than one administrator, y	rou must complete questions
Addi	itional Administrator Information : 1 Re	ecord(s) Filed.		
	the answer to question 26.(a) is "yes," re estions (b) through (f) separately for eac		pelow. If the <i>private fund</i> uses more than one administrator,	you must complete
(b)	Name of administrator: CITCO FUND SERVICES (CAYMAN ISLAND	OS) LTD.		
(c)	Location of administrator (city, state an	d country):		
	City:	State:	Country:	
	JERSEY CITY	New Jersey	United States	

UBS AG

	(d) Is the administrator a related person of your firm?
	(e) Does the administrator prepare and send investor account statements to the <i>private fund's</i> investors? Ores (provided to all investors) Ores (provided to some but not all investors) Ores (provided to no investors)
	O res (provided to all investors) O some (provided to some but not all investors)
	(f) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." D. E. SHAW & CO., L.P.
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 <i>person</i> 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 <i>person</i> .
Mar	<u>rketers</u> Yes I
28.	(a) Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes?
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar <i>person</i> . If the answer
	question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private fund</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. PF	RIVATE FUND
Info	rmation About the <i>Private Fund</i>
11110	Inflation About the Private Pund
1.	(a) Name of the private fund:
	D. E. SHAW VOLTAIC PORTFOLIOS, L.L.C.
	(b) Private fund identification number:
	(include the "805-" prefix also)
	805-6212791776
2.	Under the laws of what state or country is the <i>private fund</i> organized:
۷.	State: Country:
	Delaware United States
3.	(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 D. E. SHAW MANAGER III, L.L.C.
	D. E. SHAW MANAGER III, L.L.C.
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.
	Filing Adviser/Relying Adviser Name
	D. E. SHAW ADVISER III, L.L.C.
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.
	No Information Filed
	Yes N
6.	(a) Is this a "master fund" in a master-feeder arrangement?
	(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?
	Name of private fund identification number
	D. E. SHAW VOLTAIC FUND, L.L.C. 805-4026410976

D. E. SHAW	VOLTAIC INTERNATIONAL FUND, L.P. 805-3046169275
	Yes
	a "feeder fund" in a master-feeder arrangement?
•	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? f <i>private fund</i> :
	fund identification number:
(include	the "805-" prefix also)
	must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder at or reporting on the funds separately.
•	ling 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 the feeder funds answ g questions:
Additional	Feeder Fund Information : 2 Record(s) Filed.
7. If you a	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 the feeder funds
	r the following questions:
(a)	Name of the private fund:
	D. E. SHAW VOLTAIC FUND, L.L.C.
(b)	Private fund identification number:
(6)	(include the "805-" prefix also)
	805-4026410976
(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
	D. E. SHAW MANAGER III, L.L.C.
(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
	Filing Adviser/Relying Adviser Name
	D. E. SHAW ADVISER III, L.L.C.
(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.
	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 each of the feeder funds r the following questions:
(a)	Name of the private fund:
	D. E. SHAW VOLTAIC INTERNATIONAL FUND, L.P.
(b)	Private fund identification number:
. /	(include the "805-" prefix also)
	805-3046169275
(c)	Under the laws of what state or country is the <i>private fund</i> organized:

	(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		
		D. E. SHAW VOLTAIC GENERAL PARTNER, L.L.C.		
				_
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:		
		Filing Adviser/Relying Adviser Name		
		D. E. SHAW ADVISER III, L.L.C.		
	(0)	The private fund (sheek all that apply, you revet sheek at least one).		
	(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		
		Cayman Islands - Cayman Islands Monetary Authority		┚║
		urposes 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 and"). 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 int		S,
	and each cla	ss (or series) invests substantially all of its assets in a single master fund.		
			Yes	No
8.	(a) Is this p	rivate fund a "fund of funds"?	0	\odot
	•	urposes 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 wloo private funds or registered investment companies.	hethei	•
	(b) If yes, c	loes the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	0	0
	_		~	~
			Yes	No
9.		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 provided in Instruction 6.e.)?	0	•
10.	What type o	f fund is the <i>private fund</i> ?		
	• hedge fu	nd $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :		
	NOTE: For d	efinitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gros	ss asset value of the <i>private fund</i> :		
	\$ 378,930,0	73		
<u>Ov</u>	/nership			
12.	Minimum inv	vestment commitment required of an investor in the private fund:		
	\$ 1,000,000			
	NOTE: Repo fund).	rt 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	s of th	е
13.	Approximate	e number of the <i>private fund's</i> beneficial owners:		
	27			
14.	What is the	approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
	21%			
15.	(a) What is	the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	17%			<u> </u>
	•	ivate 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 limited to qualified clients?	Yes O	No

Country: Cayman Islands

State:

	559			
You	ur Ac	dvisory Services		
			Yes	s No
17.		Are you a subadviser to this <i>private fund</i> ?		•
	(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 to question 17.(a) is "this question blank.	าo," leav	е
		No Information Filed		
			Yes	s No
18.		Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	•
	(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 answer to question 18. leave this question blank.	(a) is "no	ο,"
		No Information Filed		
			Yes	s No
19.	Are	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	•
	NO	TE: For purposes of this question, do not consider feeder funds of the private fund.		
20.	App	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
	3%			
Pri	vate	Offering		
	rato		Yes	. No
21.	Has	s the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	•	С
22.	_	res, provide the <i>private fund's</i> Form D file number (if any): rm D file number		
		1-428318		
		1-428322		
Aud	ditor		Va	- NI
23.	(a)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?		s No
	(-)	(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 auditing firm, you must compl		
		(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 com questions (b) through (f) separately for each auditing firm.	plete	
		(b) Name of the auditing firm: ERNST & YOUNG 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	No
		(d) Is the auditing firm an independent public accountant?		0
		(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
		If yes, Public Company Accounting Oversight Board-Assigned Number: 42		
		(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

16. What is the approximate percentage of the *private fund* beneficially owned by non-*United States persons*:

Do all of the reports prep	ared by the auditing firm for the private fund since	e your last annual updating amendment contain unqualified opinions?	
⊙ Yes ○ No ○ Report i	Not Yet Received		
·		nt to your Form ADV to update your response when the report is available.	
<u>oker</u>			
			Yes No
Does the <i>private fund</i> use	one or more prime brokers?		0 0
· ·	24.(a) is "yes," respond to questions (b) through omplete questions (b) through (e) separately for e	h (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more the each prime broker.	ian one
		No Information Filed	
<u>n</u>			
D			Yes No
·	any custodians (including the prime brokers listed		• o
· ·	25.(a) is "yes," respond to questions (b) through plete questions (b) through (g) separately for each	h (g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than ch custodian.	one
Additional Custodian In	formation : 1 Record(s) Filed.		
	on 25.(a) is "yes," respond to questions (b) throug mplete questions (b) through (g) separately for ea	ugh g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more tha each custodian.	n one
(b) Legal name of cust HSBC BANK USA, N.			
(c) Primary business no HSBC BANK USA, N.			
(d) The location of the	custodian's office responsible for <i>custody</i> of the <i>pr</i>	private fund's assets (city, state and country):	
City:	State: New York	Country: United States	
NEW YORK	New YOLK		Yes No
(e) Is the custodian a	related person of your firm?		0 0
(f) If the custodian is a	a broker-dealer, provide its SEC registration number	per (if any):	
CRD Number (if any):		
(a) If the custodian is	not a broker-dealer, or is a broker-dealer but does	es not have an SEC registration number, provide its legal entity identifier (if any)	

Yes No

	(c)) Location of administrator (cit	:y, state and country):		
		City:	State:	Country:	
		JERSEY CITY	New Jersey	United States	
		3232. 3	non servery	omitou otatoo	Yes No
	(a)) le the administrator a relator	d narrown of your firms?		
	(a)) Is the administrator a <i>related</i>	a person of your firm?		0 0
	(e)) Does the administrator prep	are and send investor account statements to the	private fund's investors?	
		O Yes (provided to all invest	cors) $_{f C}$ Some (provided to some but not all invest	ors) 👩 No (provided to no investors)	
	(f)	•	o.(e) is "no" or "some," who sends the investor ache (rest of the) <i>private fund's</i> investors, respond	count statements to the (rest of the) private fund's investors not applicable."	?? If investor account
	0 3	our last fiscal year, what perce	entage of the private fund's assets (by value) was	valued by a <i>person</i> , such as an administrator, that is not you	ur related person?
	0%				
			·	iblished for that asset, if any, including obtaining any releva fee calculations (including allocations) was the valuation def	•
Mar	<u>keters</u>				
	() =				Yes N
28.	(a) Does	s the <i>private fund</i> use the servi	ces of someone other than you or your employee.	s for marketing purposes?	0 0
	ques	stion 28.(a) is "yes," respond to		inder, introducer, municipal advisor or other solicitor, or simi narketer the <i>private fund</i> uses. If the <i>private fund</i> uses more	
			No Infor	mation Filed	
A. PR	NVATE FU	JND			
Infor	mation <i>E</i>	About the <i>Private Fund</i>			
1	(a) Nam	ne of the <i>private fund</i> :			
••		VI PORTFOLIOS, L.L.C.			
		ate fund identification number:			
		lude the "805-" prefix also)			
	805-	-8452274016			
2.			ry is the <i>private fund</i> organized:		
	State		Country:		
	Dela	aware	United States		
3.			ger, Trustee, or Directors (or <i>persons</i> serving in a	similar capacity):	
	Name o	of General Partner, Manager, 1	Frustee, or Director		
	D. E. SH	HAW ALKALI HOLDINGS VI, L.L.C	<u>. </u>		
	(b) If fili	ing an <i>umbrella registration</i> , ide	entify the filing adviser and/or relying adviser(s) tha	sponsor(s) or manage(s) this <i>private fund</i> .	
	Filing A	Ndviser/Relying Adviser Nam	e		
	D. E. SH	HAW ALKALI ADVISER VI, L.L.C.			
Δ	The prive	ate fund (check all that apply; y	you must check at least one).		
→.	′	11 37 3	,	2(a)(1) of the Investment O	
		•	the definition of investment company under section	• • •	
	☑ (2) c	qualifies for the exclusion from	the definition of investment company under section	n 3(c)(7) of the Investment Company Act of 1940	
5.	List the r	name and country, in English, o	of each <i>foreign financial regulatory authority</i> with w	nich the <i>private fund</i> is registered.	

No Information Filed

CITCO FUND SERVICES (CAYMAN ISLANDS) LTD.

	·	(if any) of the feeder funds investing in this <i>private fund</i> ?
	rivate fund	Private fund identification number
	/ ALKALI FUND VI, L.L.C.	805-9213712799
. E. SHAVV	/ ALKALI INTERNATIONAL FUND VI, L.P.	805-8786486702
Is this a	a "feeder fund" in a master-feeder arrangement?	`
) If yes, v	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 o	f private fund:	
	fund identification number: e the "805-" prefix also)	
angemer	nt or reporting on the funds separately.	gement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feede eder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds an
	g questions:	eder arrangement according to the instructions to this Section 7.5.(1), for each or the reeder funds an
dditional	Feeder Fund Information : 2 Record(s) Filed.	
•	are filing a single Schedule D, Section 7.B.(1) for a master the following questions:	ter-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder fun
(a)	Name of the <i>private fund</i> :	
	D. E. SHAW ALKALI FUND VI, L.L.C.	
(b)	Private fund identification number: (include the "805-" prefix also)	
	805-9213712799	
(c)	Under the laws of what state or country is the private f	fund organized:
	State:	Country:
	Delaware	United States
(d) (1)	Name(s) of General Partner, Manager, Trustee or Direct	
	Name of General Partner, Manager, Trustee or Direct D. E. SHAW ALKALI MANAGER VI, L.L.C.	ctor
	D. E. SHAW ALKALI MANAGER VI, L.L.C.	
	If filing an umbrella registration, identify the filing advise	er and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
(d) (2)	Filing Adviser/Relying Adviser Name	
(d) (2)	D. E. SHAW ALKALI ADVISER VI, L.L.C.	
(d) (2)	D. E. STIWW MEIGHEL MOVISER VI, E.E.G.	
(d) (2) (e)	The <i>private fund</i> (check all that apply; you must check a	at least one):
	The private fund (check all that apply; you must check a	at least one): investment company under section 3(c)(1) of the Investment Company Act of 1940
	The <i>private fund</i> (check all that apply; you must check at (1) qualifies for the exclusion from the definition of	
(e)	The <i>private fund</i> (check all that apply; you must check a ☐ (1) qualifies for the exclusion from the definition of ☐ (2) qualifies for the exclusion from the definition of	investment company under section 3(c)(1) of the Investment Company Act of 1940 investment company under section 3(c)(7) of the Investment Company Act of 1940
	The <i>private fund</i> (check all that apply; you must check a ☐ (1) qualifies for the exclusion from the definition of ☐ (2) qualifies for the exclusion from the definition of	investment company under section 3(c)(1) of the Investment Company Act of 1940

answer the following questions:

Name of the private fund:

D. E. SHAW ALKALI INTERNATIONAL FUND VI, L.P.

	(0)	(include the "805-" prefix also) 805-8786486702		
	(c)	Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Cayman Islands		
	(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	Yes No C S of whether C Yes No	
		D. E. SHAW ALKALI GENERAL PARTNER VI, L.L.C.		
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:		
		Filing Adviser/Relying Adviser Name		
		D. E. SHAW ALKALI ADVISER VI, L.L.C.		
	(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 Cayman Islands - Cayman Islands Monetary Authority		
8.	and each cla	private fund a "fund of funds"?	Yes N	
	they are als	burposes 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 whe companies of private funds or registered investment companies. Idditionally does the private fund invest in funds managed by you or by a related person?		0
		,	Yes l	No
9.				
10.	What type o	of fund is the private fund?		
	• hedge fu	und $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>private fund</i> :		
	NOTE: For d	definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gros \$ 583,144,9	ss asset value of the <i>private fund</i> : 260		
<u>Ow</u>	nership			
12.	\$ 1,000,000	vestment commitment required of an investor in the <i>private fund</i> : ort 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 o	of the	
13.		e number of the <i>private fund's</i> beneficial owners:		

14. What is the approximate percentage of the *private fund* beneficially owned by you and your *related persons*:

11.

13.

13%

	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
0%		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 qualified clients?		0
16. Wha	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
Your Ad	lvisory Services		
17. (a)	Are you a subadviser to this <i>private fund</i> ?	Yes	No ©
(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 to question 17.(a) is "no," this question blank.		
	No Information Filed		
		Yes	No
	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 answer to question 18.(a) leave this question blank.	s "no),"
	No Information Filed		
10 1		Yes	No
	your <i>clients</i> solicited to invest in the <i>private fund</i> ? E: For purposes of this question, do not consider feeder funds of the private fund.	0	⊙
NOT	2. For purposes of this question, do not consider recuer runus of the private runu.		
20. Appr 3%	roximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
Private (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?	•	0
22. If ye	es, provide the <i>private fund's</i> Form D file number (if any):		
For	m D file number		
	I-490865		
021	1-490866		
B. SERVIC	CE PROVIDERS		
Auditors			
		Yes	No
	(1) Are the <i>private fund's</i> 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?	⊙	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 auditing firm, you must complete (b) through (f) separately for each auditing firm.	uest	ions
	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 complet questions (b) through (f) separately for each auditing firm.)	
	(b) Name of the auditing firm: ERNST & YOUNG 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		
		es N Ō (No
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0

	If yes, Public Company Accounting Oversight Board-Assigned Number: 42	
(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	s? o
		Y
Are t	the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?	(
Do a	Il of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?	
⊙ Y	es No Report Not Yet Received	
If yo	ou check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available.	
<u>Broke</u>		Y
Does	s the private fund use one or more prime brokers?	(
	e 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 not be broker, you must complete questions (b) through (e) separately for each prime broker.	nore than (
Add	litional Prime Broker Information : 2 Record(s) Filed.	
on	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 be prime broker, you must complete questions (b) through (e) separately for each prime broker.	s more tha
(a)	Name of the prime broker: BARCLAYS CAPITAL SECURITIES, LTD.	
(c)	If the prime broker is registered with the SEC, its registration number:	
	CRD Number (if any):	
(d)) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	
	City: State: Country: LONDON United Kingdom	
	LONDON United Kingdom	Yes
(e)) Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	•
on	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 be prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: UBS AG, LONDON BRANCH	s more tha
(c)	If the prime broker is registered with the SEC, its registration number:	
(c)	Trithe prime broker is registered with the SEC, its registration number: - CRD Number (if any):	
	CRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:	
	CRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):	Yes

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

Yes No

⊙ ○

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. Additional Custodian Information: 5 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 private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC (c) Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: WILMINGTON Delaware **United States** Yes No (e) Is the custodian a related person of your firm? \circ ⊚ (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 549300HDKZE50HZZOG90 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. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES, LTD. (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES, LTD. (d) The location of the custodian's office responsible for *custody* of the *private fund's* assets (city, state and country): City: State: Country: LONDON United Kingdom Yes No (e) Is the custodian a related person of your firm? \circ • (f) If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): (g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) K9WDOH4D2PYBSLSOB484 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. (b) Legal name of custodian:

HSBC BANK PLC

HSBC BANK PLC

(c) Primary business name of custodian:

	The location of the custodian's of	fice responsible for <i>custody</i> c	of the <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	LONDON		United Kingdom	
				es No
(e)	Is the custodian a related person	of your firm?		0
(f)	If the custodian is a broker-dealer	r, provide its SEC registration	n number (if any):	
	-			
	CRD Number (if any):			
(a)	If the custodian is not a broker-d	oaler or is a hroker-dealer h	but does not have an SEC registration number, provide its legal entity identifier (if any)	
(9)	MP6I5ZYZBEU3UXPYFY54	calci, of 13 a broker dealer b	out does not have an observed registration namber, provide its legal entity identifier (if any)	
	WI 013212BE030XI 11 134			
If t	the answer to question 25.(a) is "v	es." respond to auestions (b	b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than	one
	stodian, you must complete questic		· · · · · · · · · · · · · · · · · · ·	0110
(b)	Legal name of custodian:			
	HSBC BANK USA, N.A.			
(c)	Primary business name of custodi	ian:		
	HSBC BANK USA, N.A.			
(d)	The location of the custodian's of	fice responsible for <i>custody</i> c	of the <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	
			Υ	es No
(e)	Is the custodian a related person	of your firm?		•
(f)	If the custodian is a broker-dealer	r, provide its SEC registration	n number (if any):	
	-			
	CRD Number (if any):			
(g)		ealer, or is a broker-dealer b	but does not have an SEC registration number, provide its legal entity identifier (if any)	
	1IE8VN30JCEQV1H4R804			
16.4	the angular to supption 25 (a) is the	use " recommend to acceptions (b		
	stodian, you must complete questic		b) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than all the private fund uses.	one
	stodian, you must complete questic	ms (b) through (g) separater	Tyror each eastedian.	
	Legal name of custodian:			
	Logar name or castoalan.			
	UBS AG, LONDON BRANCH			
	•			
	UBS AG, LONDON BRANCH	'an:		
(b)	UBS AG, LONDON BRANCH	ian:		
(b)	UBS AG, LONDON BRANCH Primary business name of custodi	ian:		
(b)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH		of the <i>private fund's</i> assets (city, state and country):	
(b)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off		of the <i>private fund's</i> assets (city, state and country): Country:	
(b)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH	fice responsible for <i>custody</i> o		
(b)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City:	fice responsible for <i>custody</i> o	Country: United Kingdom	es No
(b) (c)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City:	fice responsible for <i>custody</i> o State:	Country: United Kingdom	′es No
(b) (c)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City: LONDON	fice responsible for <i>custody</i> o State:	Country: United Kingdom	
(b) (c) (d)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City: LONDON	fice responsible for <i>custody</i> o State: of your firm?	Country: United Kingdom Y	
(b) (c) (d) (e)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City: LONDON Is the custodian a related person of	fice responsible for <i>custody</i> o State: of your firm?	Country: United Kingdom Y	
(b) (c) (d) (e)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City: LONDON Is the custodian a related person of If the custodian is a broker-dealer	fice responsible for <i>custody</i> o State: of your firm?	Country: United Kingdom Y	
(b) (c) (d) (e)	UBS AG, LONDON BRANCH Primary business name of custodi UBS AG, LONDON BRANCH The location of the custodian's off City: LONDON Is the custodian a related person of	fice responsible for <i>custody</i> o State: of your firm?	Country: United Kingdom Y	

(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any)

BFM8T61CT2L1QCEMIK50

	<u>inistrator</u> (a) Does the <i>private fund</i> use an admir	istrator other than your firm?		Yes N
	If the answer to question 26.(a) is (b) through (f) separately for each		w. If the <i>private fund</i> uses more than one administrator, you m	ust complete questions
	Additional Administrator Informa	ation : 1 Record(s) Filed.		
	If the answer to question 26.(a) questions (b) through (f) separate		low. If the <i>private fund</i> uses more than one administrator, you	must complete
	(b) Name of administrator:	MAN ICLANDS LTD		
	CITCO FUND SERVICES (CAYN	MAN ISLANDS) LID.		
	(c) Location of administrator (cit	y, state and country):		
	City:	State:	Country:	
	JERSEY CITY	New Jersey	United States	
		I manage of consentations O		Yes No
	(d) Is the administrator a related	person of your firm?		0 0
	(e) Does the administrator prep	are and send investor account statements to the	o nrivate fund's investors?	
		ors) Some (provided to some but not all inves	·	
		.(e) is "no" or "some," who sends the investor ane (rest of the) <i>private fund's</i> investors, respond	ccount statements to the (rest of the) <i>private fund's</i> investors? "not applicable."	If investor account
C	0% Include only those assets where (i) suc	th <i>person</i> carried out the valuation procedure est	s valued by a <i>person</i> , such as an administrator, that is not your ablished for that asset, if any, including obtaining any relevant fee calculations (including allocations) was the valuation deter	t quotes, and (ii) the
Mark	<u>ceters</u>			
20 ((a) Doos the private fundues the service	ces of someone other than you or your <i>employed</i>	os for markoting nurnosos?	Yes No
20. (You must answer "yes" whether the question 28.(a) is "yes," respond to	e <i>person</i> acts as a placement agent, consultant,	finder, introducer, municipal advisor or other solicitor, or similar marketer the <i>private fund</i> uses. If the <i>private fund</i> uses more the	·
		No Info	rmation Filed	
A. PRI	VATE FUND			
l £	anakian Abandaka Duinaka Eurak			
intorr	mation About the <i>Private Fund</i>			
1. ((a) Name of the <i>private fund</i> :			
. (DELALV PORTFOLIOS, L.L.C.			
((b) Private fund identification number: (include the "805-" prefix also)			

State: Country: Delaware United States

2. Under the laws of what state or country is the *private fund* organized:

805-1322982107

3.	(a) Name(s)) of General Partner, Manager, Trustee, or	r Directors (or <i>persons</i> serving in a similar cap	acity):	
	Name of Ge	eneral Partner, Manager, Trustee, or Dir	rector		
	D. E. SHAW	MANAGER, L.L.C.			
	(1.) 16 611				
			adviser and/or relying adviser(s) that sponsor(s) or manage(s) this <i>private fund</i> .	
		ser/Relying Adviser Name			
	D. E. SHAW	ADVISER, L.L.C.			
4.	The <i>private t</i>	fund (check all that apply; you must check	(at least one):		
••			of investment company under section 3(c)(1)	of the Investment Company Act of 1940	
	•		•		
	√ (2) quali	irles for the exclusion from the definition of	of investment company under section 3(c)(7)	or the investment Company Act or 1940	
5.	List the nam	ne and country, in English, of each foreign	financial regulatory authority with which the p	rivate fund is registered.	
			No Information Filed		
					Yes No
4	(a) la thia a	"master fund" in a master feeder errore	vomant?		
6.		ı "master fund" in a master-feeder arrang			⊙ ○
	(b) If yes, v	what is the name and <i>private fund</i> identific	cation number (if any) of the feeder funds inve	esting in this private fund?	
	Name of pr	rivate fund		Private fund identification number	
	D. E. SHAW	ALKALI FUND V, L.P.		805-6581515338	
	D. E. SHAW	ALKALI INTERNATIONAL FUND V, L.P.		805-8758296704	
					\/ BI
					Yes No
	(c) Is this a	a "feeder fund" in a master-feeder arrang	ement?		0 0
	(d) If yes, v	what is the name and <i>private fund</i> identific	cation number (if any) of the master fund in w	hich this <i>private fund</i> invests?	
	Name of	f private fund:			
	Private f	fund identification number:			
	(include	the "805-" prefix also)			
	NOTE V			con and filling a signal Calculula D. Castian 7 D (1) for the greater for	1
		nust complete question of for each master it or reporting on the funds separately.	r-reeder arrangement regardless of whether y	you are filing a single Schedule D, Section 7.B.(1) for the master-fee	er:
	arrangemen	it of reporting on the runus separatery.			
7.	=		or a master-feeder arrangement according to	the instructions to this Section 7.B.(1), for each of the feeder funds	answer
	the following	g questions:			
	Additional	Feeder Fund Information : 2 Record(s)	Filed		
	Additional	receder rund finormation . 2 Record(3)	Theu.		
	7 If you a	are filing a single Schedule D. Section 7 B.	(1) for a master-feeder arrangement accordi	ng to the instructions to this Section 7.B.(1), for each of the feeder f	funds
		the following questions:	(1) Tell a maeter resuer arrangement assertan		
	(a)	Name of the <i>private fund</i> :			
	(4)	•			
		D. E. SHAW ALKALI FUND V, L.P.			
	(b)	Private fund identification number:			
		(include the "805-" prefix also)			
		805-6581515338			
	(c)	Under the laws of what state or country	is the private fund organized:		
	(6)				
		State:	Country:		
			Cayman Islands		
	(d) (1)	Name(s) of General Partner, Manager, Tr	rustee or Directors (or <i>persons</i> serving in a si	nilar capacity):	
		Name of General Partner, Manager, Tr	rustee or Director		
		D. E. SHAW ALKALI GENERAL PARTNER V	/, L.L.C.		
	(d) (2)	If filing an umbrella registration, identify t	the filing adviser and/or relying adviser(s) that	sponsor(s) or manage(s) this <i>private fund</i> :	
		Filing Adviser/Relying Adviser Name			
		D. E. SHAW ADVISER, L.L.C.			

(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	
	Cayman Islands - Cayman Islands 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 each of the feeder the following questions:	funds
(a)	Name of the private fund:	
(u)	D. E. SHAW ALKALI INTERNATIONAL FUND V, L.P	
	B. E. SIWW NEIGHT INTERIOR TORD V, E.I.	
(b)	Private fund identification number:	
()	(include the "805-" prefix also)	
	805-8758296704	
(c)	Under the laws of what state or country is the <i>private fund</i> organized:	
	State: Country:	
	Cayman Islands	
(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	
	D. E. SHAW ALKALI GENERAL PARTNER V, L.L.C.	
(-1) (2)		
(a) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:	
	D. E. SHAW ADVISER, L.L.C.	
(0)		
(e)	The <i>private fund</i> (check all that apply; you must check at least one):	
(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	
(e)	The <i>private fund</i> (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 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	
(e) (f)	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.	
	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	
	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.	
	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	
	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i>	
(f) TE: For p	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Monetary Authority urposes 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	
(f) TE: For p	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 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 Cayman Islands - Cayman Islands Monetary Authority urposes 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 singled"). 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 in	
(f) TE: For p	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of Foreign Financial Regulatory Authority Cayman Islands - Cayman Islands Monetary Authority urposes 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	nterests,
(f) TE: For p naster fur I each cla	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Cayman Islands - Cayman Islands Monetary Authority arposes 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 d"). 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 its section invests substantially all of its assets in a single master fund.	Yes N
(f) TE: For plaster fur leach cla	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Cayman Islands - Cayman Islands Monetary Authority urposes 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 d"). 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 its so (or series) invests substantially all of its assets in a single master fund.	Yes N
(f) TE: For plaster furst leach classing leach clas	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Cayman Islands - Cayman Islands Monetary Authority arposes 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 d"). 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 it is so (or series) invests substantially all of its assets in a single master fund. Fivate fund a "fund of funds"? 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 the content of the private fund investment vehicles, regardless of the content of the private fund investment vehicles, regardless of the content of the private fund investment vehicles, regardless of the private fund investment vehicles.	Yes N
(f) TE: For p naster fur I each cla Is this p TE: For p y are also	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 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 Cayman Islands - Cayman Islands Monetary Authority urposes 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 d"). 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 its so (or series) invests substantially all of its assets in a single master fund. **Tivate fund** a "fund of funds"?* **Turposes 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 the private funds or registered investment companies.	Yes NO O
(f) TE: For p naster fur I each cla Is this p TE: For p y are also	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 List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. Name of Country/English Name of <i>Foreign Financial Regulatory Authority</i> Cayman Islands - Cayman Islands Monetary Authority arposes 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 d"). 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 it is so (or series) invests substantially all of its assets in a single master fund. Fivate fund a "fund of funds"? 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 the content of the private fund investment vehicles, regardless of the content of the private fund investment vehicles, regardless of the content of the private fund investment vehicles, regardless of the private fund investment vehicles.	Yes N
(f) TE: For p naster fur I each cla Is this p TE: For p y are also	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 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 Cayman Islands - Cayman Islands Monetary Authority urposes 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 d"). 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 its so (or series) invests substantially all of its assets in a single master fund. **Tivate fund** a "fund of funds"?* **Turposes 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 the private funds or registered investment companies.	Yes NO (
(f) TE: For p naster fur I each cla Is this p TE: For p y are also If yes, d	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 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 Cayman Islands - Cayman Islands Monetary Authority arposes 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 d"). 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 its so (or series) invests substantially all of its assets in a single master fund. Trivate fund a "fund of funds"? 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 a private fund invest in funds managed by you or by a related person?	Yes NO O
(f) TE: For p aster fur I each cla Is this p TE: For p y are also If yes, d	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 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 Cayman Islands - Cayman Islands Monetary Authority 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 d"). 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 in section of funds a "fund of funds"? Private fund a "fund of funds"? 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 a private fund invest in funds managed by you or by a related person?	Yes NO (
(f) TE: For p aster fur I each cla Is this p TE: For p y are also If yes, d	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 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 Cayman Islands - Cayman Islands Monetary Authority arposes 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 d"). 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 its so (or series) invests substantially all of its assets in a single master fund. Trivate fund a "fund of funds"? 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 a private fund invest in funds managed by you or by a related person?	Yes N O O O O O O O O O O O O O O O O O O O
(f) TE: For p naster fur I each cla Is this p TE: For p y are also If yes, d ring your n "money	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 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 Cayman Islands - Cayman Islands Monetary Authority 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 Cayman Islands - Cayman Islands Monetary Authority 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 Cayman Islands - Cayman Islands Monetary Authority List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered in a satisfical gall of their assets in a single are satisfically each funds of the substantially all of their assets in a single are satisfically each fund of funds and a "fund of funds"? List the name and country, in English, of each foreign financial regulatory authority with which the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other market funds," to the extent provided in Instruction 6.e.)?	Yes N O O O O O O O O O O O O O O O O O O O
(f) TE: For plaster furilier for plaster	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 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) 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 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment according to the Investment of Investment Investmen	Yes N O O O O O O O O O O O O O O O O O O O
(f) TE: For plaster furilier for plaster	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 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 Cayman Islands - Cayman Islands Monetary Authority 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 Cayman Islands - Cayman Islands Monetary Authority 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 Cayman Islands - Cayman Islands Monetary Authority List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered in a satisfical gall of their assets in a single are satisfically each funds of the substantially all of their assets in a single are satisfically each fund of funds and a "fund of funds"? List the name and country, in English, of each foreign financial regulatory authority with which the private fund invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other market funds," to the extent provided in Instruction 6.e.)?	Yes O whether O

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

	\$ 1,547,073,627	
<u>Owr</u>	nership	
	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 1,000,000	
	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 o fund).	of the
	Approximate number of the <i>private fund's</i> beneficial owners: 39	
	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 12%	
	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 4%	
		Yes No
	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 58%	
<u>/oui</u>	r Advisory Services	Yes No
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 to question 17.(a) is "no," le this question blank.	○ •ave
	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 0
	(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 answer to question 18.(a) is leave this question blank.	"no,"
	No Information Filed	
	·	Yes No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0 0
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.	
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 3%	
Priv	ate Offering	Yes No
21.		© O
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):	
	Form D file number	
	021-371043	
	021-371046	
. SE	RVICE PROVIDERS	
Audi	<u>itors</u>	
		Yes No
23.	(a) (1) Are the private fund's financial statements subject to an annual audit?	6

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

(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?

Additional Auditor Information :	1 Record(s) Filed.		
If the answer to question 23.(a) questions (b) through (f) separar	(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must comtely for each auditing firm.	olete	
(b) Name of the auditing firm: ERNST & YOUNG LLP			
(c) The location of the auditing f	Firm's office responsible for the <i>private fund's</i> audit (city, state and country): State: Country:		
NEW YORK	New York United States		
(d) Is the auditing firm an indepe	endent public accountant?	Yes ©	No O
(e) Is the auditing firm registere	ed with the Public Company Accounting Oversight Board?	•	0
If yes, Public Company Accou	unting Oversight Board-Assigned Number:		
(f) If "yes" to (e) above, is the a	auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	•	0
		Υє	s N
ro the private fund's audited finan	cial statements for the most recently completed fiscal year distributed to the private fund's investors?	e	0
re the <i>private fund's</i> addited finan			
o all of the reports prepared by the	ne auditing firm for the private fund since your last annual updating amendment contain unqualified opinions?		
·			
o all of the reports prepared by the Yes O No O Report Not Yet Re			
o all of the reports prepared by the Yes O No O Report Not Yet Re	eceived		
o all of the reports prepared by the Yes O No O Report Not Yet Refyou check "Report Not Yet Received	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available.	Ye	s N
Yes No Report Not Yet Refyou check "Report Not Yet Received by the Poker" Tools the private fund use one or many the private fund use of	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available. hore prime brokers?	œ	,
Yes No Report Not Yet Refyou check "Report Not Yet Received by the open than the private fund use one or market the answer to question 24.(a) is	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available.	œ	0
Yes No Report Not Yet Refyou check "Report Not Yet Received by the open than the private fund use one or market the answer to question 24.(a) is	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available. Hore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker.	œ	es N) (
Yes No Report Not Yet Reference of Yes No Report Not Yet Reference on the Private fund use one or make the answer to question 24.(a) is rime broker, you must complete of Additional Prime Broker Information (If the answer to question 24.(a))	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available. Hore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker.	e than o	ne
Yes No Report Not Yet Ref you check "Report Not Yet Received by the Private fund use one or make the answer to question 24.(a) is rime broker, you must complete conditional Prime Broker Information one prime broker, you must complete to the answer to question 24.(a) one prime broker, you must complete to the prime broker, you must complete to the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A.	eceived ed," you must promptly file an amendment to your Form ADV to update your response when the report is available. fore prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker. etion: 9 Record(s) Filed. is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses me	e than o	ne
Yes No Report Not Yet Ref you check "Report Not Yet Received by the Private fund use one or make the answer to question 24.(a) is rime broker, you must complete conditional Prime Broker Information one prime broker, you must complete to the answer to question 24.(a) one prime broker, you must complete to the prime broker, you must complete to the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A.	exectived and, "you must promptly file an amendment to your Form ADV to update your response when the report is available. The private fund uses in the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker. Intion: 9 Record(s) Filed. It "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be plete questions (b) through (e) separately for each prime broker the private fund uses. If the private fund uses may be plete questions (b) through (e) separately for each prime broker.	e than o	ne
Yes No Report Not Yet Reference on the private fund use one or make the answer to question 24. (a) is rime broker, you must complete of the answer to question 24. (a) one prime broker, you must complete on the prime broker, you must complete on the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A. (c) If the prime broker is registered. CRD Number (if any):	exceived and, "you must promptly file an amendment to your Form ADV to update your response when the report is available. The private fund uses if the private fund uses if the private fund uses if the private fund uses more usestions (b) through (e) separately for each prime broker. Ition: 9 Record(s) Filed. Is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may plete questions (b) through (e) separately for each prime broker.	e than o	ne
Yes No Report Not Yet Ref you check "Report Not Yet Received beer To est the private fund use one or make the answer to question 24. (a) is rime broker, you must complete conditional Prime Broker Information Prime Broker Information Prime broker, you must complete the prime broker, you must complete the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A. (c) If the prime broker is registed. CRD Number (if any):	excelved ed," you must promptly file an amendment to your Form ADV to update your response when the report is available. The prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker. Ition: 9 Record(s) Filed. Itis "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may plete questions (b) through (e) separately for each prime broker.	e than o	ne
Yes No Report Not Yet Ref you check "Report Not Yet Received beer To es the private fund use one or make the answer to question 24. (a) is rime broker, you must complete conditional Prime Broker Information Prime Broker Information Prime broker, you must complete the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A. (c) If the prime broker is registed to CRD Number (if any): (d) Location of prime broker's of City: SANTANDER	seceived and, "you must promptly file an amendment to your Form ADV to update your response when the report is available. The private fund uses in the private fund uses. If the private fund uses more updates in the private fund uses in the private fund uses in the private fund uses in the private fund uses. If the private fund uses more updates in the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund us	e than o	ne e
Yes No Report Not Yet Ref you check "Report Not Yet Received beer To es the private fund use one or make the answer to question 24. (a) is rime broker, you must complete conditional Prime Broker Information Prime Broker Information Prime broker, you must complete the prime broker. (b) Name of the prime broker: BANCO SANTANDER, S.A. (c) If the prime broker is registed to CRD Number (if any): (d) Location of prime broker's of City: SANTANDER	exceived ad," you must promptly file an amendment to your Form ADV to update your response when the report is available. The prime brokers? "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more questions (b) through (e) separately for each prime broker. It is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be plete questions (b) through (e) separately for each prime broker. It is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be plete questions (b) through (e) separately for each prime broker. It is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be plete questions (b) through (e) separately for each prime broker. It is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be private fund uses are considered with the SEC, its registration number: It is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund uses. If the private fund uses may be private fund u	e than o	ne

BARCLAYS BANK PLC

(C)	ii the prime broker is registere	ed with the SEC, its registration hun	iibei.		
	- CRD Number (if any):				
(d)	Location of prime broker's office	ce used principally by the <i>private fur</i>	nd (city, state and country):	
	City: LONDON	State:	Country: United Kingdo	om	
(e)	Does this prime broker act as	custodian for some or all of the <i>priv</i>	rate fund's assets?		Yes No ⊙ C
		s "yes," respond to questions (b) the lete questions (b) through (e) separ	9 . ,	prime broker the <i>private fund</i> uses. If er.	the <i>private fund</i> uses more than
(b)	Name of the prime broker: BARCLAYS CAPITAL SECURITIES	S, LTD.			
(c)	If the prime broker is registered	ed with the SEC, its registration nun	nber:		
	CRD Number (if any):				
(d)	Location of prime broker's office City:	ce used principally by the <i>private fur</i> State:	nd (city, state and country Country:):	
	LONDON	State.	United Kingdo	om	
(e)	Does this prime broker act as	custodian for some or all of the <i>priv</i>	rate fund's assets?		Yes No ⊙ O
(b)	Name of the prime broker: BNP PARIBAS				
(c)	If the prime broker is registered	ed with the SEC, its registration nun	nber:		
	CRD Number (if any):				
(d)		ce used principally by the <i>private fun</i>	nd (city, state and country		
	City: NEW YORK	State: New York		Country: United States	
(e)	Does this prime broker act as	custodian for some or all of the <i>priv</i>	rate fund's assets?		Yes No
	•	s "yes," respond to questions (b) the lete questions (b) through (e) separ	•	prime broker the <i>private fund</i> uses. If er.	the <i>private fund</i> uses more than
(b)	Name of the prime broker: BOFA SECURITIES INC.				
(c)	If the prime broker is registered	ed with the SEC, its registration nun	nber:		
	CRD Number (if any):				
(q)	Location of prime broker's office	ce used principally by the <i>private fur</i>	nd (city, state and country):	

NEW YORK	New York	U	nited States	
(Yes No
(e) Does this prime broker act as custodian	n for some or all of the <i>private fund</i> 's ————————————————————————————————————	s assets?		⊙ ೧
If the answer to question 24.(a) is "yes," rone prime broker, you must complete ques	-		ne broker the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than
(b) Name of the prime broker: CITIGROUP GLOBAL MARKETS INC.				
(c) If the prime broker is registered with the 8 - 8177 CRD Number (if any): 7059	he SEC, its registration number:			
(d) Location of prime broker's office used p	principally by the <i>private fund</i> (city, s	tate and country):		
City:	State:	_	ountry:	
NEW YORK	New York	Uı	nited States	
(e) Does this prime broker act as custodial	n for some or all of the private fund's	c accate?		Yes No
(e) Does this prime broker act as custodial		5 assets!		⊙ ○
If the answer to question 24.(a) is "yes," rone prime broker, you must complete ques (b) Name of the prime broker: MORGAN STANLEY & CO. INTERNATION	stions (b) through (e) separately for		ne broker the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than
(c) If the prime broker is registered with t	he SEC, its registration number:			
- CRD Number (if any):				
(d) Location of prime broker's office used p	orincipally by the <i>private fund</i> (city, s	tate and country):		
City:	State:	Country:		
LONDON		United Kingdom		Yes No
(e) Does this prime broker act as custodial	n for some or all of the <i>private fund's</i>	s assets?		• O
,	·			
If the answer to question 24.(a) is "yes," rone prime broker, you must complete ques		•	ne broker the <i>private fund</i> uses. If the <i>priva</i>	te fund uses more than
(b) Name of the prime broker: MORGAN STANLEY BANK, N.A				
(c) If the prime broker is registered with the	he SEC, its registration number:			
CRD Number (if any):				
(d) Location of prime broker's office used p	orincipally by the <i>private fund</i> (city, st State:	tate and country):	Country:	
SALT LAKE CITY	Utah		United States	
				Yes No
(e) Does this prime broker act as custodian	n for some or all of the <i>private fund's</i>	s assets?		• c

Country:

State:

City:

If the answer to question 24.(a) is "yes," one prime broker, you must complete que		below for each prime broker the <i>private fund</i> uses. If the p ach prime broker.	<i>rivate fund</i> uses more th
(b) Name of the prime broker: UBS AG			
(c) If the prime broker is registered with t	the SEC, its registration number:		
- CRD Number (if any):			
(d) Location of prime broker's office used	principally by the <i>private fund</i> (city, sta	te and country):	
City: NEW YORK	State: New York	Country: United States	
(e) Does this prime broker act as custodia	on for some or all of the <i>private fund's</i> a	assets?	Y 6
<u>n</u>			
oes the <i>private fund</i> use any custodians (in			
f the answer to question 25.(a) is "yes," resustodian, you must complete questions (b)		ow for each custodian the <i>private fund</i> uses. If the <i>private</i> dian.	e fund uses more than o
Additional Custodian Information : 12 Red	cord(s) Filed.		
(b) Legal name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC(c) Primary business name of custodian: ALLSPRING FUNDS MANAGEMENT, LLC			
(d) The location of the custodian's office r	responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
City: WILMINGTON	State: Delaware	Country: United States	
		officed States	Υ
(e) Is the custodian a related person of yo	ur firm?		(
(f) If the custodian is a broker-dealer, pro	ovide its SEC registration number (if ar	y):	
CRD Number (if any):			
(g) If the custodian is not a broker-dealer 549300HDKZE50HZZOG90	, or is a broker-dealer but does not ha	ve an SEC registration number, provide its <i>legal entity ide</i>	entifier (if any)
If the answer to question 25.(a) is "yes," custodian, you must complete questions (l		elow for each custodian the <i>private fund</i> uses. If the <i>privat</i> codian.	te fund uses more than
(b) Legal name of custodian: BANCO SANTANDER, S.A.			
(c) Primary business name of custodian: BANCO SANTANDER, S.A.			
(d) The location of the custodian's office r	responsible for <i>custody</i> of the <i>private fu</i>	nd's assets (city, state and country):	
City:	State:	Country:	

(e)	Is the custodian a <i>related person</i> of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 5493006QMFDDMYWIAM13		
11	he 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 that stodian, you must complete questions (b) through (g) separately for each custodian.	an on€	Э
(b)	Legal name of custodian: BARCLAYS BANK PLC		
(c)	Primary business name of custodian: BARCLAYS BANK PLC		
(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: LONDON United Kingdom		
	LONDON Office Kingdom	Yes	No
(e)	Is the custodian a <i>related person</i> of your firm?	0	\odot
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) G5GSEF7VJP5I7OUK5573		
	he 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 that	an one	e
cus	stodian, you must complete questions (b) through (g) separately for each custodian.		
(b)	Legal name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.		
(c)	Primary business name of custodian: BARCLAYS CAPITAL SECURITIES, LTD.		
(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: LONDON United Kingdom		
(e)	Is the custodian a related person of your firm?	Yes	No ⊙
(f)	If the custodian is a broker-dealer, provide its SEC registration number (if any):		
	CRD Number (if any):		
(g)	If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) K9WDOH4D2PYBSLSOB484		

Spain

SANTANDER

cu	stodian, you must complete questions	(b) through (g) separately for each cu	stodian.	
(b)	Legal name of custodian: BNP PARIBAS			
(c)	Primary business name of custodian BNP PARIBAS	;		
(d)	The location of the custodian's office	e responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
				Yes N
(e)	Is the custodian a related person of	your firm?		0 6
(f)	If the custodian is a broker-dealer, μ	provide its SEC registration number (if	any):	
	- CRD Number (if any):			
(g)	If the custodian is not a broker-deal ROMUWSFPU8MPRO8K5P83	ler, or is a broker-dealer but does not l	nave an SEC registration number, provide its <i>legal entity ident</i>	ifier (if any)
	•	" respond to questions (b) through g) (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>private</i> stodian.	fund uses more than one
(b)	Legal name of custodian: BOFA SECURITIES INC.			
(c)	Primary business name of custodian BOFA SECURITIES INC.	;		
(d)	The location of the custodian's office	e responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW TORK	New TOLK	United States	Yes N
(e)	Is the custodian a related person of	your firm?		0 @
(f)	If the custodian is a broker-dealer, p	provide its SEC registration number (if	any):	
	- CDD Number (if any)			
	CRD Number (if any):			
(g)	If the custodian is not a broker-deal 549300HN4UKV1E2R3U73	er, or is a broker-dealer but does not l	nave an SEC registration number, provide its legal entity ident	ifier (if any)
	-	" respond to questions (b) through g) (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>private</i> stodian.	fund uses more than one
(b)	Legal name of custodian: CITIGROUP GLOBAL MARKETS INC.			
(c)	Primary business name of custodian CITIGROUP GLOBAL MARKETS INC.	:		
(d)	The location of the custodian's office	e responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
	City: NFW YORK	State: New York	Country: United States	

	If the custodian is a broker-dealer, provide	its SEC registration nu	ımber (if any):				
	8 - 8177						
	CRD Number (if any): 7059						
_	If the custodian is not a broker-dealer, or is MBNUM2BPBDO7JBLYG310	s a broker-dealer but c	does not have an SEC reg	stration number, provide its <i>legal e</i>	entity identifier (if any)		
	e answer to question 25.(a) is "yes," respo odian, you must complete questions (b) thr			ustodian the <i>private fund</i> uses. If th	he <i>private fund</i> uses more	than one	
	Legal name of custodian: HSBC BANK PLC						
	Primary business name of custodian: HSBC BANK PLC						
	The location of the custodian's office respon	_		y, state and country):			
	City: LONDON	State:	Country: United Kingdo	om			
			g			Yes	No
(e)	Is the custodian a <i>related person</i> of your firm	m?				0	•
(f)	If the custodian is a broker-dealer, provide	its SEC registration nu	ımber (if any):				
	If the custodian is a broker-dealer, provide - CRD Number (if any):	its SEC registration nu	ımber (if any):				
	- CRD Number (if any):	-		stration number, provide its <i>legal e</i>	entity identifier (if any)		
(g)	-	-		stration number, provide its <i>legal e</i>	entity identifier (if any)		
(g)	- CRD Number (if any): If the custodian is not a broker-dealer, or is	-		stration number, provide its <i>legal e</i>	entity identifier (if any)		
(g)	- CRD Number (if any): If the custodian is not a broker-dealer, or is	s a broker-dealer but o	does not have an SEC reg			than one	
(g) If the cust (b)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," respo	s a broker-dealer but o	does not have an SEC reg			than one	
(g) If the cust (b)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," respondian, you must complete questions (b) through the Legal name of custodian:	s a broker-dealer but o	does not have an SEC reg			than one	
(g) If th cust (b) (c)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," respondian, you must complete questions (b) through the custodian: HSBC BANK USA, N.A. Primary business name of custodian: HSBC BANK USA, N.A. The location of the custodian's office responding the custodian's of	s a broker-dealer but on the dealer but of the dealer but on the dealer but of the dealer but on the dealer but on the dealer but of the d	does not have an SEC reg	ustodian the <i>private fund</i> uses. If the		than one	
(g) If the cust (b) (c)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," responsion, you must complete questions (b) through the Legal name of custodian: HSBC BANK USA, N.A. Primary business name of custodian: HSBC BANK USA, N.A.	nd to questions (b) through (g) separately fo	does not have an SEC reg	ustodian the <i>private fund</i> uses. If th			
(g) If the cust (b) (c)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," respondian, you must complete questions (b) through the custodian: HSBC BANK USA, N.A. Primary business name of custodian: HSBC BANK USA, N.A. The location of the custodian's office respondity:	nd to questions (b) through (g) separately for state: New York	does not have an SEC reg	ustodian the <i>private fund</i> uses. If the state and country:		Yes	
(g) If th cust (b) (c) (d)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 The answer to question 25.(a) is "yes," respondian, you must complete questions (b) through the custodian: HSBC BANK USA, N.A. Primary business name of custodian: HSBC BANK USA, N.A. The location of the custodian's office respondity: NEW YORK	nd to questions (b) the rough (g) separately for state: New York	does not have an SEC regularough g) below for each custodian.	ustodian the <i>private fund</i> uses. If the state and country:		Yes	No
(g) If th cust (b) (c) (d) (f)	CRD Number (if any): If the custodian is not a broker-dealer, or is MP6I5ZYZBEU3UXPYFY54 e answer to question 25.(a) is "yes," respo odian, you must complete questions (b) thr Legal name of custodian: HSBC BANK USA, N.A. Primary business name of custodian: HSBC BANK USA, N.A. The location of the custodian's office respor City: NEW YORK Is the custodian a <i>related person</i> of your firm	nd to questions (b) the rough (g) separately for state: New York	does not have an SEC regularough g) below for each custodian.	ustodian the <i>private fund</i> uses. If the state and country:		Yes	No

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	e questions (b) through (g) sepa	arately for each custodian.		
(b) Legal name of custodian: MORGAN STANLEY & CO. I	INTERNATIONAL PLC			
(c) Primary business name of MORGAN STANLEY & CO. I				
(d) The location of the custod	lian's office responsible for custo	ody of the <i>private fund's</i> ass	sets (city, state and country):	
City: LONDON	State:	Counti United	ry: Kingdom	
(e) Is the custodian a related	person of your firm?			Yes No
(f) If the custodian is a broke	er-dealer, provide its SEC registr	ration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a b 4PQUHN3JPFGFNF3BB653		aler but does not have an S	EC registration number, provide its <i>legal entity i</i> d	dentifier (if any)
·	(a) is "yes," respond to questione questions (b) through (g) sepa		each custodian the private fund uses. If the priv	rate fund uses more than one
(b) Legal name of custodian: MORGAN STANLEY BANK, N	N.A			
(c) Primary business name of MORGAN STANLEY BANK, N				
(d) The location of the custod	lian's office responsible for custo	ody of the <i>private fund's</i> ass		
City: SALT LAKE CITY		State: Utah	Country: United States	
(e) Is the custodian a related	person of your firm?			Yes No
(f) If the custodian is a broke	er-dealer, provide its SEC registr	ration number (if any):		
- CRD Number (if any):				
(g) If the custodian is not a b G1MLHISON32I3QPILB75	proker-dealer, or is a broker-dea	aler but does not have an S	EC registration number, provide its legal entity id	dentifier (if any)
•	(a) is "yes," respond to questione questions (b) through (g) sepa		each custodian the <i>private fund</i> uses. If the <i>priv</i>	rate fund uses more than one
(b) Legal name of custodian: UBS AG				
(c) Primary business name of UBS AG	f custodian:			
(d) The location of the custod	dian's office responsible for <i>custo</i>	ody of the private fund's ass	sets (city, state and country):	
City: NEW YORK	State: New Yor	·k	Country: United States	
(e) Is the custodian a <i>related</i>	I norson of your firm?			Yes No
(e) is the custodian a related	person or your IIIII!			○ ◎

	CRD Number (if any):			
	one names (i. a.y).			
(g)) If the custodian is not a broker-d BFM8T61CT2L1QCEMIK50	ealer, or is a broker-dealer but does not hav	e an SEC registration number, provide its <i>legal entit</i> y	videntifier (if any)
<u>istrato</u>	<u>or</u>			Ye
	s the <i>private fund</i> use an administra	-		•
	e answer to question 26.(a) is "yes hrough (f) separately for each adm	-	v. If the <i>private fund</i> uses more than one administrat	or, you must complete questic
Add	litional Administrator Information	: 1 Record(s) Filed.		
	the answer to question 26.(a) is "y lestions (b) through (f) separately		ow. If the <i>private fund</i> uses more than one administr	ator, you must complete
(b)) Name of administrator:			
	CITCO FUND SERVICES (CAYMAN	ISLANDS) LTD.		
(c)	Location of administrator (city, st	ate and country):		
	City:	State:	Country:	
	JERSEY CITY	New Jersey	United States	
(d)) Is the administrator a <i>related per</i>	son of your firm?		Yes M
(e)	• •	and send investor account statements to the Some (provided to some but not all invest		
(f)	•	is "no" or "some," who sends the investor acrest of the) private fund's investors, respond	ecount statements to the (rest of the) <i>private fund's</i> i "not applicable."	nvestors? If investor account
ring yo	our last fiscal year, what percentaç	ge of the <i>private fund's</i> assets (by value) was	valued by a <i>person</i> , such as an administrator, that is	s not your <i>related person</i> ?
clude c		·	ablished for that asset, if any, including obtaining an fee calculations (including allocations) was the valua	
ters				Ye
Does	s the <i>private fund</i> use the services of	of someone other than you or your <i>employee</i>	s for marketing purposes?	Č
ques		estions (b) through (g) below for each such i	finder, introducer, municipal advisor or other solicitor marketer the <i>private fund</i> uses. If the <i>private fund</i> uses	
		No Infor	mation Filed	

A. PRIVA

Informa

- 1. (a) Name of the private fund: DESALKIV PORTFOLIOS, L.L.C.
 - (b) Private fund identification number: (include the "805-" prefix also)

2.	Under the laws of what state or country is the <i>private fund</i> organized:	
	State:	Country:
	Delaware	United States

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

D. E. SHAW MANAGER, L.L.C.

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

Filing Adviser/Relying Adviser Name

D. E. SHAW ADVISER, L.L.C.

- 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.

No Information Filed

Yes No

(a) Is this a "master fund" in a master-feeder arrangement?

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

Name of private fund	Private fund identification number	
D. E. SHAW ALKALI FUND IV, L.P.	805-5586016798	
D. E. SHAW ALKALI INTERNATIONAL FUND IV, L.P.	805-2717070762	

Yes No

0 0

- (c) Is this a "feeder fund" in a master-feeder arrangement?
- (d) 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*:

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.(1) for the master-feeder arrangement or reporting on the funds separately.

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), for each of the feeder funds answer the following questions:

Additional Feeder Fund Information : 2 Record(s) Filed.

- 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), for each of the feeder funds answer the following questions:
 - (a) Name of the *private fund*:

D. E. SHAW ALKALI FUND IV, L.P.

(b) Private fund identification number: (include the "805-" prefix also) 805-5586016798

(c) Under the laws of what state or country is the *private fund* organized:

State: Country:

Cayman Islands

(d) (1) Name(s) of General Partner, Manager, Trustee or Directors (or *persons* serving in a similar capacity):

(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
(u) (2)	TO THE REPORT AND THE PROPERTY OF THE PROPERTY AND THE PROPERTY AND THE PROPERTY OF THE PROPER
	Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P.
(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
	Cayman Islands - Cayman Islands 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 each of the feeder fur r the following questions:
(a)	Name of the private fund:
	D. E. SHAW ALKALI INTERNATIONAL FUND IV, L.P.
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-2717070762
(c)	Under the laws of what state or country is the <i>private fund</i> organized:
(c)	Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Cayman Islands
	State: Country: Cayman Islands
	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
	State: Country: Cayman Islands 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
	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):
(d) (1)	State: Country: Cayman Islands 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
(d) (1)	State: Country: Cayman Islands 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 D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C.
(d) (1)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
(d) (1) (d) (2)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filling adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P.
(d) (1)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filling adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. The private fund (check all that apply; you must check at least one):
(d) (1) (d) (2)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P.
(d) (1) (d) (2)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filling Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. 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
(d) (1) (d) (2) (e)	State: Country: Cayman Islands Name(s) of General Partner, Manager, Trustee or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee or Director D. E. SHAW ALKALI GENERAL PARTNER IV, L.L.C. If filling an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund: Filing Adviser/Relying Adviser Name D. E. SHAW & CO., L.P. 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

Name of General Partner, Manager, Trustee or Director

	than "money market funds," to the extent provided in Instruction 6.e.)?		
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private fund:		
	NOTE: For definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
	Current gross asset value of the <i>private fund</i> : \$ 702,911,559		
<u>Own</u>	<u>ership</u>		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> :		
	\$ 1,000,000 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 o fund).	[:] the	
	Approximate number of the <i>private fund's</i> beneficial owners: 52		
	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
	(a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	(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?	es N	
	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 29%		
Your	· Advisory Services Y	es N	О
17.	(a) Are you a subadviser to this <i>private fund</i> ?	0 0	9
	(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 to question 17.(a) is "no," le this question blank.	ave	
	No Information Filed		
		es N	o
	(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 to question 18.(a) is	ଠ ଓ "no.")
	leave this question blank.		_
	No Information Filed		
19		es N	
	NOTE: For purposes of this question, do not consider feeder funds of the private fund.	0 0	9
0.0			
	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 3%		
Priva	ate Offering		
21.	Use the private fixed ever relied on an everentian from registration of its accounities under Degulation D of the Convities Act of 10222	es N	
22.	If yes, provide the <i>private fund's</i> Form D file number (if any):		
	Form D file number		
	021-307808		
	021-307812		

B. SERVI	CE PROVIDERS		
Auditors		V	es No
23. (a)	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?		9 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 than one auditing firm, you must comple (b) through (f) separately for each auditing firm.	te que	stions
	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 compare questions (b) through (f) separately for each auditing firm.	lete	
	(b) Name of the auditing firm: ERNST & YOUNG 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		
	NEW FORK New Fork Office States	Yes	No
	(d) Is the auditing firm an independent public accountant?	•	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?		
	(e) is the additing firm registered with the rubile company Accounting Oversight Board?	•	
	If yes, Public Company Accounting Oversight Board-Assigned Number: 42		
	(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
(a)	Are the private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's investors?		es No
	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 opinions?		, 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 B	roker		
FIIIIe D	<u>TOKEI</u>	Y	es No
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 the <i>private fund</i> uses. If the <i>private fund</i> uses more	than o	one
	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 prime broker, you must complete questions (b) through (e) separately for each prime broker.	e thar	٦
	(b) Name of the prime broker: BARCLAYS BANK PLC		
	(c) If the prime broker is registered with the SEC, its registration number:		
	CRD Number (if any):		
	(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):		
	City: Country: LONDON United Kingdom		
		Yes	No
	(e) Does this prime broker act as custodian for some or all of the private fund's assets?	⊙	0

If the answer to question 24.(a one prime broker, you must cor	mplete questions (b) through (e) sepa	rately for each prime broker.	
(b) Name of the prime broker: BARCLAYS CAPITAL SECURI	TIES, LTD.		
(c) If the prime broker is regist	tered with the SEC, its registration nu	mber:	
- CRD Number (if any):			
(d) Location of prime broker's of	office used principally by the <i>private fu</i>	and (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Does this prime broker act	as custodian for some or all of the <i>pri</i>	vate fund's assets?	Yes No ⊙ ○
(c) I see the print steller as			
) is "yes," respond to questions (b) th mplete questions (b) through (e) sepa	nrough (e) below for each prime broker the <i>private fund</i> uses. If trately for each prime broker.	the <i>private fund</i> uses more than
(b) Name of the prime broker: BNP PARIBAS			
(c) If the prime broker is regist	tered with the SEC, its registration nu	mber:	
(c) If the prime broker is regist - CRD Number (if any):	tered with the SEC, its registration nu	mber:	
- CRD Number (if any):			
CRD Number (if any): (d) Location of prime broker's of City:	office used principally by the <i>private fu</i> State:	and (city, state and country): Country:	
CRD Number (if any): (d) Location of prime broker's of	office used principally by the <i>private fu</i>	and (city, state and country):	Yes No
- CRD Number (if any): (d) Location of prime broker's of City: NEW YORK	office used principally by the <i>private fu</i> State:	and (city, state and country): Country: United States	Yes No ⊙ ○
CRD Number (if any): (d) Location of prime broker's of City: NEW YORK (e) Does this prime broker act If the answer to question 24.(a	office used principally by the <i>private fu</i> State: New York as custodian for some or all of the <i>pri</i>	and (city, state and country): Country: United States vate fund's assets? Arough (e) below for each prime broker the private fund uses. If	⊙ ○
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- CRD Number (if any):	f the ansvustodian, Additiona If the an custodia (b) Lega BARG (c) Prim BARG (d) The City:	wer to question 25.(a) is "yes," respond to q you must complete questions (b) through (call Custodian Information : 10 Record(s) Fill as wer to question 25.(a) is "yes," respond to n, you must complete questions (b) through all name of custodian: CLAYS BANK PLC arry business name of custodian: CLAYS BANK PLC location of the custodian's office responsible states.	puestions (b) through (g) below for each current g) separately for each custodian. Led. In questions (b) through g) below for each of (g) separately for each custodian. Let for custody of the private fund's assets (cite: Country:	custodian the private fund uses. If the private fund uses more than custodian the private fund uses. If the private fund uses more that ty, state and country):
	f the ansy ustodian, Additiona If the an custodian (b) Lega BARG (c) Prim BARG (d) The City: LON	wer to question 25.(a) is "yes," respond to q you must complete questions (b) through (gal Custodian Information : 10 Record(s) File as wer to question 25.(a) is "yes," respond to n, you must complete questions (b) through all name of custodian: CLAYS BANK PLC CLAYS BANK PLC location of the custodian's office responsible stated to t	puestions (b) through (g) below for each current g) separately for each custodian. Led. In questions (b) through g) below for each of (g) separately for each custodian. Let for custody of the private fund's assets (cite: Country:	custodian the private fund uses. If the private fund uses more than custodian the private fund uses. If the private fund uses more that ty, state and country):
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)	f the ansvustodian, Additiona If the an custodian (b) Lega BARC (c) Prim BARC (d) The City: LON (e) Is the	wer to question 25.(a) is "yes," respond to q you must complete questions (b) through (gal Custodian Information : 10 Record(s) File as wer to question 25.(a) is "yes," respond to n, you must complete questions (b) through all name of custodian: CLAYS BANK PLC arry business name of custodian: CLAYS BANK PLC location of the custodian's office responsible state DON	puestions (b) through (g) below for each congressions (b) through g) below for each congressions (b) through g) below for each congressions (g) separately for each custodian. The effor custody of the private fund's assets (cincted the contract of the custody) of the private fund's assets (cincted the custody) of the custody of the cu	custodian the private fund uses. If the private fund uses more than custodian the private fund uses. If the private fund uses more that ty, state and country):
(g) If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)	f the ansvustodian, Additiona If the an custodian (b) Lega BARC (c) Prim BARC (d) The City: LON (e) Is th	wer to question 25.(a) is "yes," respond to q you must complete questions (b) through (g all Custodian Information: 10 Record(s) File as wer to question 25.(a) is "yes," respond to n, you must complete questions (b) through all name of custodian: CLAYS BANK PLC arry business name of custodian: State DON	puestions (b) through (g) below for each congressions (b) through g) below for each congressions (b) through g) below for each congressions (g) separately for each custodian. The effor custody of the private fund's assets (cincted the contract of the custody) of the private fund's assets (cincted the custody) of the custody of the cu	custodian the private fund uses. If the private fund uses more than custodian the private fund uses. If the private fund uses more that ty, state and country):
	f the ansvustodian, Additiona If the an custodian (b) Lega BARC (c) Prim BARC (d) The City: LON (e) Is th	wer to question 25.(a) is "yes," respond to q you must complete questions (b) through (g all Custodian Information: 10 Record(s) File as wer to question 25.(a) is "yes," respond to n, you must complete questions (b) through all name of custodian: CLAYS BANK PLC arry business name of custodian: State DON	puestions (b) through (g) below for each congressions (b) through g) below for each congressions (b) through g) below for each congressions (g) separately for each custodian. The effor custody of the private fund's assets (cincted the contract of the custody) of the private fund's assets (cincted the custody) of the custody of the cu	custodian the private fund uses. If the private fund uses more than custodian the private fund uses. If the private fund uses more that ty, state and country):

G5GSEF7VJP5I7OUK5573	ı		
If the answer to question 25.	(a) is "yes," respond to questions (b) thr	ough g) below for each custodian the <i>private fund</i> uses. If	the <i>private fund</i> uses more than one
custodian, you must complete	e questions (b) through (g) separately for	each custodian.	
(b) Legal name of custodian:			
BARCLAYS CAPITAL SECU	RITIES, LTD.		
(c) Primary business name o	of custodian:		
BARCLAYS CAPITAL SECU			
(d) The location of the custoo	dian's office responsible for <i>custody</i> of the	e private fund's assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	Yes N
(e) Is the custodian a related	d person of your firm?		0 (
(f) If the quetadian is a healt	or doctor provide its CEC registration may	ne how (if any).	
(r) If the custodian is a brok	er-dealer, provide its SEC registration nui	nber (ir any):	
CRD Number (if any):			
		oes not have an SEC registration number, provide its legal	entity identifier (if any)
K9WDOH4D2PYBSLSOB4	34		
If the answer to question 25	(a) is "yes " respond to questions (b) the	ough g) below for each custodian the <i>private fund</i> uses. If	the private funduces more than one
•	e questions (b) through (g) separately for	• •	the private fund uses more than one
(b) Legal name of custodian:			
BLACK ROCK, INC.			
(c) Primary business name o	of custodian:		
BLACK ROCK, INC.	i custodiaii.		
(d) The location of the custom	dian's office recognible for sustady of the	a private fund's accets (situ, state and sountry).	
City:	State:	e private fund's assets (city, state and country): Country:	
NEW YORK	New York	United States	
(e) Is the custodian a related	d person of your firm?		Yes N
. ,			
(f) If the custodian is a brok	er-dealer, provide its SEC registration nur	mber (if any):	
- CRD Number (if any):			
(a) If the custodian is not a h	broker-dealer or is a broker-dealer but d	oes not have an SEC registration number, provide its <i>legal</i>	entity identifier (if any)
549300LRIF3NWCU26A8		des not have an 320 registration namber, provide its legal	entity lacitimes (ii dify)
•	•	ough g) below for each custodian the <i>private fund</i> uses. If	the <i>private fund</i> uses more than one
sustodian, you must complete	e questions (b) through (g) separately for	each custodian.	
(b) Legal name of custodian:			
BNP PARIBAS			
(c) Primary business name o	f custodian:		
BNP PARIBAS			
(d) The location of the custoo	dian's office responsible for custody of the	e private fund's assets (city, state and country):	

City:	State:	Country:	
NEW YORK	New York	United States	Yes No
(e) Is the custodian a <i>related</i> p	person of your firm?		O
(f) If the custodian is a broker	e-dealer, provide its SEC registration number (if	any):	
- CRD Number (if any):			
(g) If the custodian is not a br		have an SEC registration number, provide its legal entity	identifier (if any)
	a) is "yes," respond to questions (b) through g) questions (b) through (g) separately for each cu	below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ustodian.	ivate fund uses more than one
(b) Legal name of custodian: BOFA SECURITIES, INC.			
(c) Primary business name of a BOFA SECURITIES, INC.	custodian:		
(d) The location of the custodia	an's office responsible for <i>custody</i> of the <i>private</i>	fund's assets (city, state and country):	
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New TOTK	officed States	Yes No
(e) Is the custodian a <i>related</i> μ	person of your firm?		○ ⊙
8 - 69787	-dealer, provide its SEC registration number (if	any):	
CRD Number (if any): 283942			
(g) If the custodian is not a br	oker-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i>	identifier (if any)
549300HN4UKV1E2R3U73			
If the answer to question 25.(a	a) is "yes," respond to questions (b) through q)	below for each custodian the <i>private fund</i> uses. If the <i>pri</i>	<i>ivate fund</i> uses more than one
custodian, you must complete	questions (b) through (g) separately for each cu	ustodian.	
(b) Legal name of custodian: CITIGROUP GLOBAL MARKE	TS INC.		
(c) Primary business name of CITIGROUP GLOBAL MARKE			
	an's office responsible for custody of the private		
City: NEW YORK	State: New York	Country: United States	
(e) Is the custodian a <i>related</i> μ	person of your firm?		Yes No
(f) If the custodian is a broker	-dealer, provide its SEC registration number (if	any):	
8 - 8177			
CRD Number (if any): 7059			
(g) If the custodian is not a br	oker-dealer, or is a broker-dealer but does not	have an SEC registration number, provide its <i>legal entity</i> .	identifier (if any)

MBNUM2BPBDO7JBLYG310

	•	s "yes," respond to questions (b) the stions (b) through (g) separately for	nrough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> u or each custodian.	ses more than one
	Legal name of custodian: HSBC BANK PLC			
	Primary business name of cust HSBC BANK PLC	odian:		
	The location of the custodian's City: LONDON	s office responsible for <i>custody</i> of th State:	ne <i>private fund's</i> assets (city, state and country): Country: United Kingdom	
	Is the custodian a related pers	on of your firm?	Ŭ	Yes No
(f)	If the custodian is a broker-de	aler, provide its SEC registration nu	umber (if any):	
	- CRD Number (if any):			
	If the custodian is not a broke MP6I5ZYZBEU3UXPYFY54	r-dealer, or is a broker-dealer but o	does not have an SEC registration number, provide its legal entity identifier (if	⁻ any)
	•	s "yes," respond to questions (b) the estions (b) through (g) separately fo	nrough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uor each custodian.	ises more than one
	Legal name of custodian: HSBC BANK USA, N.A.			
	Primary business name of cust HSBC BANK USA, N.A.	odian:		
	City:	State:	ne <i>private fund's</i> assets (city, state and country): Country:	
	NEW YORK	New York	United States	Yes No
(e)	Is the custodian a related pers	on of your firm?		○ ⊙
	If the custodian is a broker-de - CRD Number (if any):	aler, provide its SEC registration nu	umber (if any):	
_	If the custodian is not a broke 1IE8VN30JCEQV1H4R804	r-dealer, or is a broker-dealer but o	does not have an SEC registration number, provide its <i>legal entity identifier</i> (if	any)
	•	s "yes," respond to questions (b) the stions (b) through (g) separately for	nrough g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uor each custodian.	ses more than one
(b)	Legal name of custodian: STATE STREET INSTITUTIONAL	INVESTMENT TRUST		
(c)	Primary business name of cust STATE STREET INSTITUTIONAL			
		·	ne private fund's assets (city, state and country):	
	City:	State:	Country:	

United States

BOSTON

Massachusetts

UBS AG 2) Primary business name of custodian: UBS AG 2) 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: City: State: Country: NEW YORK New York United States 2) If the custodian is a broker-dealer, provide its SEC registration number (if any):				
the answer to guestion 25 (a) is "yes" respond to questions (b) through g) below not each custodian the private Aund Uses. If the private Rund uses more than one administrator, you must complete that you first provide its legal entity identifier. Lists AG It the custodian is not a proker-dealer, or is a broker-dealer out does not have an SEC registration number, provide its legal entity identifier. Lists AG It the custodian a related person of your timm? If the custodian is not a proker-dealer, provide its SEC registration number (if any): CRD Number (if any). If the custodian is not a proker-dealer, or is a broker-dealer out does not have an SEC registration number, provide its legal entity identifier (if any) and an area for a provide its legal entity identifier. If the custodian is not a proker-dealer, or is a broker-dealer out does not have an SEC registration number, provide its legal entity identifier (if any) are harder fund use an administrator other than your firm? If the custodian is not a proker-dealer, or is a broker-dealer out does not have an SEC registration number, provide its legal entity identifier (if any) are 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 through (f) separately for each administrator. Alternative ratio dealer instruction: CHOLD HIND SERFICES (CATMAN ISLANUS) LID. I basister of administrator or deterministrator. New Jersey. Does the administrator or dealer and send investor account statements to the private funds funds investors?	(f) If the custodian is a broker-dealer,	provide its SEC registration number (if ar	ny):	
The answer to question 25. (a) is "yes," respond to questions (b) through (g) separately for each custodian the private fund uses. If the private fund uses more translation, you must compete questions (b) through (g) separately for each custodian. 1) Togal name of custodians 1005 AG 2) Togal name of custodians 1005 AG 3) The location of the custodians office responsible for custody of the private fund's assets (city, state and country): 1015 AG 3) The location of the custodians office responsible for custody of the private fund's assets (city, state and country): 1016 AND YORK 1017 New York 1018 AG 3) It is custodian a related person of your firm? 1018 The custodian is a trateer device, provide its SFC registration number (if any): 1019 The custodian is a trateer device, provide its SFC registration number (if any): 1020 Number (if any) 3) It the custodian is not a province-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 1018 The custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 1021 The custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) 1022 Section 26. (a) is "yes," respond to questions (in) through (i) below. If the private fund uses more than one administrator, you must complete through (i) separately for each administrator. 1033 Outside fund administrator information: 1044 CITY Separately for each administrator. 1055 Outside fund individual a colored previous fund? 1056 State: 1057 COUNTS SERVICES (CAYMAN ISLANDS) FID. 1058 The administrator is definitely as a colored previous of your firm? 1059 Does the administrator are definitely and separately for each administrator.	- CRD Number (if any):			
3) Legal name of custodian: UBS AG 9) The location of the austodian: UBS AG 9) The location of the austodian's office responsible for eastedy of the private fund's assists (ally, state and country): City. State 10) The location of the austodian's office responsible for eastedy of the private fund's assists (ally, state and country): City. State 10) The location of the austodian a related person of your flore? 11) It the custodian a related person of your flore? 12) It the custodian is a broken dealer, provine its St C registration number (it any): 13) It the custodian is not a broken dealer, provine its St C registration number (it any): 14) It the custodian is not a broken dealer, or is a broken dealer out does not have an St C registration number, provide its registration flower in the private fund use an administrator other than your flore? 15) It the custodian is not a broken dealer, or is a broken dealer out does not have an St C registration number, provide its registration flower its registration of accountment of administrator information: 1 Record(s) Filed. 15) It the administrator information: 1 Record(s) Filed. 16) It the administrator information: 1 Record(s) Filed. 17) It the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) separately for each administrator. 18) It is necessary 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 through (f) below. If the private fund uses more than one administrator, you must complete fund accountment of administrator information is fund to the private fund uses fund uses more than one administrator. 18) It is not a fund of administrator proper and scale december. 18) It is not administrator propers and scale investor account statements to	(g) If the custodian is not a broker-dea	aler, or is a broker-dealer but does not ha	ave an SEC registration number, provide its <i>legal entity iden</i>	tifier (if any)
UBS AC The focation of the obstedian's effice responsible for costedy of the private fund's assets (city, state and country): City State: Country: NEW YORK New York United States It the custodian a related person of your thm? If the custodian is a broken-dealer, provide its SEC registration number (if any): CRD Number (if any): If the custodian is a broken-dealer, provide its SEC registration number (if any): CRD Number (if any): If the custodian is not a broken-dealer, or is a broken-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) in the private fund use an administrator ether than your firm? In the private fund use an administrator ether than your firm? In 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 through (f) separately for each administrator. In 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 through (f) separately for each administrator. In 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 through (f) separately for each administrator. 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 through (f) through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must c				e fund uses more tha
UBS AG (i) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): (ii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii): (iii)	(b) Legal name of custodian: UBS AG			
City NEW YORK New York United States If the custodian a related person of your firm? If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BHMB Introduction is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BHMB Introduction is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BHMB Introduction is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BHMB Introduction is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BHMB Introduction is number (if any): BHMB Introduction is number (if any): Interpretation is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is number, provide its legal entity identifier (if any) BHMB Introduction is num		ın:		
NEW YORK New York United States 18 Is the custodian a related person of your firm? 18 If the custodian is a broker-dealer, provide its SEC registration number (if any): 19 CRD Number (if any): 20 If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BFM8T61CT2LTQCEMIK50 20 BFM8T61CT2LTQCEMIK50 20 BFM8T61CT2LTQCEMIK50 21 If the private fund use an administrator other than your firm? 32 an asswer 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 through (f) separately for each administrator. 33 (It has 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 uestions (b) through (f) separately for each administrator. 34 (It has 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 uestions (b) through (f) separately for each administrator. 35 (It has 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 uestions (b) through (f) separately for each administrator. 36 (It has a private fund uses more than one administrator, you must complete through (f) separately for each administrator. 37 (It has a private fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator, you must complete fund uses more than one administrator. 4 (It has private fund uses an a	(d) The location of the custodian's offic		und's assets (city, state and country):	
Is the custodian a related person of your firm? If the custodian is a broker-dealer, provide its SEC registration number (if any):			•	
If the custodian is a broker-dealer, provide its SEC registration number (if any): CRD Number (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any) BFM8T61CT2L1QCEMIKSQ or is the *private fund* use an administrator other than your firm? 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 through (f) separately for each administrator. ditional Administrator Information : 1 Record(s) Filed. 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 through (f) through (f) separately for each administrator. On Name of administrator: CITCO FUND SERVICES (CAYMAN ISLANDS) LTD. Location of administrator (city, state and country): City: State: Country: LERSEY CITY New Jersey United States to the *private fund* investors?	WEW TORK	New York	Ginted States	
CRD Number (if any): If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its legal entity identifier (if any) BFM8T61CT2L1QCEMIK50 or as the private fund use an administrator other than your firm? 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 through (f) separately for each administrator. ditional Administrator Information: 1 Record(s) Filed. 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 through (f) separately for each administrator. 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 through (f) through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than one administrator, you must complete through (f) below. If the private fund uses more than o	(e) Is the custodian a related person of	f your firm?		
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through (f) separately for each administrator. ditional Administrator Information: 1 Record(s) Filed. 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 uestions (b) through (f) separately for each administrator. D) Name of administrator: CITCO FUND SERVICES (CAYMAN ISLANDS) LTD. City: State: Country: JERSEY CITY New Jersey Does the administrator a related person of your firm?	oes the <i>private fund</i> use an administrato	or other than your firm?		
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Does the administrator prepare and send investor account statements to the <i>private fund's</i> investors?	dditional Administrator Information :	: 1 Record(s) Filed.		
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E) Location of administrator (city, state and country): City: State: Country: JERSEY CITY New Jersey United States d) Is the administrator a related person of your firm? E) Does the administrator prepare and send investor account statements to the private fund's investors?			elow. If the <i>private fund</i> uses more than one administrator,	you must complete
City: State: Country: JERSEY CITY New Jersey United States a) Is the administrator a related person of your firm? b) Does the administrator prepare and send investor account statements to the private fund's investors?			elow. If the <i>private fund</i> uses more than one administrator,	you must complete
City: State: Country: JERSEY CITY New Jersey United States a) Is the administrator a related person of your firm? b) Does the administrator prepare and send investor account statements to the private fund's investors?	questions (b) through (f) separately for (b) Name of administrator:	or each administrator.	relow. If the <i>private fund</i> uses more than one administrator,	you must complete
d) Is the administrator a <i>related person</i> of your firm? e) Does the administrator prepare and send investor account statements to the <i>private fund's</i> investors?	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS	or each administrator. SLANDS) LTD.	pelow. If the <i>private fund</i> uses more than one administrator,	you must complete
e) Does the administrator prepare and send investor account statements to the private fund's investors?	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS (c) Location of administrator (city, state)	SLANDS) LTD. te and country):		you must complete
	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS (c) Location of administrator (city, stat City:	SLANDS) LTD. te and country): State:	Country:	
O Yes (provided to all investors) O Some (provided to some but not all investors) O No (provided to no investors)	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS (c) Location of administrator (city, state City: JERSEY CITY	or each administrator. SLANDS) LTD. te and country): State: New Jersey	Country:	
	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS) (c) Location of administrator (city, stat City: JERSEY CITY (d) Is the administrator a related person	or each administrator. SLANDS) LTD. te and country): State: New Jersey on of your firm?	Country: United States	you must complete
) If the answer to question 26.(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor a	questions (b) through (f) separately for (b) Name of administrator: CITCO FUND SERVICES (CAYMAN IS (c) Location of administrator (city, stat City: JERSEY CITY (d) Is the administrator a related person (e) Does the administrator prepare and content of the cont	or each administrator. SLANDS) LTD. te and country): State: New Jersey on of your firm? and send investor account statements to the	Country: United States the private fund's investors?	

	D. E. SHAW & CO. L.P.	
27. Du	ring your last fiscal year, what percentage of the <i>private fund's</i> assets (by value) was valued by	a person, such as an administrator, that is not your related person?
0%		
	clude only those assets where (i) such <i>person</i> carried out the valuation procedure established for luation used for purposes of investor subscriptions, redemptions or distributions, and fee calcul	
vai	reaction used for purposes of investor subscriptions, reacting tions of distributions, and rec calcul	ations (including allocations) was the valuation determined by such person.
Market	ter <u>s</u>	
		Yes No
28. (a)	Does the private fund use the services of someone other than you or your employees for mark	teting purposes?
	You must answer "yes" whether the person acts as a placement agent, consultant, finder, into	,
	question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer t must complete questions (b) through (g) separately for each 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 Fil	od
	NO THO HISTORY	eu
A PRIVA	ATE FUND	
71. 1 111 17		
Informa	ation About the <i>Private Fund</i>	
1. (a)	Name of the <i>private fund</i> :	
	DESDIOP PORTFOLIOS, L.L.C.	
(b)	Private fund identification number:	
	(include the "805-" prefix also) 805-6908621763	
	805-0908021703	
2. Un	der the laws of what state or country is the <i>private fund</i> organized:	
	State: Country:	
	Delaware United States	
0 ()		
	Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar cap	pacity):
	ame of General Partner, Manager, Trustee, or Director E. SHAW DIOPTER MANAGER, L.L.C.	
<u> </u>	. E. G. W. W. B. G. T. E. C. W. W. W. G. E. C. G.	
(h)	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 private fund
	ling Adviser/Relying Adviser Name	(3) of manage(3) this private rana.
	E. SHAW DIOPTER ADVISER, L.L.C.	
4. The	e <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
V	(2) qualifies for the exclusion from the definition of investment company under section 3(c)(7)	of the Investment Company Act of 1940
5. Lis	t the name and country, in English, of each foreign financial regulatory authority with which the p	private fund is registered.
	No Information Filed	
		Yes No
6. (a)	Is this a "master fund" in a master-feeder arrangement?	⊙ ○
(b)	If yes, what is the name and private fund identification number (if any) of the feeder funds inv	esting in this private fund?
	ame of <i>private fund</i>	Private fund identification number
	E. SHAW DIOPTER FUND, L.L.C.	805-7117729873
D.	E. SHAW DIOPTER INTERNATIONAL FUND, L.P.	805-3520990378
		·
(0)	Is this a "feeder fund" in a master feeder arrangement?	Yes No
	Is this a "feeder fund" in a master-feeder arrangement?	© ⊙
(u)	If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in we Name of <i>private fund</i> :	milion this private rana hivests:

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

Name of General Partner, Manager, Trustee or Director

D. E. SHAW DIOPTER GENERAL PARTNER, L.L.C.

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1) for the master-feeder arrangement or reporting on the funds separately.

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), for each of the feeder funds answer the following questions:

Add	ditional	Feeder Fund Information : 2 Record(s) Filed.
7.	•	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 the feeder funds r the following questions:
	(a)	Name of the private fund:
	()	D. E. SHAW DIOPTER FUND, L.L.C.
		B. E. SHAW DIOI TER TOND, E.E.C.
	(b)	Private fund identification number:
		(include the "805-" prefix also)
		805-7117729873
	()	
	(c)	Under the laws of what state or country is the <i>private fund</i> organized:
		State: Country:
		Delaware United States
	(1) (4)	
	(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
		D. E. SHAW DIOPTER MANAGER, L.L.C.
	(d) (2)	If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
		Filing Adviser/Relying Adviser Name
		D. E. SHAW DIOPTER ADVISER, L.L.C.
	(e)	The private fund (check all that apply; you must check at least one):
	(0)	(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.
	(1)	No Information Filed
		No miornation riled
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), for each of the feeder funds
	•	r the following questions:
	(a)	Name of the private fund:
		D. E. SHAW DIOPTER INTERNATIONAL FUND, L.P.
	(b)	Private fund identification number:
		(include the "805-" prefix also)
		805-3520990378
	(c)	Under the laws of what state or country is the <i>private fund</i> organized:
		State: Country:
		Cayman Islands
	(a) (1)	Name (a) of Canaral Bartner, Managar, Truston or Directors (as paragraphy in a similar canarity).
	(d) (1)	Name(s) of General Partner, Manager, Trustee or Directors (or <i>persons</i> serving in a similar capacity):

		Filing Adviser/Relying Adviser Name		4
		D. E. SHAW DIOPTER ADVISER, L.L.C.		_
	(e)	The private fund (check all that apply; you must check at least one):		
	(0)	(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		
		Cayman Islands - Cayman Islands Monetary Authority]
	("master fo	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 und"). 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 in class (or series) invests substantially all of its assets in a single master fund.		3,
0	/		Yes	
8.		private fund a "fund of funds"?	0	
		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 war lso private funds or registered investment companies.	/netner	
	(b) If yes,	does the private fund invest in funds managed by you or by a related person?	0	0
			Yes	No
9.		ur 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 ey market funds," to the extent provided in Instruction 6.e.)?	0	•
10.	What type	of fund is the private fund?		
	• hedge	fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other <i>private fund</i> :		
	NOTE: For	definitions of these fund types, please see Instruction 6 of the Instructions to Part 1A.		
11.	Current gr	oss asset value of the <i>private fund</i> :		
	\$ 1,169,68	32,533		
<u>Ov</u>	nership			
12.		nvestment commitment required of an investor in the <i>private fund</i> :		
	\$ 1,000,00	00 Port 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 document	ts of th	ι Α
	fund).	for the uniount routinery required of investors who are not your related persons (even in uniterent from the uniount set for the in the organizational document	.5 01 111	C
13.	Approxima	te number of the <i>private fund's</i> beneficial owners:		
	13			
14.	What is the	e approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
	9%			
15.	(a) What i	s the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds:		
	12%		Yes	No
		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 on a limited to qualified clients?		
16.	What is the	e approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> :		
You	ur Advisory	Services		
<i>a</i> –	(-)		Yes	
17.	(a) Are yo	u a subadviser to this <i>private fund</i> ?	0	⊙

(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 to question 17.(a) is "no," leave

(d) (2) 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		
		Ye	s l
	Do any investment advisers (other than the investment advisers listed in Section 7.B.(1).A.3.(b)) advise the private fund?	0	
(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 answer to question 18.(a) leave this question blank.	is "r	Ο,
	No Information Filed		
		Ye	S
re	your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	
10	TE: For purposes of this question, do not consider feeder funds of the private fund.		
App 3%	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?		
<u>ite</u>	Offering	Ye	ς.
∃as	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	•	
_	es, provide the <i>private fund's</i> Form D file number (if any):		_
	rm D file number		
	1-459056		
)2	1-459057		
ors	(1) Are the <i>private fund's</i> financial statements subject to an annual audit?	Ye @)
(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 auditing firm, you must complete 	•)
tors	(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 auditing firm, you must complete (b) through (f) separately for each auditing firm.	•)
tors	(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 auditing firm, you must complete (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 (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (d) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (d) through (d) below.	• ques)
tors	(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 auditing firm, you must complete (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed.	• ques)
tors	(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 auditing firm, you must complete (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 (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (c) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (d) through (d) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (d) through (d) below.	• ques)
tors	(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," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete (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:	• ques)
ors	(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 auditing firm, you must complete (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: ERNST & YOUNG 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:	• ques)
ors	(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 auditing firm, you must complete (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: ERNST & YOUNG LLP (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country):	e ques	sti
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ors	(1) Are the <i>private fund</i> '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 <i>private fund</i> uses more than one auditing firm, you must complete (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: ERNST & YOUNG 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: Country: New YORK New York United States	e ques	sti
ors	(1) Are the <i>private fund</i> '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 <i>private fund</i> uses more than one auditing firm, you must complete (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: ERNST & YOUNG 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 (d) Is the auditing firm an <i>independent public accountant?</i>	te Yes) St

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.

Yes
 No
 Report Not Yet Received

Broker				
) Does the <i>private fu</i>	<i>nd</i> use one or more prime brokers?			Yes M
·	·		each prime broker the private fund	uses. If the <i>private fund</i> uses more than one
orime broker, you i	nust complete questions (b) throug	gh (e) separately for each prime brok	ker.	
Additional Prime	Broker Information : 7 Record(s)	Filed.		
	•	o questions (b) through (e) below fo through (e) separately for each prin	•	nd uses. If the <i>private fund</i> uses more than
(b) Name of the BANCO SANT	•			
(c) If the prime	broker is registered with the SEC, in	ts registration number:		
- CRD Number	(if any):			
(d) Location of p	rime broker's office used principally	y by the <i>private fund</i> (city, state and e	country):	
City:		State:	Country:	
SANTANDER			Spain	Yes No
(e) Does this pri	me broker act as custodian for som	ne or all of the <i>private fund's</i> assets?		© 0
(c) If the prime - CRD Number	broker is registered with the SEC, in (if any):	ts registration number:		
	rime broker's office used principally	by the <i>private fund</i> (city, state and		
City: NEW YORK		State: New York	Country: United States	
				Yes No
(e) Does this pri	ne broker act as custodian for som	ne or all of the <i>private fund's</i> assets?	•	⊙ ೧
	, you must complete questions (b)	o questions (b) through (e) below fo through (e) separately for each prin	•	nd uses. If the <i>private fund</i> uses more than
BARCLAYS BA	•			
(c) If the prime	broker is registered with the SEC, i	ts registration number:		
CRD Number	(if any):			
		y by the <i>private fund</i> (city, state and		
City: LONDON	Sta		ry: d Kingdom	
			-	Yes No
(e) Does this pri	me broker act as custodian for som	ne or all of the <i>private fund's</i> assets?	,	e c

	e prime broker, you must complete questions (I			
(b)	Name of the prime broker: BARCLAYS CAPITAL INC.			
(c)	If the prime broker is registered with the SEC	, its registration number:		
	CRD Number (if any):			
(d)	Location of prime broker's office used principa City:	ally by the <i>private fund</i> (city, sta	te and country): Country:	
	NEW YORK	New York	United States	Yes N
(e)	Does this prime broker act as custodian for so	ome or all of the <i>private fund's</i> a	assets?	⊙ C
	he answer to question 24.(a) is "yes," respond e prime broker, you must complete questions (l		pelow for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than
(b)	Name of the prime broker: BNP PARIBAS			
(c)	If the prime broker is registered with the SEC	, its registration number:		
	- CRD Number (if any):			
(d)	Location of prime broker's office used principa	ally by the <i>private fund</i> (city, sta	•	
	City: NEW YORK	New York	Country: United States	
		ome or all of the <i>private fund's</i> a	assets?	Yes No ⊙ C
(e)	Does this prime broker act as custodian for so	•		
(e)	Does this prime broker act as custodian for so	·		
lf t		to questions (b) through (e) b	pelow for each prime broker the <i>private fund</i> uses. I ach prime broker.	f the <i>private fund</i> uses more than
If t	he answer to question 24.(a) is "yes," respond	to questions (b) through (e) b	·	f the <i>private fund</i> uses more than
If tone	he answer to question 24.(a) is "yes," respond e prime broker, you must complete questions (l Name of the prime broker:	to questions (b) through (e) bb through (e) bb through (e) separately for each	·	f the <i>private fund</i> uses more than
If tone	he answer to question 24.(a) is "yes," respond e prime broker, you must complete questions (I Name of the prime broker: DEUTSCHE BANK AG LONDON	to questions (b) through (e) bb through (e) bb through (e) separately for each	·	f the <i>private fund</i> uses more than
If tone (b)	he answer to question 24.(a) is "yes," responded prime broker, you must complete questions (If the prime broker is registered with the SEC - CRD Number (if any):	I to questions (b) through (e) by through (e) by through (e) separately for each of the second of th	te and country):	f the <i>private fund</i> uses more than
If tone (b)	he answer to question 24.(a) is "yes," responded prime broker, you must complete questions (IN) Name of the prime broker: DEUTSCHE BANK AG LONDON If the prime broker is registered with the SEC	I to questions (b) through (e) b b) through (e) separately for ea , its registration number:	ach prime broker.	
If tone (b) (c)	he answer to question 24.(a) is "yes," respond e prime broker, you must complete questions (I Name of the prime broker: DEUTSCHE BANK AG LONDON If the prime broker is registered with the SEC - CRD Number (if any): Location of prime broker's office used principa City:	I to questions (b) through (e) to through (e) to through (e) separately for each of the sequence of the sequen	te and country): Country: United Kingdom	f the <i>private fund</i> uses more than Yes No

(b) Name of the prime broker:

(c) If the prime broker is registed	ered with the SEC, its registration numb	per:		
- CRD Number (if any):				
(d) Location of prime broker's of	fice used principally by the <i>private fund</i>	(city, state and country):		
City:	State:	Country:		
LONDON		United Kingdom		Yes
(e) Does this prime broker act a	s custodian for some or all of the privat	te fund's assets?		©
1				Ye
Does the <i>private fund</i> use any cust	odians (including the prime brokers list	ed above) to hold some or all of its	s assets?	e
f the answer to question 25.(a) is	"yes," respond to questions (b) throug	gh (g) below for each custodian the	e private fund uses. If the private fund uses mo	ore than one
ustodian, you must complete que	stions (b) through (g) separately for ea	ach custodian.		
Additional Custodian Informatio	n : 9 Record(s) Filed.			
	is "yes," respond to questions (b) thro uestions (b) through (g) separately for		ne <i>private fund</i> uses. If the <i>private fund</i> uses m	nore than on
(b) Legal name of custodian: BANCO SANTANDER, S.A.				
(c) Primary business name of cu BANCO SANTANDER, S.A.	ıstodian:			
(d) The location of the custodiar City:	n's office responsible for <i>custody</i> of the	private fund's assets (city, state an	d country): Country:	
SANTANDER	S	riute.	Spain	
(e) Is the custodian a related pe	erson of your firm?			Yes O
(f) If the custodian is a broker-o	dealer, provide its SEC registration num	ber (if any):		
- CRD Number (if any):				
	ker-dealer, or is a broker-dealer but do	as not have an SEC registration nu	ımber, provide its <i>legal entity identifier</i> (if any)	
(g) If the custodian is not a broken 5493006QMFDDMYWIAM13	· 	es not have an See registration na		
5493006QMFDDMYWIAM13 If the answer to question 25.(a) custodian, you must complete question 25.		ough g) below for each custodian th	ne <i>private fund</i> uses. If the <i>private fund</i> uses m	nore than one
If the answer to question 25.(a) custodian, you must complete question (b) Legal name of custodian: BANK OF AMERICA, N.A.	is "yes," respond to questions (b) thro uestions (b) through (g) separately for	ough g) below for each custodian th		nore than one
If the answer to question 25.(a) custodian, you must complete question (b) Legal name of custodian:	is "yes," respond to questions (b) thro uestions (b) through (g) separately for	ough g) below for each custodian th		nore than one
If the answer to question 25.(a) custodian, you must complete question 25. (b) Legal name of custodian: BANK OF AMERICA, N.A. (c) Primary business name of custodian: BANK OF AMERICA, N.A.	is "yes," respond to questions (b) thro uestions (b) through (g) separately for	ugh g) below for each custodian the each custodian.	ne <i>private fund</i> uses. If the <i>private fund</i> uses m	nore than one
If the answer to question 25.(a) custodian, you must complete question 25.(b) Legal name of custodian: BANK OF AMERICA, N.A. (c) Primary business name of custodian: BANK OF AMERICA, N.A.	is "yes," respond to questions (b) through (g) separately for a separately	ough g) below for each custodian the each custodian.	ne <i>private fund</i> uses. If the <i>private fund</i> uses m	
If the answer to question 25.(a) custodian, you must complete question 25.(b) Legal name of custodian: BANK OF AMERICA, N.A. (c) Primary business name of custodian: BANK OF AMERICA, N.A. (d) The location of the custodian City:	is "yes," respond to questions (b) through (g) separately for sustodian: astodian: astodian: by State: New York	ough g) below for each custodian the each custodian. Private fund's assets (city, state an Country:	ne <i>private fund</i> uses. If the <i>private fund</i> uses m	nore than one

(f)	If the custodian is a broker-dealer, provide its SEC r	registration number (if any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broke B4TYDEB6GKMZO031MB27	er-dealer but does not have an S	EC registration number, provide its <i>legal entity identifier</i> (if an	ıy)
	ne answer to question 25.(a) is "yes," respond to que todian, you must complete questions (b) through (g)		each custodian the private fund uses. If the private fund uses	s more than one
(b)	Legal name of custodian: BARCLAYS BANK PLC			
(c)	Primary business name of custodian: BARCLAYS BANK PLC			
(d)	The location of the custodian's office responsible for City: State:	Countr	y:	
	LONDON	United	Kingdom	Yes No
(e)	Is the custodian a <i>related person</i> of your firm?			○ ⊙
(f)	If the custodian is a broker-dealer, provide its SEC r	registration number (if any):		
	- CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broke G5GSEF7VJP5I7OUK5573	er-dealer but does not have an S	EC registration number, provide its <i>legal entity identifier</i> (if an	ıy)
	ne answer to question 25.(a) is "yes," respond to quotodian, you must complete questions (b) through (g)		each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses	s more than one
(b)	Legal name of custodian: BARCLAYS CAPITAL INC.			
(c)	Primary business name of custodian: BARCLAYS CAPITAL INC.			
(d)	The location of the custodian's office responsible for	custody of the private fund's ass	ets (city, state and country):	
	3	ate: w York	Country: United States	
(e)	Is the custodian a <i>related person</i> of your firm?	WIOIK	Officed States	Yes No
(0)	To the castoalan a related person of your mini			○ ⊙
(f)	If the custodian is a broker-dealer, provide its SEC r	registration number (if any):		
	CRD Number (if any):			
(g)	If the custodian is not a broker-dealer, or is a broke AC28XWWI3WIBK2824319	er-dealer but does not have an S	EC registration number, provide its <i>legal entity identifier</i> (if an	ıy)

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.

(b)	Legal name of custodian: BNP PARIBAS				
(c)	Primary business name of custodian: BNP PARIBAS				
(d)	The location of the custodian's office respons	sible for <i>custody</i> of the <i>private</i>	fund's assets (ci	ry, state and country):	
	City: NEW YORK	State: New York		Country: United States	
				United States	Yes No
(e)	Is the custodian a <i>related person</i> of your firm	?			○ ●
(f)	If the custodian is a broker-dealer, provide it	ts SEC registration number (if	any):		
	CRD Number (if any):				
(g)	If the custodian is not a broker-dealer, or is ROMUWSFPU8MPRO8K5P83	a broker-dealer but does not	have an SEC reg	stration number, provide its <i>legal entity identifier</i> (if	any)
cus	todian, you must complete questions (b) thro Legal name of custodian:			ustodian the <i>private fund</i> uses. If the <i>private fund</i> us	ses more than one
	DEUTSCHE BANK AG LONDON				
(c)	Primary business name of custodian: DEUTSCHE BANK AG LONDON				
(d)	The location of the custodian's office respons	sible for <i>custody</i> of the <i>private</i>	fund's assets (ci	y, state and country):	
	City: LONDON	State:	Country: United Kingdo	om	
(e)	Is the custodian a <i>related person</i> of your firm	?			Yes No
					0 0
(f)	If the custodian is a broker-dealer, provide it	ts SEC registration number (if	any):		
	CRD Number (if any):				
(g)	If the custodian is not a broker-dealer, or is 54930036B12A3G2SIW61	a broker-dealer but does not	have an SEC reg	stration number, provide its legal entity identifier (if	any)
	he answer to question 25.(a) is "yes," respon todian, you must complete questions (b) thro			ustodian the <i>private fund</i> uses. If the <i>private fund</i> us	ses more than one
(b)	Legal name of custodian: HSBC BANK USA, N.A.				
(c)	Primary business name of custodian: HSBC BANK USA, N.A.				
(d)	The location of the custodian's office respons	,	fund's assets (ci	3 .	
	City: NEW YORK	State: New York		Country: United States	
(e)	Is the custodian a related person of your firm	?			Yes No
(f)	If the custodian is a broker-dealer, provide it	ts SEC registration number (if	any):		
' '	, 1	-	-		

CRD Number (if any):			
g) If the custodian is not a I 1IE8VN30JCEQV1H4R804		out does not have an SEC registration number, provide its legal entity identifier (if any)	
	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m ly for each custodian.	ore than one
) Legal name of custodian: STATE STREET INSTITUTION	ONAL INVESTMENT TRUST		
) Primary business name o STATE STREET INSTITUTION	of custodian: ONAL INVESTMENT TRUST		
) The location of the custo	dian's office responsible for <i>custody</i> o	of the <i>private fund's</i> assets (city, state and country):	
City: BOSTON	State: Massachusetts	Country: United States	
BOSTON	Massachusetts	United States	Yes I
Is the custodian a related	d person of your firm?		0
If the custodian is a brok	er-dealer, provide its SEC registration	n number (if any):	
II the custodian is a brok			
- CRD Number (if any):			
-			
- CRD Number (if any):	broker-dealer, or is a broker-dealer b	out does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)	
- CRD Number (if any):	broker-dealer, or is a broker-dealer b	out does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any)	
CRD Number (if any): If the custodian is not a l			
CRD Number (if any):) If the custodian is not a lither than the answer to question 25.) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m	ore than one
CRD Number (if any):) If the custodian is not a latter than the answer to question 25. Istodian, you must complete	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m	ore than one
CRD Number (if any): g) If the custodian is not a lither the answer to question 25.	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m	ore than one
CRD Number (if any): If the custodian is not a light the answer to question 25. Istodian, you must complete the custodian: UBS AG, LONDON BRANCE	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m	ore than one
CRD Number (if any): If the custodian is not a little answer to question 25. stodian, you must complete UBS AG, LONDON BRANCE	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m	ore than one
CRD Number (if any):) If the custodian is not a late the answer to question 25. Istodian, you must complete UBS AG, LONDON BRANCE) Primary business name of UBS AG, LONDON BRANCE	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H of custodian: H) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m ly for each custodian.	ore than one
CRD Number (if any): If the custodian is not a little answer to question 25. stodian, you must complete UBS AG, LONDON BRANCI Primary business name of UBS AG, LONDON BRANCI	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H of custodian: H dian's office responsible for <i>custody</i> o) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m ly for each custodian. of the <i>private fund's</i> assets (city, state and country):	ore than one
CRD Number (if any): If the custodian is not a light the answer to question 25. stodian, you must completed UBS AG, LONDON BRANCE Primary business name of UBS AG, LONDON BRANCE	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H of custodian: H) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m ly for each custodian.	ore than one
CRD Number (if any): If the custodian is not a light the answer to question 25. stodian, you must complete UBS AG, LONDON BRANCI Primary business name of UBS AG, LONDON BRANCI The location of the custodian; The location of the custodian; City: LONDON	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H dian's office responsible for <i>custody</i> of State:) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses m ly for each custodian. of the <i>private fund's</i> assets (city, state and country): Country:	Yes
CRD Number (if any): If the custodian is not a little answer to question 25. stodian, you must complete UBS AG, LONDON BRANCE Primary business name of UBS AG, LONDON BRANCE The location of the custodian: It the custodian a related to the custodian and the custodian are lated to the custod	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H di custodian: H dian's office responsible for custody of State: di person of your firm?) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses make the private fund uses. If the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses are the private fund uses and use fund uses are the private fund uses are the priva	Yes
CRD Number (if any): If the custodian is not a little answer to question 25. stodian, you must complete Legal name of custodian: UBS AG, LONDON BRANCH Primary business name of UBS AG, LONDON BRANCH The location of the custodian: LONDON Is the custodian a related	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H dian's office responsible for <i>custody</i> of State:) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses make the private fund uses. If the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses are the private fund uses and use fund uses are the private fund uses are the priva	Yes
CRD Number (if any): If the custodian is not a light the answer to question 25. Istodian, you must complete the custodian; used and provided the custodian are later the cust	(a) is "yes," respond to questions (b) e questions (b) through (g) separatel H di custodian: H dian's office responsible for custody of State: di person of your firm?) through g) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses make the private fund uses. If the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses. If the private fund uses make the private fund uses make the private fund uses make the private fund uses. If the private fund uses make the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses the private fund uses are the private fund uses and use fund uses are the private fund uses and use fund uses are the private fund uses are the priva	Yes I

<u>Administrator</u>

Yes No

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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.

	Additional Administrator Informati	on : 1 Record(s) Filed.		
	If the answer to question 26.(a) is questions (b) through (f) separately		ow. If the <i>private fund</i> uses more than one adminis	strator, you must complete
	(b) Name of administrator: CITCO FUND SERVICES (CAYMA	N ISLANDS) LTD.		
	(c) Location of administrator (city,	state and country):		
	City:	State:	Country:	
	JERSEY CITY	New Jersey	United States	Yes No
	(d) Is the administrator a related p	erson of your firm?		○ ●
		e and send investor account statements to the		
	O res (provided to all investors	Dome (provided to some but not all lives)	oray (provided to no investors)	
		e) is "no" or "some," who sends the investor ac (rest of the) <i>private fund's</i> investors, respond	ccount statements to the (rest of the) <i>private fund</i> "not applicable."	's investors? If investor account
valu <u>Markete</u>		ubscriptions, redemptions or distributions, and	fee calculations (including allocations) was the va	
28. (a)	Does the <i>private fund</i> use the service	s of someone other than you or your <i>employee</i>	s for marketing purposes?	Yes No
	You must answer "yes" whether the	person acts as a placement agent, consultant, questions (b) through (g) below for each such i	finder, introducer, municipal advisor or other solicit marketer the <i>private fund</i> uses. If the <i>private fund</i> u	or, or similar <i>person</i> . If the answer to
		No Infor	mation Filed	
		Funds per Page: 15	Total Funds: 13	
ECTION 7	.B.(2) Private Fund Reporting			
		No Informat	ion Filed	
0.5	delination on lateractic Off CT		ion Filed	
	cicipation or Interest in <i>Client</i> Trans	actions		in which conflicts of interest may occur
n this Iten	n, we request information about your	actions participation and interest in your <i>clients</i> ' trans.	actions. This information identifies additional areas as on the types of participation and interest that y	

Proprietary Interest in *Client* Transactions

- (1) buy securities for yourself from advisory *clients*, or sell securities you own to advisory *clients* (principal transactions)?
- (2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory *clients*?
- (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))?

Sales Interest in Client Transactions

Do you or any related person:

A. Do you or any *related person*:

Yes No

Yes No

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		ller or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory <i>client</i> securities are sold to the brokerage customer (agency cross transactions)?	0	•
	(2) recommend to a	advisory clients, or act as a purchaser representative for advisory clients with respect to, the purchase of securities for which you or any related person rwriter or general or managing partner?	0	•
	•	chase 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 a broker or registered representative of a broker-dealer)?	0	•
In	nvestment or Brokerag	ge Discretion		
C.	. Do you or any related	d person have discretionary authority to determine the:	Yes	No
	(1) securities to be	bought or sold for a client's account?	•	0
	(2) amount of secur	rities to be bought or sold for a <i>client's</i> account?	•	0
	(3) broker or dealer	r to be used for a purchase or sale of securities for a client's account?	•	0
	(4) commission rate	es to be paid to a broker or dealer for a <i>client's</i> securities transactions?	•	0
D.). If you answer "yes"	to C.(3) above, are any of the brokers or dealers related persons?	0	•
E.	. Do you or any <i>related</i>	d person recommend brokers or dealers to clients?	0	•
F.	. If you answer "yes"	to E. above, are any of the brokers or dealers related persons?	0	0
G.		related person receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in client securities transactions?	•	0
) 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 ange Act of 1934?	•	0
H.	I. (1) Do you or any r	related person, directly or indirectly, compensate any person that is not an employee for client referrals?	0	\odot
		related person, directly or indirectly, provide any employee compensation that is specifically related to obtaining clients for the firm (cash or non-cash addition to the employee's regular salary)?	0	•
1.	Do you or any related	d person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related person) for client referrals?	0	•
	In your response to I	tem 8.1., do not include the regular salary you pay to an employee.		
	, ,	ns 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 ge for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.	∍m 8. i	1.)
Ito	em 9 Custody			
In		whether you or a related person has custody of client (other than clients that are investment companies registered under the Investment Company Act of istodial practices.	 of 19₄	40)
Α.	(1) Do you have cus	stody of any advisory clients':	Yes	No
	(a) cash or ban	nk accounts?	0	•
	(b) securities?		0	•
	accounts, or (ii) a rela	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 clie ated 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 dent (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 <i>client</i> funds and securities and total number of <i>clients</i> for which you have <i>custody</i> :		
	U.S. Dollar Amo			
	(a) \$	(b)		
	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	t of th	ıose

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

(a) cash or bank accounts?

(b) securities?

(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*:

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

Yes No

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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 Item 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':

	(a) \$ 43,699,830,107	(b) 31	
C.	(1) A qualified custodian(s) sends account statements at	or securities in connection with advisory services you provide to <i>clients</i> , check all the following that apply: least quarterly to the investors in the pooled investment vehicle(s) you manage. cooled investment vehicle(s) that you manage and the audited financial statements are distributed to the surprise examination of <i>client</i> funds and securities.	
	client funds and securities.	control report with respect to custodial services when you or your related persons are qualified custodians for	
		of Schedule D the accountants that are engaged to perform the audit or examination or prepare an internal control representation in Section 9.C. of Schedule D if you already provided this information with respect to the private funds you ad	•
D.	Do you or your <i>related person(s)</i> act as qualified custodians (1) you act as a qualified custodian	for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	Yes No
	(2) your <i>related person(s)</i> act as qualified custodian(s)		0 0
		act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be iden letermined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.	ntified in
E.	If you are filing your <i>annual updating amendment</i> and you v (MM/YYYY) the examination commenced:	vere subject to a surprise examination by an <i>independent public accountant</i> during your last fiscal year, provide th	ne date
F.	If you or your <i>related persons</i> have <i>custody</i> of <i>client</i> funds of your <i>clients</i> in connection with advisory services you provide 84	or securities, how many <i>persons</i> , including, but not limited to, you and your <i>related persons,</i> act as qualified custoo de to <i>clients?</i>	dians for
SEC	TION 9.C. Independent Public Accountant		
		No Information Filed	
Iter	m 10 Control Persons		
In t		r indirectly, controls you. If you are filing an umbrella registration, the information in Item 10 should be provided fo	or the
Sch		complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive offi this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both ete Schedule C.	
A.	Does any <i>person</i> not named in Item 1.A. or Schedules A, B,	, or C, directly or indirectly, control your management or policies?	0 0
	If yes, complete Section 10.A. of Schedule D.		
B.	If any <i>person</i> named in Schedules A, B, or C or in Section 1 please complete Section 10.B. of Schedule D.	0.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 193	34,
SEC	TION 10.A. Control Persons		
		No Information Filed	
SEC	TION 10.B. Control Person Public Reporting Companies		
		No Information Filed	
Iter	n 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

Total Number of Clients

U.S. Dollar Amount

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? • \circ For "yes" answers to the following questions, complete a Criminal Action DRP: A. 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? \circ • (2) been charged with any felony? \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) to charges that are currently pending. 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 misdemeanor involving: investments or an investment- \circ related 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? (2) been charged with a misdemeanor listed in Item 11.B.(1)? 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: 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? (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? \circ (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 \circ restricted?

- For "yes" answers to the following questions, complete a Regulatory Action DRP:

 C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:

 (1) found you or any advisory affiliate to have made a false statement or omission?

 (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?

 (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?

 (4) entered an order against you or any advisory affiliate in connection with investment-related activity?

 (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?

 (6) imposed a civil money penalty on you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?

 (1) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?

 (2) ever found you or any advisory affiliate to have been a cause of an investment-related regulations or statutes?

 (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?
- Has any self-regulatory organization or commodities exchange ever:(1) found you or any advisory affiliate to have made a false statement or omission?
 - (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)?

(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

- (3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, 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
- (4) disciplined you or any *advisory affiliate* by expelling or suspending you or the *advisory affiliate* from association with other members, or otherwise restricting your or the *advisory affiliate's* activities?
- 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.?

Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended?

(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?

associating with an investment-related business or restricted your or any advisory affiliate's activity?

For "yes" answers to the following questions, complete a Civil Judicial Action DRP:

H. (1) Has any domestic or foreign court:

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(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	\circ	⊙
(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	\circ	\odot
(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority?	0	•
(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)?	0	•

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 <i>clients</i>. In determining your or another <i>person's</i> total assets, you may use 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 <i>person</i>, whether through ownership of securities, by contract, or otherwise <i>person</i> 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 <i>person</i> is to <i>control</i> the other <i>person</i>. 	. Any	
		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
If "	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

Schedule A

Direct Owners and Executive Officers

fiscal year?

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) 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

- 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		Title or Status	Date Title or Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of
Name, First Name, Middle Name)			Acquired MM/YYYY	Code	Person		Birth, IRS Tax No. or Employer ID No.
SHAW, DAVID, ELLIOT	1	LIMITED PARTNER	12/1992	D	Υ	N	1557735
D. E. SHAW & CO., INC.	DE	GENERAL PARTNER	11/1992	NA	Υ	N	
STONE, MAXIMILIAN, DANA	1	EXECUTIVE COMMITTEE MEMBER	01/2005	NA	Υ	N	2246217
ZABACK, CHRISTOPHER, MARTIN	1	CHIEF FINANCIAL OFFICER	08/2008	NA	N	N	4048333
FISHMAN, EDWARD, LAURENCE	I	CHIEF OPERATING OFFICER,	10/2010	NA	Υ	N	2656095
		EXECUTIVE COMMITTEE MEMBER					
THOMAS, NATHAN, CLARK	1	CHIEF COMPLIANCE OFFICER	06/2011	NA	N	N	4521563
PLAINTEXT HOLDINGS, LLC	DE	LIMITED PARTNER	04/2015	В	N	N	
SWEET, DAVID, MCINTYRE	1	CO-GENERAL COUNSEL	01/2017	NA	N	N	2959457
LEBWOHL, MARTIN, NMN	1	CO-GENERAL COUNSEL	01/2017	NA	N	N	5355729
DINNING, ANNE, CAROLYN	I	EXECUTIVE COMMITTEE MEMBER	07/1997	NA	Υ	N	2078654
HALABY, ALEXIS, ANNE	I	EXECUTIVE COMMITTEE MEMBER	06/2021	NA	Υ	N	4719650
JAGER, EDWIN, ANDREW	I	EXECUTIVE COMMITTEE MEMBER	01/2024	NA	Υ	N	4223985
PRASAD, ANOOP, NMN	I	EXECUTIVE COMMITTEE MEMBER	04/2024	NA	Υ	N	2946224
DEATON, ADAM, ANGUS	1	EXECUTIVE COMMITTEE MEMBER	04/2024	NA	Υ	N	4169923

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 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,

(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

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, all 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
- LLC's capital, and (ii) if managed by elected managers, all elected managers.

(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

- 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: Last DE/FE/I Entity in Which

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer
		Owned		MM/YYYY				ID No.
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Υ	N	1557735
BIG HEN GROUP I, LLC	DE	PLAINTEXT HOLDINGS, LLC	SOLE MEMBER, PLAINTEXT HOLDINGS, LLC	12/2014	Е	Υ	N	
THE SCHMIDT FAMILY LIVING TRUST	DE	BIG HEN GROUP I, LLC	MEMBER, BIG HEN GROUP I, LLC	10/2004	E	Υ	N	
SCHMIDT, ERIC, EMERSON	I	THE SCHMIDT FAMILY LIVING TRUST	CO-TRUSTEE, THE SCHMIDT FAMILY LIVING TRUST	01/1987	F	Υ	N	6482891
SCHMIDT, WENDY, NMN	I	THE SCHMIDT FAMILY LIVING TRUST	CO-TRUSTEE, THE SCHMIDT FAMILY LIVING TRUST	01/1987	F	Y	N	6482893

Schedule D - Miscellaneous

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

INFORMATION GENERALLY IS AS OF 12/31/2023. | ITEM 1.F. CERTAIN EMPLOYEES WHO PERFORM INVESTMENT ADVISORY FUNCTIONS AND ARE BASED IN THE PRINCIPAL OFFICE IN NEW YORK CITY MAY UTILIZE OTHER OFFICES FROM TIME TO TIME. | ITEM 1.M. ADVISER, ALTHOUGH NOT REGISTERED, HAS LIMITED

RELIES IN CERTAIN FOREIGN JURISDICTIONS. | ITEMS 5.A. & B. THE NUMBER OF EMPLOYEES DOES NOT INCLUDE EMPLOYEES WHOSE PRIMARY FUNCTION RELATES TO D. E. SHAW RENEWABLE INVESTMENTS, L.L.C. (DESRI) WHICH IS AN AFFILIATED REGISTERED INVESTMENT ADVISER. DESRI INCLUDES THESE EMPLOYEES IN ITS FORM ADV. CERTAIN SUCH EMPLOYEES ARE EMPLOYEES OF THE ADVISER; MAY SHARE THEIR TIME AMONG DESRI, THE ADVISER, AND/OR RELATED PERSONS; AND RECEIVE COMPENSATION AND OTHER BENEFITS FROM DESRI, THE ADVISER, AND/OR RELATED PERSONS. | ITEM 5.L.(1)(e) & (2). ALTHOUGH THEY DO NOT INCLUDE RATINGS, CERTAIN ADVERTISEMENTS LIST SPECIFIC HONORS OR AWARDS GRANTED BY THIRD PARTIES. THE ADVISER DOES NOT PROVIDE COMPENSATION FOR HONORS OR AWARDS, BUT THE ADVISER AND/OR RELATED PERSONS PURCHASE FROM SUCH THIRD PARTIES VARIOUS GOODS AND SERVICES, INCLUDING ORGANIZATIONAL MEMBERSHIPS, PUBLICATION SUBSCRIPTIONS, AND ADMISSION TO AWARDS EVENTS. | ITEM 6.B. ADVISER ACTS AS THE GENERAL PARTNER, MANAGING MEMBER, HOLDING COMPANY, AND/OR "PARENT COMPANY" FOR CERTAIN OF ITS RELATED PERSONS, INCLUDING CERTAIN NON-INVESTMENT RELATED ENTITIES, AND THIS ACTIVITY MAY BE CONSIDERED TO BE SEPARATE FROM THE PROVISION OF INVESTMENT ADVICE. | ITEM 7.A. CERTAIN OF THE ADVISER'S RELATED PERSONS HAVE NOT BEEN INCLUDED IN SCHEDULE D, AS SUCH RELATED PERSONS DO NOT ENGAGE IN ANY OF THE ACTIVITIES ENUMERATED IN ITEM 7.A. | SECTION 7.B. (1)A.1. CERTAIN MASTER-FEEDER STRUCTURES MAY HAVE MORE THAN ONE MASTER FUND. SUCH ADDITIONAL MASTER FUNDS ARE NOT LISTED, BUT MAY BE USED FOR CERTAIN LEGAL, TAX, REGULATORY, OR OTHER PURPOSES. | SECTION 7.B.(1)A.7.(d)(2), SCHEDULE D. THE FOLLOWING FEEDER FUNDS DO NOT HAVE AN INVESTMENT ADVISER BECAUSE THEY ARE CONDUITS AND DO NOT EXERCISE INVESTMENT DISCRETION: D. E. SHAW ALKALI FUND III, L.P., D. E. SHAW ALKALI FUND IV, L.P., D. E. SHAW ALKALI FUND V, L.P., D. E. SHAW ALKALI INTERNATIONAL FUND III, L.P., D. E. SHAW ALKALI INTERNATIONAL FUND IV, L.P., D. E. SHAW ALKALI INTERNATIONAL FUND V, L.P., D. E. SHAW COMPOSITE GRAPHITE FUND, L.L.C., D. E. SHAW COMPOSITE GRAPHITE INTERNATIONAL FUND, L.P., D. E. SHAW VALENCE FUND, L.L.C., D. E. SHAW VALENCE INTERNATIONAL FUND, L.P., D. E. SHAW VOLTAIC FUND, L.L.C., D. E. SHAW VOLTAIC INTERNATIONAL FUND, L.P., D. E. SHAW DIOPTER FUND, L.L.C., AND D. E. SHAW DIOPTER INTERNATIONAL FUND, L.P. | SECTION 7.B. (1)A.8, SCHEDULE D. EACH PRIVATE FUND IS IN A MASTER-FEEDER ARRANGEMENT. | SECTION 7.B.(1)A.11, SCHEDULE D. THE GROSS ASSET VALUE OF CERTAIN PRIVATE FUNDS EXCLUDES THE INVESTMENT OF AFFILIATED PRIVATE FUNDS. | SECTION 7.B. (1) A.12, SCHEDULE D. MINIMUM INVESTMENT COMMITMENTS MAY BE WAIVED UNDER CERTAIN CIRCUMSTANCES. | SECTION 7.B. (1) A.13-16, SCHEDULE D. THE NUMBER AND PERCENTAGE OF BENEFICIAL OWNERS OF D. E. SHAW VALENCE PORTFOLIOS, L.L.C. EXCLUDE THE INVESTMENT OF AFFILIATED PRIVATE FUNDS AND BENEFICIAL OWNERS OF AFFILIATED PRIVATE FUNDS. |SECTION 7.B.(1)A.18, SCHEDULE D. ADVISER HAS RETAINED STELLUS CAPITAL MANAGEMENT, LLC AS SUB-ADVISER TO PROVIDE CERTAIN INVESTMENT ADVISORY SERVICES WITH RESPECT TO CERTAIN POSITIONS HELD IN PRIVATE FUNDS. | SECTION 7.B.(1)A.24-25, SCHEDULE D. THE LIST OF PRIME BROKERS AND CUSTODIANS FOR EACH PRIVATE FUND EXCLUDES THE PRIME BROKERS AND CUSTODIANS OF AFFILIATED PRIVATE FUNDS IN WHICH THE PRIVATE FUNDS INVEST. | SECTION 7.B. (1) A. 27, SCHEDULE D. THE ADMINISTRATOR AND OTHER INDEPENDENT THIRD PARTIES CONDUCT AN INDEPENDENT MONTHLY OR QUARTERLY VERIFICATION OF THE ADVISER'S PRICING OF SUBSTANTIALLY ALL THE INVESTMENT POSITIONS HELD DIRECTLY OR INDIRECTLY BY PRIVATE FUNDS. | ITEM 9.A. & B. CLIENT ASSETS ARE GENERALLY HELD IN CUSTODY BY UNAFFILIATED QUALIFIED CUSTODIANS. HOWEVER, ADVISER OR ITS RELATED PERSONS ARE DEEMED TO HAVE CUSTODY OF CLIENT ASSETS.

sche	edule R			
SEC	CTION 1 Identifying Information			
Re	esponses to this Section tell us who you (the r	elying adviser) are, where you	are doing business, and how we can contact	you.
Α.	Your full legal name: D. E. SHAW DIRECT CAPITAL, L.L.C.			
В.	Name under which you primarily conduct yo	ur advisory business, if differer	nt from Section 1.A. above or Item 1.A. of the	filing adviser's Form ADV Part 1A.
C.	List any other business names and the juris	sdictions in which you use then	n. Complete this question for each other bus	ness name.
			No Information Filed	
	You do not have to include the names or juris	sdictions of the filing adviser or c	other relying adviser(s) in response to this Sect	ion 1.C.
D.	number:	r (" <i>CRD</i> Number") assigned by	the FINRA's CRD system or by the IARD syste	em (other than the <i>filing adviser's CRD</i> number), your <i>CRD</i>
	147212		No Information Filed	
	If you do not have a CRD number, skip this S	ection 1.D. Do not provide the C	RD number of one of your officers, employees,	or affiliates (including the filing adviser).
Ε.	Principal Office and Place of Business			
	(1) Address (do not use a P.O. Box):			
	☑ Same as the <i>filing adviser</i> .			
	Number and Street 1: 1166 AVENUE OF THE AMERICAS		Number and Street 2: NINTH FLOOR	
	City: NEW YORK	State: New York	Country: United States	ZIP+4/Postal Code: 10036
	If this address is a private residence	chack this boy.		

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
	(3)	Telephone number at this location: 212-478-0000
	(4)	Facsimile number at this location, if any: 212-478-0100
F.	Mailir	ng address, if different from your <i>principal office and place of business</i> address:
	₽s	ame as the <i>filing adviser</i> .
	Num	nber and Street 1: Number and Street 2:
	City	
	If th	is address is a private residence, check this box:
G.	Provi	de your <i>Legal Entity Identifier</i> if you have one:
	A leg	al 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.
H.		u have Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers: Number
	156	1691
SEC	TION	2 SEC Registration
Res	ponse	s to this Section help us (and you) determine whether you are eligible to register with the SEC.
A.	belov	e a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8), w. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items.
		(the <i>relying adviser</i>): (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
		(4) have your <i>principal office and place of business</i> outside the United States ;
	V	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, and your <i>principal office and place of business</i> is the same as the registered adviser;
		(6) 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, you must make both of the representations below:
		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.
		By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
		(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
		If this is your initial filing as a relying adviser, 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.

	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.
	[3] (8) have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
	Application Number: 803- Date of <i>Order</i> :
	(9) are no longer eligible to remain registered with the SEC.
SE	CTION 3 Form of Organization
A.	
	O Corporation
	Sole Proprietorship
	C Limited Liability Partnership (LLP)
	O Partnership
	C Limited Partnership (LP)
	Other (specify):
В.	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.
	CTION 4.A. Direct Owners and Executive Officers
In	this Section 4, we ask you to identify each other <i>person</i> that, directly or indirectly, <i>controls</i> you.
' '	Section 4.A. asks for information about your direct owners and executive officers. Direct Owners and Executive Officers. List below the names of:
	(a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, 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 Section 4.A., a <i>person</i> 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 any analytic.
	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 capita
	and (ii) if managed by elected managers, all elected managers.
	Do you have any indirect owners to be reported on Section 4.B. below?
	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.
	Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in
	Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and
FII	before you submit your filing. LL LEGAL NAME DE/FE/I Title or Status Date Title or Status Ownership Control PR CRD No.
. II. J	

(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	04/2008	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: DE/FE/I Last Name, First Name, Middle		Entity in Which Interest is	Status	Date Status Acquired		Control P Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or	
Name)		Owned		MM/YYYY				Employer ID No.	
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N		
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Y	N	1557735	
SHAW, DAVID, ELLIOT	1	D. E. SHAW &	LIMITED PARTNER	12/1992	D	Υ	N	1557735	

SECTION 4.C. Control Persons

C. Does any *person* not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, *control* your management or policies?

Yes No

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

A. Your full legal name:

D. E. SHAW & CO. (ASIA PACIFIC) LIMITED

B.	Name	under which you primar	rily conduct your advisory business, i	if different from Section 1.A. ab	pove or Item 1.A. of the <i>filing a</i>	dviser's Form ADV Part 1A.					
C.	List ar	List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.									
				No Information Fil	led						
	You de	o not have to include the	names or jurisdictions of the filing ad	dviser or other relying adviser(s)	in response to this Section 1.C.						
D.	If you numbe	er:	had, a number ("CRD Number") ass	signed by the FINRA's CRD syste	em or by the IARD system (oth	er than the filing adviser's CRD number), your CR					
	_,,,			No Information Fil	led						
	If you	do not have a CRD numb	ber, skip this Section 1.D. Do not prov	vide the CRD number of one of yo	our officers, employees, or affilia	ates (including the filing adviser).					
E.	Princip	oal Office and Place of Bu	siness								
	(1)	Address (do not use a	P.O. Box):								
		Same as the filling a	dviser.								
		Number and Street 1: 19TH FLOOR, YORK HO City: HONG KONG	OUSE, THE LANDMARK	State:	Number and Street 2: 15 QUEEN'S ROAD CEN Country: Hong Kong	NTRAL ZIP+4/Postal Code:					
			vate residence, check this box:		Hong Kong						
		ii tiiis addi ess is a priv	vate residence, check this box.								
	(2)	Days of week that you Monday - Friday C	normally conduct business at your Other:	principal office and place of busi	iness:						
		Normal business hours 9 AM - 5 PM	s at this location:								
	(3)	Telephone number at 1852-3521-2500	this location:								
	(4)	Facsimile number at th 852-3521-2600	nis location, if any:								
F.	Mailin	g address, if different fro	om your <i>principal office and place of b</i>	business address:							
	□ Sa	me as the <i>filing adviser</i> .									
	Numl	per and Street 1:		Number and Street 2	<u>:</u>						
	City:		State:	Country:	ZIP+4/Postal Code	e:					
	If this	s address is a private re	esidence, check this box:								
G.		de your <i>Legal Entity Iden</i> 001KAFQ7KFD49545	tifier if you have one:								
	A lega	ol entity identifier is a unio	que number that companies use to i	identify each other in the financ	cial marketplace. You may not	have a legal entity identifier.					
Н.	If you	have Central Index Key	numbers assigned by the SEC ("CII	K Numbers"), all of your CIK nu No Information Fil							
SEC.	TION	SEC Dogistration									

Responses to this Section help us (and you) determine whether you are eligible to register with the SEC.

	ow. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items.
You	(the relying adviser):
1	(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 register 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
V	(4) have your principal office and place of business outside the United States;
V	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, a your <i>principal office and place of business</i> is the same as the registered adviser;
	(6) 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, you must make both of the representations below:
	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 regist with the SEC within 120 days after the date my registration with the SEC becomes effective.
	By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120t day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
	(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
	If this is your initial filing as a relying adviser, 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.
	The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, 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.
	(8) have received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
	Application Number: 803- Date of <i>Order</i> :
	(9) are no longer eligible to remain registered with the SEC.
TION	I 3 Form of Organization
	v are you organized?
0	Corporation
0	Sole Proprietorship
0	Limited Liability Partnership (LLP)
0	Partnership
0	Limited Liability Company (LLC)
0	Limited Partnership (LP) Other (are sife) - PRIVATE COMPANY LIMITED BY CHARES
⊙	Other (specify): PRIVATE COMPANY LIMITED BY SHARES
	what month does your fiscal year end each year? CEMBER
	ler the laws of what state or country are you organized? ate Country
	Hong Kong

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed.

A. To be a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8),

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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 Section 4.A., 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.
- (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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No.
Middle Name)			MM/YYYY				or Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	03/2007	E	Υ	N	108679
FUNG, ERICA, WAI YING	I	CHIEF LEGAL &	10/2016	NA	N	N	4431132
		COMPLIANCE OFFICER					
PATRIC, KEVIN, LAWRENCE	1	DIRECTOR	12/2017	NA	Υ	N	4700838
THOMAS, NATHAN, CLARK	1	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
		OFFICER					
ZABACK, CHRISTOPHER, MARTIN	1	DIRECTOR	06/2013	NA	N	N	4048333

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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. Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.
- Date Status FULL LEGAL NAME (Individuals: DE/FE/I Entity in Which Status Ownership Control PR CRD No. If None: S.S. No. and

Last Name, First Name, Middle Name)		Interest is Owned		Acquired MM/YYYY	Code	Person		Date of Birth, IRS Tax No. or Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Υ	N	1557735

SECTION 4.C. Control Persons

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

 \circ

If yes, you must complete the information below for each control person not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly controls your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

Your full legal name:

D. E. SHAW ADVISER II, L.L.C.

- Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.
- C. List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.

No Information Filed

You do not have to include the names or jurisdictions of the filing adviser or other relying adviser(s) in response to this Section 1.C.

If you currently have, or ever had, a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system (other than the filing adviser's CRD number), your CRD number:

294586

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

- E. Principal Office and Place of Business
 - Address (do not use a P.O. Box):

✓ Same as the filing adviser.

Number and Street 1: 1166 AVENUE OF THE AMERICAS Number and Street 2: NINTH FLOOR

City: State: Country: **NEW YORK** New York

ZIP+4/Postal Code: 10036

United States

		If this address is a private of the second o	ivate residence, check this box: \square		
	(2)	Days of week that you Monday - Friday	u normally conduct business at your <i>princip</i> Other:	pal office and place of business:	
		Normal business hours 9 AM - 5 PM	rs at this location:		
	(3)	Telephone number at 212-478-0000	this location:		
	(4)	Facsimile number at the 212-478-0100	his location, if any:		
F.	Mailin	g address, if different fr	rom your <i>principal office and place of busines</i>	ss address:	
	□ Sa	me as the filing adviser.	-		
	Numl	per and Street 1:		Number and Street 2:	
	City:	oci ana street i.	State:	Country:	ZIP+4/Postal Code:
	-				
	If this	s address is a private re	esidence, check this box: \square		
G.		le your <i>Legal Entity Iden</i> 003P6IU5NSQZB433	ntifier if you have one:		
	A lega	<i>l entity identifier</i> is a uni	ique number that companies use to identify	y each other in the financial mark	ketplace. You may not have a legal entity identifier.
Н.	If you	have Central Index Key	ey numbers assigned by the SEC ("CIK Num	bers"), all of your CIK numbers:	
	CIKN	lumber			
	1569	653			
		SEC Registration			
		<u> </u>	s (and you) determine whether you are elig		
Α.	below	. Part 1A Instruction 2 p	must be independently eligible to register (o provides information to help you determine		C. You must check at least one of the Sections 2.A.(1) through 2.A.(8), respond to each of these items.
		he relying adviser):			
		l) are a large advisory			
			ssets under management of \$100 million (in		
		(b) has regulatory as with the SEC;	ssets under management of \$90 million (in	U.S. dollars) or more at the time	e of filing its most recent annual updating amendment and is registered
		2) are a mid-sized advi you are either:	visory firm that has regulatory assets unde	er management of \$25 million (in	U.S. dollars) or more but less than \$100 million (in U.S. dollars) and
		(a) not required to b	be registered as an adviser with the state s	securities authority of the state w	here you maintain your principal office and place of business; or
		(b) not subject to ex	xamination by the state securities authority	of the state where you maintain	your principal office and place of business;
		Click HERE for a l	list of states in which an investment adviser,	if registered, would not be subjec	t to examination by the state securities authority.
	(:	B) Reserved			
	<u> </u>	1) have your <i>principal o</i> i	office and place of business outside the Unite	ed States;	
	!		er under rule 203A-2(b) that controls, is cor and place of business is the same as the reg		ontrol with, an investment adviser that is registered with the SEC, and
			ng on rule 203A-2(c) because you expect t		n within 120 days;
			x, you must make both of the representation		
		☐ I am not register	red or required to be registered with the S	EC or a state securities authority	v and I have a reasonable expectation that I will be eligible to register
		☐ By submitting this		ndertakes to file an amendment t	o this <i>umbrella registration</i> to remove this Schedule R if, on the 120th e prohibited by Section 203A(a) of the Advisers Act from registering
	<u> </u>		dviser that is required to register in 15 or n	nore states and is relying on rule	203A-2(d);

		If this is your initial filing as a relying adviser, 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.
		The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, 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.
		(8) have received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		Application Number: 803- Date of Order:
		(9) are no longer eligible to remain registered with the SEC.
ΕC	TION	3 Form of Organization
١.		are you organized?
		Corporation
		Sole Proprietorship
		Limited Liability Partnership (LLP)
	~	Partnership (1.10)
	~	Limited Liability Company (LLC)
	~	Limited Partnership (LP) Other (appeils):
	0	Other (specify):
3.		hat month does your fiscal year end each year? EMBER
) .	Unde	er the laws of what state or country are you organized?
	Stat	
	Dela	aware United States
	If you	u are a partnership, provide the name of the state or country under whose laws your partnership was formed.
		4.A. Direct Owners and Executive Officers
		ection 4, we ask you to identify each other <i>person</i> that, directly or indirectly, <i>controls</i> you.
		on 4.A. asks for information about your direct owners and executive officers. t Owners and Executive Officers. List below the names of:
-,		ach Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, director and any other individuals with similar status or functions;
	(a	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 company subject to Section 12 or 15(d) of the Exchange Act);
	se sp	irect owners include any <i>person</i> 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 ecurities. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, pouse, 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
		equire, within 60 days, through the exercise of any option, warrant, or right to purchase the security. you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or
	m	ore of your capital;
	yo	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 our capital, the trust and each trustee; and
	an	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.
		ou have any indirect owners to be reported on Section 4.B. below?
4)		e 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 tive officer is an individual.

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.

(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

(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

(c) Complete each column.

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%

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	07/2012	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	07/2012	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)		Entity in Which Interest is Owned	Status	Date Status Acquired MM/YYYY	Ownership Code	Person	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Y N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Y N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Y N	1557735

SECTION 4.C. Control Persons

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

_

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

Res	ponses	to this Section tell us who you (the re	elying adviser) are, where	you are doing busin	ess, and how we c	an contact you.	
Α.		ull legal name: SHAW ADVISER, L.L.C.					
B.	Name	under which you primarily conduct you	ır advisory business, if dif	fferent from Section	1.A. above or Item	1.A. of the filing adviser's Form ADV Part 1A.	
C.	List a	ny other business names and the juris	dictions in which you use	them. Complete this	s question for each	other business name.	
				No Informa	tion Filed		
	You de	o not have to include the names or juris	dictions of the filing advise	er or other relying adv	iser(s) in response	to this Section 1.C.	
D.	If you numbe	er:	(" <i>CRD</i> Number") assigne	ed by the <i>FINRA's CRI</i>	D system or by the	IARD system (other than the filing adviser's CRD number), you	ur <i>CRD</i>
				No Informa	tion Filed		
	If you	do not have a CRD number, skip this Se	ction 1.D. Do not provide	the CRD number of or	ne of your officers, e	employees, or affiliates (including the filing adviser).	
Ε.	Princip	oal Office and Place of Business					
	(1)	Address (do not use a P.O. Box):					
		☑ Same as the <i>filing adviser</i> .					
		Number and Street 1:			Number and Street	t 2:	
		1166 AVENUE OF THE AMERICAS City:	State:		NINTH FLOOR Country:	ZIP+4/Postal Code:	
		NEW YORK	New York		United States	10036	
		If this address is a private residence,	check this box: \square				
	(2)	Days of week that you normally cond Monday - Friday Other:	uct business at your <i>prin</i> d	cipal office and place	of business:		
		Normal business hours at this location 9 AM - 5 PM	n:				
	(3)	Telephone number at this location: 212-478-0000					
	(4)	Facsimile number at this location, if a 212-478-0100	ny:				
F.	Mailin	g address, if different from your <i>princip</i>	al office and place of busin	ness address:			
	□ Sa	me as the <i>filing adviser</i> .					
		per and Street 1:		Number and S		71D . 4/Destal Code.	
	City:	State: s address is a private residence, check	this box: \square	Country:	•	ZIP+4/Postal Code:	
G.	Provid	e your <i>Legal Entity Identifier</i> if you hav					
		OCK4WGQJAWVBD19 I entity identifier is a unique number th	at companies use to ident	tify each other in the	e financial marketp	lace. You may not have a <i>legal entity identifier</i> .	
Н.	If you	have Central Index Key numbers assi	·	J	·		
		lumber					
	1599	347					

		I 2 SEC Registration
	•	es to this Section help us (and you) determine whether you are eligible to register with the SEC.
Α.	belo	be a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8), bw. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. (the relying 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
		(4) have your principal office and place of business outside the United States;
	☑	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, and your <i>principal office and place of business</i> is the same as the registered adviser;
		(6) 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, you must make both of the representations below:
		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.
		By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
		(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
		If this is your initial filing as a relying adviser, 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.
		The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, 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.
		(8) have received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		Application Number: 803- Date of <i>Order</i> :
		(9) are no longer eligible to remain registered with the SEC.
SEC		3 Form of Organization
Α.		are you organized?
	~	Corporation Solo Proprietorship
	~	Sole Proprietorship Limited Liability Partnership (LLP)
	~	Limited Liability Partnership (LLP)
		Partnership Limited Liability Company (LLC)
		Limited Liability Company (LLC) Limited Partnership (LP)
		Other (specify):
	0	other (specify).
B.		what month does your fiscal year end each year? EMBER

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.

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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 Section 4.A., 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 Section 4.B. below? \bullet Yes \bullet 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	06/2011	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and

before you submit your filing.								
FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned	Status	Date Status Acquired MM/YYYY		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Y	N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735

SECTION	4.C.	Control	Persons
00011014	T. O.	00111101	1 01 30113

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

0 0

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

- A. Your full legal name:
 - D. E. SHAW COMPOSITE ADVISER, L.L.C.
- B. Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.
- C. List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.

No Information Filed

You do not have to include the names or jurisdictions of the filing adviser or other relying adviser(s) in response to this Section 1.C.

State:

D. If you currently have, or ever had, a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system (other than the filing adviser's CRD number), your CRD number:

294595

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

- E. Principal Office and Place of Business
 - (1) Address (do not use a P.O. Box):

☑ Same as the *filing adviser*.

Number and Street 1: 1166 AVENUE OF THE AMERICAS Number and Street 2:

NINTH FLOOR Country:

ZIP+4/Postal Code:

		NEW YORK	New York	United States	10036	
		If this address is a priva	ate residence, check this box: \Box			
	(2)	Days of week that you Monday - Friday O	normally conduct business at your <i>princ</i> Other:	sipal office and place of business:		
		Normal business hours 9AM - 5 PM	at this location:			
	(3)	Telephone number at the 212-478-0000	his location:			
	(4)	Facsimile number at this 212-478-0100	s location, if any:			
F.	Mailinç	g address, if different fro	m your <i>principal office and place of busine</i>	ess address:		
	□ Sa	me as the <i>filing adviser</i> .				
	Numh	er and Street 1:		Number and Street 2:		
	City:		State:	Country:	ZIP+4/Postal Code:	
	If this	address is a private res	sidence, check this box:			
G.		e your <i>Legal Entity Ident</i> 0Z98P478RESMH57	<i>ifier</i> if you have one:			
	A lega	<i>entity identifier</i> is a uniq	ue number that companies use to ident	ify each other in the financial market	place. You may not have a legal entity ide	entifier.
Н.	If you	have Central Index Key	numbers assigned by the SEC ("CIK Nu	mbers"), all of your CIK numbers: No Information Filed		
		SEC Registration	'and vary datamaina whathan you are al	igible to register with the CCC		
			(and you) determine whether you are el		You must check at least one of the Secti	ons 2 A (1) through 2 A (8)
A.	below		rovides information to help you determi	•		ons 2.A.(1) through 2.A.(8),
) are a large advisory t	firm that aither			
		-	sets under management of \$100 million	(in I.I.S. dollars) or more: or		
			-		f filing its most recent <i>annual updating am</i>	pandmant and is registered
	_	with the SEC;	•			-
	(2	e) are a mid-sized advis you are either:	sory firm that has regulatory assets un	der management of \$25 million (in U	.S. dollars) or more but less than \$100 mi	illion (in U.S. dollars) and
		(a) not required to be	registered as an adviser with the state	e securities authority of the state whe	re you maintain your <i>principal office and p</i>	place of business; or
		(b) not subject to exa	mination by the state securities authorit	y of the state where you maintain yo	our principal office and place of business;	
		Click HERE for a lis	st of states in which an investment advise	r, if registered, would not be subject t	o examination by the state securities autho	ority.
	(3	Reserved				
	<u> </u>) have your <i>principal off</i>	ice and place of business outside the Un	ited States;		
	v (5		under rule 203A-2(b) that controls, is a diplace of business is the same as the re		rol with, an investment adviser that is re	gistered with the SEC, and
	<u> </u>	o) are an adviser relying	g on rule 203A-2(c) because you expect	to be eligible for SEC registration	within 120 days;	
		If you check this box,	you must make both of the representati	tions below:		
			ed or required to be registered with the in 120 days after the date my registrati		nd I have a reasonable expectation that	I will be eligible to register
		☐ By submitting this	3 8			
		with the SEC.	<u> </u>		this <i>umbrella registration</i> to remove this Sprohibited by Section 203A(a) of the Advis	

	If this is your initial filing as a relying adviser, 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 adviser with the <i>state securities authorities</i> in those states.	to register as an investment
	The <i>filing adviser</i> undertakes to file an amendment to this <i>umbrella registration</i> to remove this Schedule R if, at the time of the <i>ar</i> be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> of those	, 3
	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 concludes of at least 15 states to register as an investment adviser with the state securities authorities in those states.	uded that I am required by the
	[3] So have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC. If you check this box, provide the	ne following information:
	Application Number: 803- Date of <i>Order</i> :	
	(9) are no longer eligible to remain registered with the SEC.	
SEC	ECTION 3 Form of Organization	
Α.	. How are you organized?	
	C Corporation	
	C Sole Proprietorship	
	C Limited Liability Partnership (LLP)	
	Partnership	
	Limited Liability Company (LLC)	
	C Limited Partnership (LP)	
	Other (specify):	
B.	In what month does your fiscal year end each year? DECEMBER	
C.	. Under the laws of what state or country are you organized?	
σ.	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.	
SEC	ECTION 4.A. Direct Owners and Executive Officers	
In	this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.	
	1) Section 4.A. asks for information about your direct owners and executive officers.	
(2)	2) Direct Owners and Executive Officers. List below the names of: (a) each Chief Evecutive Officer. Chief Financial Officer. Chief Operations Officer. Chief Legal Officer, director and any other individuals with all	millar atatus ar functions.
	(a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, director and any other individuals with single (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 your voting securities.	
	(a company subject to Section 12 or 15(d) of the Exchange Act);	
	Direct owners include any <i>person</i> that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or securities. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, page 1.	•
	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; o	
	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 diss more of your capital;	solution, or have contributed, 5% or
	(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, your capital, the trust and each trustee; and	or has contributed, 5% or more of
	(e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have cont and (ii) if managed by elected managers, all elected managers.	ributed, 5% or more of your capital,
(3)	B) Do you have any indirect owners to be reported on Section 4.B. below?	
(4)	1) 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 executive officer is an individual.	country, or "I" if the owner or
(5)	5) Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, share shareholders or members, the class of securities owned (if more than one is issued).	eholder, or member; and for
(6)	6) Ownership codes are: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%	
(7)	A - 5% but less than 10% C - 25% but less than 50% E - 75% or more 7) (a) In the <i>Control Person</i> column, enter "Yes" if the <i>person</i> has <i>control</i> 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	06/2010	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle	DE/FE/I	Entity in Which Interest is	Status	Date Status Acquired	Ownership Code		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY		7 0.00.1	Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Y N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Y N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Y N	1557735

SECTION 4.C. Control Persons

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

_	ര
	100

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

Α.	Your full legal name: D. E. SHAW MULTI-ASSET ADVISER, L.L.C.								
B.	Name	Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.							
C.	List ar	ny other business name	s and the jurisd	ictions in which you us	se them. Complete th	nis question for ea	ach other business r	name.	
					No Informa	ation Filed			
	You do	o not have to include the	names or jurisd	ictions of the filing advis	ser or other relying ad	lviser(s) in respon	se to this Section 1.0	C.	
D.	If you numbe	er:	had, a number	(" <i>CRD</i> Number") assigr	ned by the FINRA's CI	RD system or by t	the IARD system (ot	ther than the filing adviser's	CRD number), your CRD
	2940	00			No Informa	ation Filed			
	If you	do not have a CRD numb	ber, skip this Sed	tion 1.D. Do not provide	e the CRD number of c	one of your officer	rs, employees, or affil	liates (including the filing adv	riser).
E.	Princip	oal Office and Place of Bu	siness						
	(1)	Address (do not use a	P.O. Box):						
		☑ Same as the filing a	dviser.						
		Number and Street 1: 1166 AVENUE OF THE				Number and Str NINTH FLOOR	eet 2:		
		City: NEW YORK	AMERICAS	State: New York		Country: United States		ZIP+4/Postal Code: 10036	
		If this address is a priv	vate residence.			Officed States		10030	
		'	·						
	(2)	Days of week that you Monday - Friday	•	ict business at your <i>pri</i>	incipal office and place	e of business:			
		Normal business hours 9 AM - 5 PM	s at this locatior	:					
	(3)	Telephone number at 1212-478-0000	this location:						
	(4)	Facsimile number at th 212-478-0100	nis location, if an	y:					
F.	Mailin	g address, if different fro	om your <i>principa</i>	I office and place of bus	siness address:				
	☐ Sa	me as the filing adviser.							
		per and Street 1:			Number and S	Street 2:			
	City:		State:		Country:		ZIP+4/Postal Cod	le:	
	If this	s address is a private re	esidence, check	this box:					
G.		de your <i>Legal Entity Iden</i> 0017NC6N1PVP5P55	<i>tifier</i> if you have	one:					
	A lega	l entity identifier is a unio	que number tha	t companies use to ide	entify each other in th	ne financial marke	etplace. You may no	nt have a <i>legal entity identifie</i>	er.
Н.	If you	have Central Index Key	/ numbers assig	ned by the SEC ("CIK N	Numbers"), all of you No Informa				

Responses to this Section tell us who you (the *relying adviser*) are, where you are doing business, and how we can contact you.

Res	onse	es to this Section help us (and you) determine whether you are eligible to register with the SEC.
Α.	belo	be a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8), bw. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. (the relying 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
		(4) have your principal office and place of business outside the United States;
	V	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, and your <i>principal office and place of business</i> is the same as the registered adviser;
		(6) 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, you must make both of the representations below:
		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.
		By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
		(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
		If this is your initial filing as a relying adviser, 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.
		The <i>filing adviser</i> undertakes to file an amendment to this <i>umbrella registration</i> to remove this Schedule R if, at the time of the <i>annual updating amendment</i> , I would be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> 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.
		(8) have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		Application Number: 803- Date of <i>Order</i> :
		(9) are no longer eligible to remain registered with the SEC.
SEC	ΓΙΟΝ	I 3 Form of Organization
Α.	How	are you organized?
	\circ	Corporation
	\circ	Sole Proprietorship
	\circ	Limited Liability Partnership (LLP)
	\circ	Partnership
	\odot	Limited Liability Company (LLC)
	\circ	Limited Partnership (LP)
	0	Other (specify):
B.		what month does your fiscal year end each year? EMBER
C.	Und	er the laws of what state or country are you organized?

SECTION 2 SEC Registration

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.

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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 Section 4.A., 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 Section 4.B. below? \odot Yes \odot 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

- 111								
	FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
	(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
	Middle Name)			MM/YYYY				Employer I D No.
	D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	02/2009	E	Υ	N	108679
	THOMAS, NATHAN, CLARK	1	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
			OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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. Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle		Entity in Which Interest is	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY	Code	r ei soii		Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
SHAW, DAVID, ELLIOT		D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Υ	N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735

D. E. SHAW & CO., INC.		DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Y	N		
SHAW, DAVID, ELLIOT		I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Y	N	1557735	
SHAW, DAVID, ELLIOT		I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Y	N	1557735	
SECTION 4.C. Control I	Persons									
- ,				Section 4.B. directly or indirectly, contro		·		octly (or indirectly controls you	Yes No
management or po	•	ation	below for each co	introl person flot hamed in Section 1.A.,	Section 4.A., C	JECTION 4.1	o. mat un	ectry (indirectly controls you	
				No Information Filed						
SECTION 4.D. Control I	Persons - Publi	ic Repor	ting Companies							
				No Information Filed						
SECTION 1 Identifying	Information									
Responses to this Section	on tell us who y	ou (the	relying adviser) ar	re, where you are doing business, and	how we can co	ntact you.				
A. Your full legal name D. E. SHAW & CO. (
B. Name under which	you primarily co	onduct y	our advisory busir	ness, if different from Section 1.A. abov	re or Item 1.A.	of the <i>filing</i> a	adviser's F	orm A	DV Part 1A.	
C. List any other busin	ness names and	d the jur	isdictions in which	n you use them. Complete this question	n for each othe	r business n	ame.			
				No Information Filed						
You do not have to	include the nam	es or jur	isdictions of the fil	ing adviser or other relying adviser(s) in	response to this	s Section 1.C				
D. If you currently have number: 294624	ve, or ever had,	a numb	er (" <i>CRD</i> Number'	") assigned by the FINRA's CRD system	or by the IARD	system (ot	ner than t	he <i>filii</i>	ng adviser's CRD number), your <i>CRD</i>

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

- E. Principal Office and Place of Business
 - Address (do not use a P.O. Box): (1)

☐ Same as the *filing adviser*.

Number and Street 1:

55 BAKER STREET

LONDON

City: State: Number and Street 2: SEVENTH FLOOR

Country:

United Kingdom

ZIP+4/Postal Code:

W1U 8EW

		- 11	this address is a priv	vate residence, check this	DOX:		
	(2)		ays of week that you Monday - Friday 👩 🤇	ı normally conduct busines Other:	ss at your <i>principal office</i>	and place of business:	
			ormal business hours AM - 5 PM	s at this location:			
	(3)		elephone number at t 1-20-7409-4300	this location:			
	(4)		csimile number at th	nis location, if any:			
F.	Mail	ng ad	ddress, if different fro	om your <i>principal office and</i>	d place of business addre	ss:	
		Same	as the <i>filing adviser</i> .				
	Nur	nber	and Street 1:		Num	nber and Street 2:	
	City			State:		ntry:	ZIP+4/Postal Code:
	lf t	nis ac	ddress is a private re	esidence, check this box: [
G.		-	our <i>Legal Entity Iden</i> 4RWHVOOSD9T96	ntifier if you have one:			
	A leg	gal en	atity identifier is a unic	que number that companie	es use to identify each c	other in the financial mark	ketplace. You may not have a legal entity identifier.
Н.	If yo	ou hav	ve Central Index Key	y numbers assigned by the		all of your CIK numbers: lo Information Filed	
					ין	to information Filed	
SEC	TION	2 SE	C Registration				
Res	ponse	es to	this Section help us	(and you) determine whe	ther you are eligible to	register with the SEC.	
Α.				, , , , ,	•	•	C. You must check at least one of the Sections 2.A.(1) through 2.A.(8), respond to each of these items.
	You	(the	relying adviser):				
		(1) a	are a large advisory	firm that either:			
		(a) has regulatory as	ssets under management o	of \$100 million (in U.S. o	lollars) or more; or	
		(b) has regulatory as: with the SEC;	ssets under management o	of \$90 million (in U.S. do	llars) or more at the time	e of filing its most recent annual updating amendment and is registered
			are a mid-sized advi vou are either:	isory firm that has regula	tory assets under mana	gement of \$25 million (in	U.S. dollars) or more but less than \$100 million (in U.S. dollars) and
		(a) not required to be	e registered as an adviser	r with the state securitie	es authority of the state w	here you maintain your principal office and place of business; or
		(b) not subject to exa	amination by the state sec	curities authority of the s	state where you maintain	your principal office and place of business;
			Click HERE for a li	ist of states in which an inv	vestment adviser, if regist	tered, would not be subject	t to examination by the state securities authority.
		(3) F	Reserved				
	V	(4) h	nave your <i>principal of</i>	ffice and place of business c	outside the United State	es;	
	V			r under rule 203A-2(b) than the state of business is the			ontrol with, an investment adviser that is registered with the SEC, and
		(6) a	are an adviser relyin	ng on rule 203A-2(c) becau	use you expect to be eli	gible for SEC registration	n within 120 days;
		l	f you check this box,	, you must make both of t	the representations belo	w:	
			_	red or required to be regismin 120 days after the date		-	and I have a reasonable expectation that I will be eligible to register
							o this umbrella registration to remove this Schedule R if, on the 120th e prohibited by Section 203A(a) of the Advisers Act from registering
		(7) a	are a multi-state adv	viser that is required to re	egister in 15 or more sta	tes and is relying on rule	203A-2(d)·
			f this is your initial fi				2007. 2(4)

		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.
		The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, 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.
	(8) ha	ve received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		oplication Number: 803- Date of <i>Order</i> :
	□ (9) ar	e no longer eligible to remain registered with the SEC.
SEC	TION 3 For	m of Organization
A.	How are y	ou organized?
	O Corpo	ration
	O Sole F	Proprietorship
	_ Limite	d Liability Partnership (LLP)
	O Partne	ership
	~	d Liability Company (LLC)
	~	d Partnership (LP)
	O Other	
B.	In what mo	onth does your fiscal year end each year?
C.	Under the	laws of what state or country are you organized?
	State Co.	untry
	Uni	ted Kingdom
	If you are a	a partnership, provide the name of the state or country under whose laws your partnership was formed.
SEC	CTION 4.A. I	Direct Owners and Executive Officers
In ·	this Section	4, we ask you to identify each other <i>person</i> that, directly or indirectly, <i>controls</i> you.
(1)	Section 4 A	asks for information about your direct owners and executive officers.
		ers and Executive Officers. List below the names of:
	(a) each Ch	ief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, director and any other individuals with similar status or functions;
	-	re 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 subject to Section 12 or 15(d) of the Exchange Act);
	securitie spouse,	wners include any <i>person</i> 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 es. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, 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 within 60 days, through the exercise of any option, warrant, or right to purchase the security.
	(a) if you a	re organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed. 50% or

- (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.
- (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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and

before you submit your filing. DF/FF/I Title or Status FILL LEGAL NAME Ownership Control | PR CRD No

FULL LEGAL NAIVIE	DE/FE/I	Title or Status	Date Title of	Ownership	Control	PK	CRD NO.
(Individuals: Last Name, First			Status Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS
Name, Middle Name)			MM/YYYY				Tax No. or Employer ID No.
D. E. SHAW & CO. (U.K.), LTD.	FE	MEMBER	08/2012	E	Υ	N	
Hughes, Bethan, Mari	I	MANAGEMENT COMMITTEE MEMBER	01/2024	NA	N	N	7884220
KRIST, KEVIN, ROBERT	I	CHIEF LEGAL & COMPLIANCE OFFICER,	04/2013	NA	N	N	6926215
		MANAGEMENT COMMITTEE MEMBER					
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE OFFICER	04/2013	NA	N	N	4521563
Ward, Eoin, Robert	1	MANAGEMENT COMMITTEE MEMBER	01/2024	NA	N	N	7884219
ZABACK, CHRISTOPHER, MARTIN	I	MANAGEMENT COMMITTEE MEMBER	04/2013	NA	N	N	4048333

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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
- (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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle	DE/FE/I	Entity in Which Interest is	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY				Employer I D No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
D. E. SHAW & CO., L.P.	DE	D. E. SHAW & CO. (U.K.), LTD.	MANAGING MEMBER	10/2004	E	Υ	N	108679
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Υ	N	1557735

SECTION 4.C. Control Persons

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

0 - ⊙

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

EC	TION	1 Identifying Information					
Res	ponses	s to this Section tell us who	you (the <i>relying adviser</i>) ar	re, where you are doing bu	usiness, and how we can co	ontact you.	
Α.		full legal name: SHAW HELIANT ADVISER, L.	.L.C.				
B.	Name	e under which you primarily	conduct your advisory busin	ness, if different from Secti	on 1.A. above or Item 1.A.	of the filing adviser's Form ADV Part 1A.	
C.	List a	any other business names a	nd the jurisdictions in whicl	h you use them. Complete	this question for each other	er business name.	
				No Infor	mation Filed		
	You a	do not have to include the na	mes or jurisdictions of the fil	ling adviser or other relying	adviser(s) in response to th	's Section 1.C.	
D.	If you numb 2952	per:	d, a number (" <i>CRD</i> Number	") assigned by the <i>FINRA's</i>	CRD system or by the IARI	o system (other than the filing adviser's CRD number), y	our <i>CRD</i>
	2732	202		No Infor	mation Filed		
	If you	u do not have a CRD number,	, skip this Section 1.D. Do no	ot provide the CRD number (of one of your officers, emplo	oyees, or affiliates (including the filing adviser).	
E.	Princi	ipal Office and Place of Busine	ess				
	(1)	Address (do not use a P.C	O. Box):				
		☑ Same as the filing advis	ser.				
		Number and Street 1: 1166 AVENUE OF THE AMI	EDICAS		Number and Street 2: NINTH FLOOR		
		City:	State:		Country:	ZIP+4/Postal Code:	
		NEW YORK	New York		United States	10036	
		If this address is a private	e residence, check this box:	: 🗖			
	(2)	Days of week that you no Monday - Friday Oth	ormally conduct business at ner:	your principal office and pla	ace of business:		
		Normal business hours at 9 AM - 5 PM	t this location:				
	(3)	Telephone number at this 212-478-0000	s location:				
	(4)	Facsimile number at this leads 1212-478-0100	ocation, if any:				
F.	Mailir	ng address, if different from	your principal office and place	ce of business address:			
	☐ Sa	ame as the filing adviser.					
	Num	nber and Street 1:		Number an	d Street 2:		
	City:		State:	Country:	ZIP+	4/Postal Code:	
	If th	is address is a private resid	ence, check this box:				
G.		de your <i>Legal Entity Identifie</i> 00IJ4CBL16FZYU93	er if you have one:				

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.

	_	u have Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:
		Number
1	151	8837
CTI	ON	2 SEC Registration
		s to this Section help us (and you) determine whether you are eligible to register with the SEC.
•		e a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8)
b	elo	w. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. (the <i>relying adviser</i>):
Г		(1) are a large advisory firm that either:
Ī		
		(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;
Г		(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
Г		(4) have your <i>principal office and place of business</i> outside the United States;
S		(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, an
_	_	your principal office and place of business is the same as the registered adviser;
L		(6) 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, you must make both of the representations below:
		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.
		By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
Г		(7) are a main-state adviser that is required to register in 10 or more states and is retying on rule 2000-2(d),
		If this is your initial filing as a relying adviser, 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.
		The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, I wou 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.
Г		(8) have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
_		
L		(9) are no longer eligible to remain registered with the SEC.
TI	ON	3 Form of Organization
		are you organized?
		Corporation
	0	Sole Proprietorship
	0	Limited Liability Partnership (LLP)
		Partnership
		Limited Liability Company (LLC)
		Limited Partnership (LP)
		Other (specify):

- In what month does your fiscal year end each year? **DECEMBER**
- C. Under the laws of what state or country are you organized?

Country

Delaware United States

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed.

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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 Section 4.A., 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, all 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 Section 4.B. below? 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

- 111	<u> </u>							
	FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
	(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
	Middle Name)			MM/YYYY				Employer I D No.
	D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	11/2009	E	Υ	N	108679
	THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	06/2011	NA	N	N	4521563
			OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

- - (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.Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and

before you submit your filing.

FULL LEGAL NAM Last Name, First I			Entity in Which Interest is	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)			Owned		MM/YYYY				Employer ID No.
D. E. SHAW & CO.,	, INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
SHAW, DAVID, ELL	LIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735
SHAW, DAVID, ELL	LIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Υ	N	1557735

SEC	HC)N 4.	C. Co	ntro	DI PE	ersor	ıs

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

Yes No

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. *Control Persons* - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

A. Your full legal name:

D. E. SHAW ESC ADVISER, L.L.C.

- B. Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.
- C. List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.

No Information Filed

You do not have to include the names or jurisdictions of the filing adviser or other relying adviser(s) in response to this Section 1.C.

D. If you currently have, or ever had, a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system (other than the filing adviser's CRD number), your CRD number:

315169

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

- E. Principal Office and Place of Business
 - (1) Address (do not use a P.O. Box):

		☑ Same as the filing a	adviser.				
		Number and Street 1: 1166 AVENUE OF THE City: NEW YORK			Number and Street 2 NINTH FLOOR Country: United States	ZIP+4/Postal Code: 10036	
			vate residence, check this box:	ı	omica States	10000	
		ii this address is a pri	vate residence, check this box:				
	(2)	Days of week that you	u normally conduct business at yo Other:	ur <i>principal office and place</i>	e of business:		
		Normal business hour 9AM - 5PM	s at this location:				
	(3)	Telephone number at 212-478-0000	this location:				
	(4)	Facsimile number at the 212-478-0100	nis location, if any:				
F.	Maili	ng address, if different fr	rom your <i>principal office and place c</i>	of business address:			
	V S	Same as the <i>filing adviser</i> .					
	Nur	mber and Street 1:		Number and S	Street 2:		
	City		State:	Country:		P+4/Postal Code:	
	If th	nis address is a private re	esidence, check this box:				
G.	Prov	ide your <i>Legal Entity Ider</i>	ntifier if you have one:				
	A leg	gal entity identifier is a uni	ique number that companies use t	to identify each other in th	ne financial marketplac	ce. You may not have a <i>legal entity identifier</i> .	
H.	If yo	ou have Central Index Ke	y numbers assigned by the SEC ("	CIK Numbers"), all of you No Informa			
							_
		2 SEC Registration					
		·	(and you) determine whether you			u must shock at least one of the Sections 2 A (1) through 2 A (2)	
A.	belo		provides information to help you o			u must check at least one of the Sections 2.A.(1) through 2.A.(8), and to each of these items.	,
		(1) are a large advisory	/ firm that either:				
		(a) has regulatory as	ssets under management of \$100	million (in U.S. dollars) or	more; or		
		(b) has regulatory as with the SEC;	ssets under management of \$90 m	nillion (in U.S. dollars) or r	more at the time of filin	ng its most recent annual updating amendment and is registered	
			risory firm that has regulatory as:	sets under management c	of \$25 million (in U.S. o	dollars) or more but less than \$100 million (in U.S. dollars) and	
		(a) not required to b	pe registered as an adviser with the	ne <i>state securities authorit</i>	ty of the state where y	you maintain your <i>principal office and place of business</i> ; or	
		(b) not subject to ex	camination by the state securities of	authority of the state wher	re you maintain your <i>į</i>	principal office and place of business;	
		Click HERE for a	list of states in which an investmen	t adviser, if registered, wou	uld not be subject to ex	kamination by the state securities authority.	
		(3) Reserved					
		(4) have your principal o	office and place of business outside	the United States;			
	V	` '	er under rule 203A-2(b) that contra and place of business is the same as	· ·	nder common <i>control</i> v	with, an investment adviser that is registered with the SEC, and	
		(6) are an adviser relyir	ng on rule 203A-2(c) because you	expect to be eligible for	SEC registration with	nin 120 days;	
		If you check this box	x, you must make both of the repr	resentations below:			
		I am not register	red or required to be registered w	ith the SEC or a state sec	urities authority and I	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.

	By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this day after this application for umbrella registration with the SEC becomes effective, I would be proh with the SEC.	<u> </u>
	\Box (7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-	-2(d);
	If this is your initial filing as a relying adviser, you must make both of these representations:	
	I have reviewed the applicable state and federal laws and have concluded that I am required by adviser with the <i>state securities authorities</i> in those states.	the laws of 15 or more states to register as an investment
	The <i>filing adviser</i> undertakes to file an amendment to this <i>umbrella registration</i> to remove this Schebe required by the laws of fewer than 15 states to register as an investment adviser with the <i>sta</i>	·
	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 are laws of at least 15 states to register as an investment adviser with the state securities authorities.	
	\square (8) have received an SEC Order exempting you from the prohibition against registration with the SEC. If	you check this box, provide the following information:
	Application Number: 803- Date of <i>Order</i> :	
	\square (9) are no longer eligible to remain registered with the SEC.	
ECT	SECTION 3 Form of Organization	
	A. How are you organized?	
	Corporation	
	O Sole Proprietorship	
	C Limited Liability Partnership (LLP)	
	O Partnership	
	Limited Liability Company (LLC)	
	C Limited Partnership (LP)	
	Other (specify):	
	B. In what month does your fiscal year end each year? DECEMBER	
C.	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.	
ECT	ECTION 4.A. Direct Owners and Executive Officers	
n th	n this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.	
(1) 5	(1) Section 4.A. asks for information about your direct owners and executive officers.	
	(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, director and (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your content of the content of	ž
((a company subject to Section 12 or 15(d) of the Exchange Act);	voting securities, unless you are a public reporting company
	Direct owners include any <i>person</i> that owns, beneficially owns, has the right to vote, or has the power to se securities. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/her spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.	child, stepchild, grandchild, parent, stepparent, grandparent,
	(c) if you are organized as a partnership, <u>all</u> general partners and those limited and special partners that have 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 your capital, the trust and each trustee; and	t to receive upon dissolution, or has contributed, 5% or more of
	(e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive and (ii) if managed by elected managers, all elected managers.	upon dissolution, or have contributed, 5% or more of your capital,
(3) [(3) Do you have any indirect owners to be reported on Section 4.B. below?	
(4) I	(4) In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorpo	rated or domiciled in a foreign country, or "I" if the owner or

(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

(6) Ownership codes are: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%

shareholders or members, the class of securities owned (if more than one is issued).

executive officer is an individual.

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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	03/2021	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	03/2021	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned	Status	Date Status Acquired MM/YYYY	Ownership Code	Person	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Y N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	Е	Y N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Y N	1557735

SECTION 4.C. Control Persons

Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

Yes No

 \odot

 \circ

No	Information	Filed

		1 Identifying Information					
Res	ponses	s to this Section tell us who yo	ou (the <i>relying adviser</i>) are, whe	re you are doing business, and how w	we can contact you.		
Α.	Your full legal name: D. E. SHAW & CO. (SINGAPORE) PTE. LTD.						
B.	Name	e under which you primarily co	nduct your advisory business, if	different from Section 1.A. above or I	tem 1.A. of the filing adviser's Form ADV Part 1A.		
C.	List a	ny other business names and	the jurisdictions in which you u	se them. Complete this question for e	each other business name.		
				No Information Filed			
	You a	lo not have to include the name	es or jurisdictions of the filing adv	iser or other relying adviser(s) in respo	nse to this Section 1.C.		
D.	If you	_	a number (" <i>CRD</i> Number") assig	ned by the <i>FINRA's CRD</i> system or by	the IARD system (other than the filing adviser's CRD number), your Cr		
	3168	316		No Information Filed			
	If you	ı do not have a CRD number, sk	kip this Section 1.D. Do not provic	de the CRD number of one of your office	ers, employees, or affiliates (including the filing adviser).		
E.	Princi	pal Office and Place of Business					
	(1)	Address (do not use a P.O.	Box):				
		☐ Same as the filing adviser					
		Number and Street 1:		Number and Street 2:			
		1 RAFFLES QUAY City:	State:	#40-02, NORTH TOWER Country:	ZIP+4/Postal Code:		
		SINGAPORE	etate.	Singapore	048583		
		If this address is a private r	esidence, check this box: \Box				
	(2)	Days of week that you norm Monday - Friday Other		rincipal office and place of business:			
		Normal business hours at th 9 AM - 5 PM	nis location:				
	(3)	Telephone number at this lo	ocation:				
	(4)	Facsimile number at this loca +65 6983 5701	ation, if any:				
F.	Mailir	ng address, if different from yo	our principal office and place of bu	siness address:			
	☐ Sa	ame as the <i>filing adviser</i> .					
		ber and Street 1:		Number and Street 2:			
	City:	St	ate:	Country:	ZIP+4/Postal Code:		
	If th	is address is a private residen	ce, check this box: \square				
G.		de your <i>Legal Entity Identifier</i> i 00UTJS5JB85DAR61	f you have one:				

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.

יייידי	1.2 SEC Degistration
	es to this Section help us (and you) determine whether you are eligible to register with the SEC.
To belo	be a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.bw. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. (the relying 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 regist 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) a 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
V	(4) have your principal office and place of business outside the United States;
V	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC your <i>principal office and place of business</i> is the same as the registered adviser;
	(6) 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, you must make both of the representations below:
	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 regwith the SEC within 120 days after the date my registration with the SEC becomes effective.
	By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 12 day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registeric with the SEC.
	(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
	If this is your initial filing as a relying adviser, 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.
	The filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, at the time of the annual updating amendment, I was 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.
	(8) have received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
	Application Number: 803- Date of <i>Order</i> :
	(9) are no longer eligible to remain registered with the SEC.
)TI 01	
	I 3 Form of Organization vare you organized?
	Corporation
0	Sole Proprietorship
0	Limited Liability Partnership (LLP)
0	Partnership
0	Limited Liability Company (LLC)
	Limited Partnership (LP)

DECEMBER

C. Under the laws of what state or country are you organized?

State Country

Singapore

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed.

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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 Section 4.A., 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, all 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.
- (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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer I D No.
D. E. SHAW & CO., L.P.	DE	SOLE SHAREHOLDER	12/2020	E	Υ	N	108679
PANG, SIU TAUR	1	CHIEF EXECUTIVE	12/2020	NA	Υ	N	5011031
		OFFICER					
PATRIC, KEVIN, LAWRENCE	1	DIRECTOR	12/2020	NA	N	N	4700838
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	12/2020	NA	N	N	4521563
		OFFICER					
ZABACK, CHRISTOPHER, MARTIN	1	DIRECTOR	01/2021	NA	N	N	4048333

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle	DE/FE/I	Entity in Which Interest is	Status	Date Status Acquired		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY		. 0.00		Employer ID No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Υ	N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Υ	N	1557735
SHAW, DAVID, ELLIOT	1	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT, D. E. SHAW & CO., INC.	11/1992	E	Υ	N	1557735

75
-

Yes No

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

0 0

If yes, you must complete the information below for each *control person* not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly *controls* your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

A. Your full legal name:

D. E. SHAW ADVISER III, L.L.C.

B. Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.

C. List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.

No Information Filed

You do not have to include the names or jurisdictions of the filing adviser or other relying adviser(s) in response to this Section 1.C.

D. If you currently have, or ever had, a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system (other than the filing adviser's CRD number), your CRD number:

318551

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

E.	Princ	cipal Office and Place of Bus	siness			
	(1)	Address (do not use a l	P.O. Box):			
		☑ Same as the filing ac	dviser.			
		Number and Street 1:			Number and Stree	et 2:
		1166 AVENUE OF THE A	AMERICAS		NINTH FLOOR	
		City: NEW YORK	State: New Yo	ark	Country: United States	ZIP+4/Postal Code: 10036
					omica states	
		If this address is a priv	ate residence, check this bo	OX: L		
	(2)	Days of week that you	•	at your <i>principal office and p</i>	lace of business:	
		Normal business hours 9 AM - 5 PM				
	(3)	Telephone number at t 212-478-0000	his location:			
	(4)	Facsimile number at thi	s location, if any:			
		212-478-0100				
F.	Maili	ing address, if different fro	m your <i>principal office and p</i>	llace of business address:		
		Same as the <i>filing adviser</i> .				
	Nur	mber and Street 1:		Number a	nd Street 2:	
	City	/ :	State:	Country:		ZIP+4/Postal Code:
	If th	his address is a private res	sidence, check this box:			
G.	Prov	ride your <i>Legal Entity Ident</i>	tifier if you have one:			
	A 100			una ta idantifu anala athan ir	a tha financial manulatu	None Way may not have a local outity identifier
	A leg	<i>gai entity identifier</i> is a uniq	que number that companies	use to identify each other in	i the ilhancial markett	place. You may not have a legal entity identifier.
H.	If yo	ou have Central Index Key	numbers assigned by the S	EC ("CIK Numbers"), all of y	your CIK numbers: ormation Filed	
				No IIIIe	, mattern med	
SEC	TION	2 SEC Registration				
Res	ponse	es to this Section help us ((and you) determine whethe	er you are eligible to registe	er with the SEC.	
A.	belo	w. Part 1A Instruction 2 p				You must check at least one of the Sections 2.A.(1) through 2.A.(8), pond to each of these items.
		(the relying adviser):				
		(1) are a large advisory	firm that either:			
		(a) has regulatory ass	sets under management of \$	\$100 million (in U.S. dollars)	or more; or	
		(b) has regulatory ass with the SEC;	sets under management of \$	690 million (in U.S. dollars) (or more at the time of	filing its most recent annual updating amendment and is registered
		(2) are a mid-sized advis you are either:	sory firm that has regulator	ry assets under managemer	nt of \$25 million (in U.	S. dollars) or more but less than \$100 million (in U.S. dollars) and
		(a) not required to be	e registered as an adviser w	vith the state securities auth	ority of the state wher	e you maintain your principal office and place of business; or
		(b) not subject to exa	nmination by the state secur	rities authority of the state w	here you maintain yo	ur principal office and place of business;
		Click HERE for a lis	st of states in which an inves	tment adviser, if registered,	would not be subject to	examination by the state securities authority.
		(3) Reserved				
			fice and place of business out	side the United States:		
	~	(5) are a related adviser	under rule 203A-2(b) that			rol with, an investment adviser that is registered with the SEC, and
			·	e you expect to be eligible t		vithin 120 days;

	If you check this box, you must make both of the representations below:	
	I am not registered or required to be registered with the SEC or a state securities authority an with the SEC within 120 days after the date my registration with the SEC becomes effective.	d I have a reasonable expectation that I will be eligible to register
	By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to the day after this application for umbrella registration with the SEC becomes effective, I would be prowith the SEC.	
	\square (7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 200	3A-2(d);
	If this is your initial filing as a relying adviser, you must make both of these representations:	
	I have reviewed the applicable state and federal laws and have concluded that I am required by adviser with the <i>state securities authorities</i> in those states.	by the laws of 15 or more states to register as an investment
	The <i>filing adviser</i> undertakes to file an amendment to this <i>umbrella registration</i> to remove this So be required by the laws of fewer than 15 states to register as an investment adviser with the	, e
	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 laws of at least 15 states to register as an investment adviser with the state securities authority	
	\square (8) have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC.	If you check this box, provide the following information:
	Application Number: 803- Date of <i>Order</i> :	
	(9) are no longer eligible to remain registered with the SEC.	
EC ⁻	ECTION 3 Form of Organization	
۹.	A. How are you organized?	
	Corporation	
	Sole Proprietorship	
	C Limited Liability Partnership (LLP)	
	C Partnership	
	C Limited Partnership (LP)	
	Other (specify):	
3.	3. In what month does your fiscal year end each year? DECEMBER	
Э.	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 forme	∍d.
EC.	ECTION 4.A. Direct Owners and Executive Officers	
	n this Section 4, we ask you to identify each other <i>person</i> that, directly or indirectly, <i>controls</i> you.	
•	 Section 4.A. asks for information about your direct owners and executive officers. Direct Owners and Executive Officers. List below the names of: 	
•	(a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, 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 (a company subject to Section 12 or 15(d) of the Exchange Act); Direct owners include any <i>person</i> that owns, beneficially owns, has the right to vote, or has the power to securities. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/his spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, acquire, within 60 days, through the exercise of any option, warrant, or right to purpose the security.	o sell or direct the sale of, 5% or more of a class of your voting er child, stepchild, grandchild, parent, stepparent, grandparent,
	 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 ha more of your capital; 	ave the right to receive upon dissolution, or have contributed, 5% or
	(d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the ri your capital, the trust and each trustee; and	ght to receive upon dissolution, or has contributed, 5% or more of

(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.

and (ii) if managed by elected managers, all elected managers.

(3) Do you have any indirect owners to be reported on Section 4.B. below? \bullet Yes \bullet No

(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,

- (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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer I D No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	08/2021	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	08/2021	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing

before you subtriff your filling.								
FULL LEGAL NAME (Individuals: Last	DE/FE/I	Entity in Which	Status	Date Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of
Name, First Name, Middle Name)		Interest is Owned		Acquired MM/YYYY	Code	Person		Birth, IRS Tax No. or Employer ID No.
				IVIIVIZ Y Y Y Y				
D. E. SHAW & CO., INC.	DE	D. E. SHAW & CO., L.P.	GENERAL PARTNER	11/1992	F	Y	N	
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., L.P.	LIMITED PARTNER	12/1992	D	Y	N	1557735
SHAW, DAVID, ELLIOT	I	D. E. SHAW & CO., INC.	SOLE STOCKHOLDER, CHAIRMAN, AND PRESIDENT	11/1992	Е	Υ	N	1557735

SECTION 4.C. Control Persons

Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

Yes No \circ

(O)

If yes, you must complete the information below for each control person not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly controls your management or policies.

				No Information Filed			
SEC	TION 4	4.D. Control Persons - Public Report	ting Companies				
				No Information Filed			
		1 Identifying Information					
		s to this Section tell us who you (the	<i>relying adviser</i>) are, wher	e you are doing business, and	d how we can co	ontact you.	
Α.		full legal name: SHAW DIOPTER ADVISER, L.L.C.					
В.	Name	e under which you primarily conduct yo	our advisory business, if o	different from Section 1.A. abo	ve or Item 1.A.	of the filing adviser's Form ADV Part 1A.	
C.	List a	nny other business names and the juri	sdictions in which you us	se them. Complete this question	on for each othe	er business name.	
				No Information File	d		
	You d	do not have to include the names or juri	isdictions of the filing advis	ser or other relying adviser(s) ir	n response to thi	s Section 1.C.	
D.	numb	per:	er (" <i>CRD</i> Number") assigr	ned by the <i>FINRA's CRD</i> systen	n or by the IARE	system (other than the filing adviser's CRD nu	mber), your <i>CRI</i>
	3234	+57		No Information File	d		
	If you	ı do not have a CRD number, skip this S	Section 1.D. Do not provide	e the CRD number of one of you	ır officers, emplc	oyees, or affiliates (including the filing adviser).	
E.	Princij	ipal Office and Place of Business					
	(1)	Address (do not use a P.O. Box):					
		☑ Same as the <i>filing adviser</i> .					
		Number and Street 1: 1166 AVENUE OF THE AMERICAS	State:	NINTH F		ZIP+4/Postal Code:	
		City: NEW YORK	New York	Country United S		10036	
		If this address is a private residence	e, check this box: 🗖				
	(2)	Days of week that you normally cor Monday - Friday Other:	nduct business at your <i>pr</i>	incipal office and place of busine	ess:		
		Normal business hours at this location 9 AM - 5 PM	ion:				
	(3)	Telephone number at this location: 212-478-0000					
	(4)	Facsimile number at this location, if 212-478-0100	any:				
F.	Mailin	ng address, if different from your <i>princ</i>	ipal office and place of bus	siness address:			
	□ Sa	ame as the <i>filing adviser</i> .					
	Num	ber and Street 1:		Number and Street 2:			
	City:	State:		Country:	ZIP+4	4/Postal Code:	
	If thi	is address is a private residence, chec	k this box: 🗖				
G.	Provid	de your <i>Legal Entity Identifier</i> if you ha	ive one:				

	A leg	gal 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.
H.	If you	ou have Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers: No Information Filed
SEC ⁻	ΓΙΟΝ	2 SEC Registration
		es to this Section help us (and you) determine whether you are eligible to register with the SEC.
	To be	the a relying adviser, you must be independently eligible to register (or remain registered) with the SEC. You must check at least one of the Sections 2.A.(1) through 2.A.(8), w. Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. (the relying 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
		(4) have your principal office and place of business outside the United States;
	V	(5) are a related adviser under rule 203A-2(b) that <i>controls</i> , is <i>controlled</i> by, or is under common <i>control</i> with, an investment adviser that is registered with the SEC, and your <i>principal office and place of business</i> is the same as the registered adviser;
		(6) 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, you must make both of the representations below:
		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.
		By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
		(7) are a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
		If this is your initial filing as a relying adviser, 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.
		The <i>filing adviser</i> undertakes to file an amendment to this <i>umbrella registration</i> to remove this Schedule R if, at the time of the <i>annual updating amendment</i> , I would be required by the laws of fewer than 15 states to register as an investment adviser with the <i>state securities authorities</i> 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.
		(8) have received an SEC <i>Order</i> exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		Application Number: 803- Date of <i>Order</i> :
		(9) are no longer eligible to remain registered with the SEC.
SE 45		3 Form of Organization
		are you organized?
		Corporation
	0	Sole Proprietorship
	0	Limited Liability Partnership (LLP)
	0	Partnership
	\odot	Limited Liability Company (LLC)
	\circ	Limited Partnership (LP)

- Other (specify):
- 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.

SECTION 4.A. Direct Owners and Executive Officers

In this Section 4, we ask you to identify each other person that, directly or indirectly, controls you.

- (1) Section 4.A. asks for information about your direct owners and executive officers.
- (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, 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
 - 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 Section 4.A., 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, 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 Section 4.B. below? $\,_{\odot}$ Yes $\,_{\odot}$ 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

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer I D No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	07/2022	E	Υ	N	108679
THOMAS, NATHAN, CLARK	1	CHIEF COMPLIANCE	07/2022	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

' '	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.
' '	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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals:	DE/FE/I	Entity in Which	Status	Date Status	Ownership	Control PR	CRD No. If None: S.S. No. and
Last Name, First Name, Middle		Interest is		Acquired	Code	Person	Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY			Employer I D No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW &	GENERAL PARTNER	11/1992	F	Y N	
		CO., L.P.					
SHAW, DAVID, ELLIOT	1	D. E. SHAW &	LIMITED PARTNER	12/1992	D	Y N	1557735
		CO., L.P.					
SHAW, DAVID, ELLIOT	I	D. E. SHAW &	SOLE STOCKHOLDER, CHAIRMAN,	11/1992	E	Y N	1557735
		CO., INC.	AND PRESIDENT, D. E. SHAW & CO.,				
			INC.				

SECTION 4.C. Control Persons

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

Yes No 0 0

If yes, you must complete the information below for each control person not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly controls your management or policies.

No Information Filed

SECTION 4.D. Control Persons - Public Reporting Companies

No Information Filed

SECTION 1 Identifying Information

(c) Complete each column.

Responses to this Section tell us who you (the relying adviser) are, where you are doing business, and how we can contact you.

- Your full legal name:
 - D. E. SHAW ALKALI ADVISER VI, L.L.C.
- B. Name under which you primarily conduct your advisory business, if different from Section 1.A. above or Item 1.A. of the filing adviser's Form ADV Part 1A.
- List any other business names and the jurisdictions in which you use them. Complete this question for each other business name.

No Information Filed

You do not have to include the names or jurisdictions of the filing adviser or other relying adviser(s) in response to this Section 1.C.

D. If you currently have, or ever had, a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system (other than the filing adviser's CRD number), your CRD number:

326962

No Information Filed

If you do not have a CRD number, skip this Section 1.D. Do not provide the CRD number of one of your officers, employees, or affiliates (including the filing adviser).

E. Principal Office and Place of Business

	(1)	Address (do not use a P.O. Box):										
		☑ Same as the filing adviser.										
		Number and Street 1: 1166 AVENUE OF THE AMERICAS			er and Street 2: FLOOR							
		City: NEW YORK	State: New York	Countr United	ry: States	ZIP+4/Postal Code: 10036						
		If this address is a private residence, ch	eck this box: 🗖									
	(2)	Days of week that you normally conduct Monday - Friday Other:	business at your <i>princip</i>	oal office and place of busi	iness:							
		Normal business hours at this location: 9 AM - 5 PM										
	(3)	Telephone number at this location: 212-478-0000										
	(4)	Facsimile number at this location, if any: 212-478-0100										
F.	Mailin	g address, if different from your <i>principal c</i>	office and place of busines	ss address:								
	☑ Sa	me as the <i>filing adviser</i> .										
	Numb	per and Street 1:		Number and Street 2:								
	City:	State:		Country:	ZIP+	4/Postal Code:						
	If this	s address is a private residence, check thi	s box: \square									
G.	Provid	le your <i>Legal Entity Identifier</i> if you have o	ne:									
	A lega	ol entity identifier is a unique number that o	companies use to identify	y each other in the finan	cial marketplace.	You may not have a legal entity identifier.						
Н.	If you	have Central Index Key numbers assigne	d by the SEC ("CIK Num	bers"), all of your CIK no No Information Fi								
		2 SEC Registration	ing whather you are alig	wible to register with the	SEC							
		to this Section help us (and you) determ				event almost at least are of the Costions 2.4 (1) the	sough 2 A (0)					
A.	below	 Part 1A Instruction 2 provides information he relying adviser): 				nust check at least one of the Sections 2.A.(1) thr to each of these items.	ough 2.A.(8),					
		1) are a large advisory firm that either:										
		(a) has regulatory assets under manag	ement of \$100 million (i	n U.S. dollars) or more;	or							
		(b) has regulatory assets under manag with the SEC;	ement of \$90 million (in	U.S. dollars) or more at	the time of filing	its most recent annual updating amendment and i	is registered					
		2) are a mid-sized advisory firm that ha you are either:	s regulatory assets unde	er management of \$25 n	nillion (in U.S. dol	llars) or more but less than \$100 million (in U.S. d	ollars) and					
		(a) not required to be registered as ar	adviser with the state:	securities authority of the	e state where you	n maintain your <i>principal office and place of busines</i>	ss; or					
		(b) not subject to examination by the	state securities authority	of the state where you	maintain your <i>prii</i>	ncipal office and place of business;						
		Click HERE for a list of states in which	ch an investment adviser,	if registered, would not be	pe subject to exam	nination by the state securities authority.						
	(3) Reserved										
	<u> </u>	4) have your <i>principal office and place of b</i>	usiness outside the Unit	ed States;								
	(!	5) are a related adviser under rule 203A- your <i>principal office and place of busines</i>		•	mmon <i>control</i> wit	h, an investment adviser that is registered with t	the SEC, and					
		6) are an adviser relying on rule 203A-2(c) because you expect t	o be eligible for SEC re	gistration within	120 days;						

If you check this box, you must make both of the representations below:

			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.
			By submitting this Form ADV to the SEC, the filing adviser undertakes to file an amendment to this umbrella registration to remove this Schedule R if, on the 120th day after this application for umbrella registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
		(7) are	e a multi-state adviser that is required to register in 15 or more states and is relying on rule 203A-2(d);
		If t	this is your initial filing as a relying adviser, 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.
		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 <i>state securities authorities</i> in those states.
		(8) ha	ve received an SEC Order exempting you from the prohibition against registration with the SEC. If you check this box, provide the following information:
		Ар	plication Number: 803- Date of <i>Order</i> :
		(9) are	e no longer eligible to remain registered with the SEC.
050	TI 01		
			n of Organization ou organized?
Α.		Corpoi	
	0	·	roprietorship
	0		d Liability Partnership (LLP)
	_	Partne	
	0		d Liability Company (LLC)
	•		d Partnership (LP)
	0		
	0	Other	(specify):
B.		vhat mo EMBER	onth does your fiscal year end each year?
C.	Und	er the I	laws of what state or country are you organized?
	Sta	ite	Country
	De	laware	United States
	If yo	ou are a	partnership, provide the name of the state or country under whose laws your partnership was formed.
SEC	TION	I 4.A. D	Direct Owners and Executive Officers
In t	his S	ection 4	4, we ask you to identify each other <i>person</i> that, directly or indirectly, <i>controls</i> you.
(1)	Secti	on 4.A.	asks for information about your direct owners and executive officers.
(2)	Direc	t Owne	ers and Executive Officers. List below the names of:
			ief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, director and any other individuals with similar status or functions;
	([a compa Direct ov	re 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 any subject to Section 12 or 15(d) of the Exchange Act); where 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
	s	pouse, icquire,	es. For purposes of this Section 4.A., a <i>person</i> beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, 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 within 60 days, through the exercise of any option, warrant, or right to purchase the security.
		•	e 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 your capital;

(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.

(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

(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,

(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

your capital, the trust and each trustee; and

and (ii) if managed by elected managers, all elected managers.

(3) Do you have any indirect owners to be reported on Section 4.B. below? \bullet Yes \bullet No

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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First Name,			Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS Tax No. or
Middle Name)			MM/YYYY				Employer ID No.
D. E. SHAW & CO., L.P.	DE	MANAGING MEMBER	02/2023	E	Υ	N	108679
THOMAS, NATHAN, CLARK	I	CHIEF COMPLIANCE	02/2023	NA	N	N	4521563
		OFFICER					

SECTION 4.B. Indirect Owners

- (1) Section 4.B. asks for information about your indirect owners; you must first complete Section 4.A., which asks for information about your direct owners
- (2) Indirect Owners. With respect to each owner listed in Section 4.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 Section, 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, all 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.

Check this box if you are filing this Form ADV through the IARD system and want the IARD system to pre-fill Schedule B with the same indirect owners you have provided in Schedule B for your filing adviser. If you check the box, the system will pre-fill these fields for you, but you will be able to manually edit the information after it is pre-filled and before you submit your filing.

FULL LEGAL NAME (Individuals:	DE/FE/I	Entity in Which	Status	Date Status	Ownership	Control		CRD No. If None: S.S. No. and
Last Name, First Name, Middle		Interest is		Acquired	Code	Person		Date of Birth, IRS Tax No. or
Name)		Owned		MM/YYYY				Employer I D No.
D. E. SHAW & CO., INC.	DE	D. E. SHAW &	GENERAL PARTNER	11/1992	F	Υ	N	
		CO., L.P.						
SHAW, DAVID, ELLIOT	I	D. E. SHAW &	LIMITED PARTNER	12/1992	D	Υ	N	1557735
		CO., L.P.						
SHAW, DAVID, ELLIOT	I	D. E. SHAW &	SOLE STOCKHOLDER, CHAIRMAN,	11/1992	E	Υ	N	1557735
		CO., INC.	AND PRESIDENT, D. E. SHAW & CO.,					
			INC.					

SECTION 4.C. Control Persons

Yes No.

C. Does any person not named in Section 1.A., Section 4.A., or Section 4.B. directly or indirectly, control your management or policies?

\circ	⊚

If yes, you must complete the information below for each control person not named in Section 1.A., Section 4.A., or Section 4.B. that directly or indirectly controls your management or policies.

SE	SECTION 4.D. <i>Control Persons</i> - Public Reporting Companies					
		No Information	Filed			
RP	Pages					
CRII	MINAL DISCLOSURE REPORTING PAGE (ADV)					
No I	nformation Filed					
REG	SULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)				
		GENERAL INSTRUC	CTIONS			
This	s Disclosure Reporting Page (DRP ADV) is an 👩 INITIAL			to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of		
	m ADV.	OR ·				
		Regulatory Act	ion			
Che	eck item(s) being responded to:	Regulatory Act	.1011			
	11.C(1)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)		
	11.D(1)	□ 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.					
PAR A.	The person(s) or entity(ies) for whom this DRP is being You (the advisory firm) 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 If the advisory affiliate has a CRD number, provide that	ne full name of the <i>advisory affiliate</i> belo				
	ADV DRP - ADVISORY AFFILIATE					
		No Informatio	on Filed			
	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. This DRP 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 registered 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 adviser's or <i>advisory affiliate's</i> favor. If you are registered or registering with a <i>state securities authority</i> , 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 register ago.					
	\square This DRP should be removed from the ADV record by					
B.	If the <i>advisory affiliate</i> is registered through the IARD sevent? If the answer is "Yes," no other information on		y affiliate submitted a DRP (with Form	ADV, BD or U-4) to the IARD or CRD for the		
	C Yes C No					
	NOTE: The completion of this form does not relieve the	e advisory affiliate of its obligation to up	odate its IARD or <i>CRD</i> records.			
PAR	T II					

Regulatory Action initiated by:

	⊙SEC ⊙Other Federal ⊙State ⊙ _{SRO} ⊙Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) NEW YORK MERCANTILE EXCHANGE ("NYMEX")	
2.	2. Principal Sanction:	
	Civil and Administrative Penalt(ies) /Fine(s)	
	Other Sanctions:	
3.	3. Date Initiated (MM/DD/YYYY):	
	05/01/2014 🖸 Exact 🔘 Explanation	
	If not exact, provide explanation:	
4.	4. Docket/Case Number:	
	NYMEX 12-9156	
ā.	5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if app	icable):
	6. Principal Product Type:	
	Futures - Commodity	
	Other Product Types:	
7.	7. Describe the allegations related to this regulatory action (your response must fit within the space	ee provided):
	IN NOVEMBER 2012, CERTAIN ENTITIES OF THE D. E. SHAW GROUP ADVISED BY CERTAIN OF D. E	. SHAW & CO., L.P.'S RELYING ADVISERS UNINTENTIONALLY VIOLATED FUTURES
	CONTRACT POSITION LIMITS RULE 562 SET BY NYMEX IN CONNECTION WITH TRADING NATURAL	GAS FUTURES.
3.	3. Current Status? C Pending C On Appeal G Final	
9.	9. If on appeal, regulatory action appealed to (SEC, <i>SRO</i> , Federal or State Court) and Date Appeal	Filed:
lf Fi	If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10.	10. How was matter resolved:	
	Decision & Order of Offer of Settlement	
11.	11. Resolution Date (MM/DD/YYYY):	
	05/01/2014	
	If not exact, provide explanation:	
12.	12. Resolution Detail:	
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?	
	✓ Monetary/Fine Amount: \$ 25,000.00✓ Revocation/Expulsion/Denial	is gorgement / Destitution
		isgorgement/Restitution ease and Desist/Injunction
		uspension
	B. Other Sanctions <i>Ordered:</i>	uspension
	Sanction dataily if suspended, anialned or barred, provide duration including start data and	capacities affected (Capacal Securities Principal Einancial Operations Principal
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and etc.). If requalification by exam/retraining was a condition of the sanction, provide length o has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or madvisory affiliate, date paid and if any portion of penalty was waived: FINE OF \$25,000 PAID BY D. E. SHAW & CO., L.P. ON MAY 7, 2014.	time given to requalify/retrain, type of exam required and whether condition
13.	 Provide a brief summary of details related to the action status and (or) disposition and include r provided). 	elevant terms, conditions and dates (your response must fit within the space
	THE NYMEX BUSINESS CONDUCT COMMITTEE ENTERED A DECISION ON APRIL 29, 2014, ACCEPT	NG THE OFFER OF SETTLEMENT, WHICH ORDER BECAME EFFECTIVE ON MAY 1,
	2014.	

			Regulatory Action		
Che	ck item(s) being responded to:		g ,		
	11.C(1)	■ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.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 Pag		or <i>proceeding</i> . The sa	me event or <i>proceeding</i> may be reported for	more than one <i>person</i> or entit	y using one DRP. File with a completed Execution
	•		er to Items 11.C., 11.D., 11.E., 11.F. or 11.C s for each action on a separate DRP.	6. Use only one DRP to report d	letails related to the same event. If an event gives
PAR	T I				
Α.	The <i>person(s)</i> or entity(ies) for S You (the advisory firm)	whom this DRP is bei	ng filed is (are):		
	O You and one or more of yo	ur advisory affiliates			
	One or more of your advisor				
	•	•	the full name of the <i>advisory affiliate</i> below (at number. If not, indicate "non-registered"		
	ADV DRP - ADVISORY AFFILIA	TE			
			No Information F	iled	
This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. This DRP 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 registered or applying registration with the SEC or reporting as an <i>exempt reporting adviser</i> with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.					
		•			response to Item 11.D(4), and only if that event ed in Item 11 that occurred more than ten years
	☐ This DRP should be remove	ed from the ADV record	d because it was filed in error, such as due t	o a clerical or data-entry mista	ke. Explain the circumstances:
B.	If the <i>advisory affiliate</i> is regist event? If the answer is "Yes,"	•		filiate submitted a DRP (with Fo	rm ADV, BD or U-4) to the IARD or CRD for the
	C Yes C No				
	NOTE: The completion of this	form does not relieve	the advisory affiliate of its obligation to updat	e its IARD or <i>CRD</i> records.	
PAR	TII				
1.	Regulatory Action initiated by: O SEC O Other Federal		reign		
		n financial regulatory au	uthority, federal, state, or SRO)		
2.	Principal Sanction: Civil and Administrative Penalt Other Sanctions:	:(ies) /Fine(s)			
3.	Date Initiated (MM/DD/YYYY):				
	05/01/2014 © Exact © Ex If not exact, provide explanati	•			
4.	Docket/Case Number: NYMEX 13-9632				
5.	Advisory Affiliate Employing Fir	m when activity occurr	red which led to the regulatory action (if app	licable):	
6.	Principal Product Type: Futures - Commodity Other Product Types:				

7.	IN OCTOBER 2013, CERTA			. E. SHAW & CO., L.P.'S RELYING ADV	ISERS UNINTENTIONALLY VIOLATED F	TUTURES
8.	Current Status? C p	Pending On Appeal OF	inal			
9.	If on appeal, regulatory	action appealed to (SEC, <i>SRO</i> , Fed	deral or State Court) and Date App	peal Filed:		
lf F	inal or On Appeal, comple	te all items below. For Pending Ac	tions, complete Item 13 only.			
10.	Decision & Order of Offer of Settlement					
11.	Resolution Date (MM/DD/	YYYY):				
	05/01/2014 • Exact	•				
12.	Resolution Detail:					
	A. Were any of the fol	lowing Sanctions Ordered (check a	all appropriate items)?			
	☑ Monetary/Fine	Amount: \$ 75,000.00				
	☐ Revocation/Exp	oulsion/Denial		☐ Disgorgement/Restitution		
	Censure			Cease and Desist/Injunction		
	☐ Bar		1	Suspension		
	B. Other Sanctions Or	dered:				
13.	Provide a brief summary provided).		atus and (or) disposition and inclu		ites (your response must fit within th	·
			GENERAL INSTRU	CTIONS		
	Disclosure Reporting Page n ADV.	e (DRP ADV) is an O INITIAL <i>OR</i>			to Items 11.C., 11.D., 11.E., 11.F. or	11.G. of
			Regulatory Ac	tion		
	ck item(s) being responde					
	1.C(1)	□ 11.C(2)	☐ 11.C(3)	□ 11.C(4)	□ 11.C(5)	
	1.D(1)	□ 11.D(2)	☐ 11.D(3) —	□ 11.D(4)	□ 11.D(5)	
	1.E(1)	☑ 11.E(2)	□ 11.E(3)	□ 11.E(4)		
		□ 11.G. event or <i>proceeding</i> . The same ev	vent or <i>proceeding</i> may be reported	for more than one <i>person</i> or entity (using one DRP. File with a completed	Execution
		than one affirmative answer to It one regulator, provide details for e		11.G. Use only one DRP to report det	ails related to the same event. If an ϵ	event gives
PART	ГІ					
А .		es) for whom this DRP is being file	d is (are):			
		1)				
	O You and 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 <i>advisory affiliate(s)</i> is no longer associated with the adviser. This DRP 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 registered 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 adviser's or <i>advisory affiliate's</i> favor.
	If you are registered or registering with a <i>state securities authority</i> , 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:
В.	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.
AR ⁻	T II
1.	Regulatory Action initiated by: OSEC Other Federal OState SRO OF Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) ICE FUTURES U.S., INC. ("ICE")
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: CEASE AND DESIST ORDER
3.	Date Initiated (MM/DD/YYYY):
	01/16/2015 © Exact C Explanation If not exact, provide explanation:
4.	Docket/Case Number: CASE NO. 2013-00139
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: Futures - Commodity Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided): IN OCTOBER 2013, AN ENTITY IN THE D. E. SHAW GROUP ADVISED BY A RELYING ADVISER OF D. E. SHAW & CO., L.P. UNINTENTIONALLY VIOLATED A POSITION LIMIT SET UNDER EXCHANGE RULE 6.20(C) OF THE ICE APPLICABLE TO NATURAL GAS FUTURES.
8.	Current Status? C Pending C On Appeal G Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Settled
11.	Resolution Date (MM/DD/YYYY):
	01/16/2015 © Exact C Explanation If not exact, provide explanation:

12.	Resolution Detail:				
	A. Were any of the fo	ollowing Sanctions Ordered (chec	k all appropriate items)?		
	✓ Monetary/Fine	Amount: \$ 20,000.00			
	Revocation/Exp			☐ Disgorgement/Restitution	
	☐ Censure			▼ Cease and Desist/Injunction	
	☐ Bar			☐ Suspension	
		indone di		E suspension	
	B. Other Sanctions O	raerea:			
	etc.). If requalificate has been satisfied. advisory affiliate, da	tion by exam/retraining was a co	ondition of the sanction, provide lead, penalty, restitution, disgorgement analty was waived:	ngth of time given to requalify/retrain,	urities Principal, Financial Operations Principal, type of exam required and whether condition otal amount, portion levied against you or an
	provided).	y of details related to the action THE SETTLEMENT AGREEMENT E		clude relevant terms, conditions and da	tes (your response must fit within the space
Thia r	Disalasura Danartina Dan	*** (DDD AD)() is an = INITIAL	GENERAL INSTR		to Itamo 11 C
		ge (DRP ADV) is an $_{ m C}$ INITIAL $_{ m C}$	R 6 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 /	Action	
Check	k item(s) being respond	ed to:			
11	1.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
11	1.D(1)	☑ 11.D(2)	□ 11.D(3)	☑ 11.D(4)	□ 11.D(5)
11	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	
□ 11	1.F.	□ 11.G.			
	•		o Items 11.C., 11.D., 11.E., 11.F. or each action on a separate DRP.	or 11.G. Use only one DRP to report deta	ails related to the same event. If an event gives
PART					
	The person(s) or entity(i You (the advisory firm	ies) for whom this DRP is being f m)	filed is (are):		
	O You and one or more	e of your <i>advisory affiliates</i>			
	One or more of your				
	_	•	_	elow (for individuals, Last name, First n tered" by checking the appropriate box.	
	ADV DRP - ADVISORY A	FFILIATE			
			No Informa	ation Filed	
	☐ This DRP should be r registration with the	removed from the ADV record be s SEC or reporting as an <i>exempt</i>	ecause: (1) the event or <i>proceeding</i> reporting adviser with the SEC and	the event was resolved in the adviser'	•
	occurred more than ten	n years ago. If you are registere	d or registering with the SEC, you	may remove a DRP for any event listed	sponse to Item 11.D(4), and only if that event in Item 11 that occurred more than ten years
	☐ This DRP should be r	removed from the ADV record be	ecause it was filed in error, such as	due to a clerical or data-entry mistake	. Explain the circumstances:
	•	registered through the IARD sy "Yes," no other information on t	•	sory affiliate submitted a DRP (with Form	ADV, BD or U-4) to the IARD or <i>CRD</i> for the
	C Yes C No				

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

1.	Regulatory Action initiated by: OSEC OOther Federal OState OSRO OForeign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SWEDISH FINANCIAL SUPERVISORY AUTHORITY (SFSA)	
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	01/22/2015 © Exact © Explanation If not exact, provide explanation: THE SFSA REACHED ITS DECISION ON JANUARY 22, 2015, BUT D. E. SHAW & CO., L.P. I	RECEIVED NOTIFICATION OF THE DECISION ON MARCH 11, 2015.
4.	Docket/Case Number: FI DNR 14-5840	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory acti	on (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:	
7.	3	OF A NET SHORT POSITION IN THE SHARES OF A SWEDISH ISSUER TO THE SFSA AFTER THE
8.	Current Status? C Pending C On Appeal G Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Da	te Appeal Filed:
lf F	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only	<i>1.</i>
10.	. How was matter resolved: Decision	
11.	Resolution Date (MM/DD/YYYY):	
	04/01/2015 C Exact C Explanation	
	If not exact, provide explanation: ON JANUARY 22, 2015, THE SFSA IMPOSED A PENALTY FEE ON D. E. SHAW & CO., L.P. A	AND THE PENALTY FEE BECAME EFFECTIVE ON APRIL 1, 2015.
12.	. Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	Monetary/Fine Amount: \$ 1,150.00	
	Revocation/Expulsion/Denial	☐ Disgorgement/Restitution
	Censure	Cease and Desist/Injunction
	□ Bar	☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	
	etc.). If requalification by exam/retraining was a condition of the sanction, provide has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorger advisory affiliate, date paid and if any portion of penalty was waived:	t date and capacities affected (General Securities Principal, Financial Operations Principal, e length of time given to requalify/retrain, type of exam required and whether condition ment or monetary compensation, provide total amount, portion levied against you or an AID BY D. E. SHAW & CO., L.P. FOLLOWING THE ISSUANCE OF AN INVOICE BY THE SFSA.
13.	 Provide a brief summary of details related to the action status and (or) disposition and provided). 	d include relevant terms, conditions and dates (your response must fit within the space

THE SFSA PENALTY FEE BECAME EFFECTIVE ON APRIL 1, 2015. D. E. SHAW & CO., L.P. RECEIVED AN INVOICE FOR THE PENALTY FEE ON APRIL 22, 2015 AND SUBMITTED PAYMENT

PART II

TO THE SFSA ON MAY 7, 2015.

			GENERAL INSTRUCTI		
This	Disclosure Reporting Page (DRP	ADV) is an O INITIAL	OR • AMENDED response used to report	t details for affirmative responses	to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of
Form	n ADV.				
			Regulatory Action	2	
Chec	ck item(s) being responded to:		Regulatory Action		
	1.C(1)	□ 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.C(5)
1	1.D(1)	☑ 11.D(2)	□ 11.D(3)	☑ 11.D(4)	□ 11.D(5)
	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	. ,
□ 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 continuous continu					
Use Page		or <i>proceeding</i> . The sam	ne event or <i>proceeding</i> may be reported fo	or more than one <i>person</i> or entity	using one DRP. File with a completed Execution
	_		to Items 11.C., 11.D., 11.E., 11.F. or 11 for each action on a separate DRP.	G. Use only one DRP to report det	tails related to the same event. If an event gives
PART	- 1				
	The <i>person(s)</i> or entity(ies) for	whom this DDD is boing	g filed is (are):		
Α.		WHOTH THIS DRP IS DEING	g filed is (are):		
	You (the advisory firm)				
	O You and one or more of you	ır advisory affiliates			
	One or more of your advisor				
	auvisor	y animates			
	_	•	he full name of the <i>advisory affiliate</i> below t number. If not, indicate "non-registered		
	ADV DRP - ADVISORY AFFILIAT	Ë			
			No Information	Filed	
	This DRP should be removed registration with the SEC of the second secon	d from the ADV record reporting as an exemplering with a state secur	pt reporting adviser with the SEC and the rities authority, you may remove a DRP fo	event was resolved in the adviser an event you reported only in re	esponse to Item 11.D(4), and only if that event
	occurred more than ten years ago.	ago. If you are register	red or registering with the SEC, you may	remove a DRP for any event listed	d in Item 11 that occurred more than ten years
	☐ This DRP should be removed	d from the ADV record	because it was filed in error, such as due	to a clerical or data-entry mistake	e. Explain the circumstances:
B.	If the advisory affiliate is registed event? If the answer is "Yes,"	•		affiliate submitted a DRP (with Form	n ADV, BD or U-4) to the IARD or <i>CRD</i> for the
	O Yes O No				
	NOTE: The completion of this for	orm does not relieve th	ne <i>advisory affiliate</i> of its obligation to upda	ate its IARD or <i>CRD</i> records.	
PAR1	ГП				
1.	Regulatory Action initiated by: OSEC Other Federal OS	State O <i>SRO</i> G Fore	ign		
	(Full name of regulator, foreign SWEDISH FINANCIAL SUPERVIS	0 0	· ·		
2.	Principal Sanction: Civil and Administrative Penalt(Other Sanctions:	ies) /Fine(s)			
3.	Date Initiated (MM/DD/YYYY):				
	01/22/2015 C Exact C Explication Explanation	on:	015, BUT D. E. SHAW & CO., L.P. RECEIVE	D NOTIFICATION OF THE DECISION	N ON MARCH 11, 2015.
А	Docket/Case Number				

FI DNR 14-9564

5.	5. Advisory Affiliate Employing Firm when activity occurred wh	ich led to the regulatory action (if	applicable):	
6.	 Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types: 			
7.	7. Describe the allegations related to this regulatory action (IN JUNE 2014, D. E. SHAW & CO., L.P. UNINTENTIONALLY S NEXT-DAY NOTIFICATION DEADLINE SPECIFIED IN THE EUR	SUBMITTED A NOTIFICATION OF A	NET SHORT POSITION IN THE SHAR	RES OF A SWEDISH ISSUER TO THE SFSA AFTER THE
8.	8. Current Status? O Pending O On Appeal o Fi	nal		
9.	9. If on appeal, regulatory action appealed to (SEC, SRO, Fed	leral or State Court) and Date Ap	peal Filed:	
If F	If Final or On Appeal, complete all items below. For Pending Ac	tions, complete Item 13 only.		
10.	10. How was matter resolved: Decision			
11.	11. Resolution Date (MM/DD/YYYY):			
	04/01/2015 C Exact C Explanation			
	If not exact, provide explanation:			
	ON JANUARY 22, 2015, THE SFSA IMPOSED A PENALTY FEE	ON D. E. SHAW & CO., L.P. AND T	THE PENALTY FEE BECAME EFFECTIV	/E ON APRIL 1, 2015.
12.	12. Resolution Detail:			
	A. Were any of the following Sanctions Ordered (check a	all appropriate items)?		
	✓ Monetary/Fine Amount: \$ 10,500.00			
	Revocation/Expulsion/Denial		☐ Disgorgement/Restitution	
	☐ Censure		lacksquare Cease and Desist/Injunction	
	☐ Bar		Suspension	
	B. Other Sanctions Ordered:			
13.	Sanction detail: if suspended, <i>enjoined</i> or barred, proetc.). If requalification by exam/retraining was a cond has been satisfied. If disposition resulted in a fine, pradvisory affiliate, date paid and if any portion of pena PENALTY FEE OF 90,000 SWEDISH KRONOR (APPROXION). 13. Provide a brief summary of details related to the action structure provided). THE SFSA PENALTY FEE BECAME EFFECTIVE ON APRIL 1, 20 TO THE SFSA ON MAY 7, 2015.	lition of the sanction, provide lengenalty, restitution, disgorgement lty was waived: MATELY US \$10,500) TO BE PAID atus and (or) disposition and inclu	oth of time given to requalify/retrain or monetary compensation, providing BY D. E. SHAW & CO., L.P. FOLLOW ude relevant terms, conditions and	n, type of exam required and whether condition to total amount, portion levied against you or an an arrangement of the ISSUANCE OF AN INVOICE BY THE SFSA. dates (your response must fit within the space
		GENERAL INSTRU	ICTIONS	
This	This Disclosure Reporting Page (DRP ADV) is an $_{ m C}$ INITIAL $_{ m OR}$			es to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of
Forr	Form ADV.			
01		Regulatory Ac	ction	
	Check item(s) being responded to: 11.C(1) 11.C(2)	□ 11.C(3)	□ 11.C(4)	□ 11.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 <i>proceeding</i> . The same ev Page.	ent or <i>proceeding</i> may be reported	d for more than one <i>person</i> or entit	ty using one DRP. File with a completed Execution
Onc	One event may result in more than one affirmative answer to It	ems 11 C 11 D 11 F 11 F or	11 G. Usa only one DDD to report of	details related to the same event. If an event dives

PART I

rise to actions by more than one regulator, provide details for each action on a separate DRP.

A.	
	O 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 <i>advisory affiliate</i> , give the full name of the <i>advisory affiliate</i> below (for individuals, Last name, First name, Middle name). If the <i>advisory affiliate</i> has a <i>CRD</i> number, provide that number. If not, indicate "non-registered" by checking the appropriate box.
	ADV DRP - ADVISORY AFFILIATE
	CRD This advisory affiliate is • a Firm • an Individual
	Number: Registered: • Yes • No
	Name: D. E. SHAW & CO. (ASIA PACIFIC)
	LIMITED (For individuals, Last, First, Middle)
	☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP 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 registered 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 adviser's or <i>advisory affiliate's</i> 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:
В.	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.
PAR	T II
1.	Regulatory Action initiated by: O SEC O Other Federal O State O SRO Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SECURITIES & FUTURES COMMISSION OF KOREA ("SFC")
2.	Principal Sanction:
	Civil and Administrative Penalt(ies) /Fine(s)
	Other Sanctions:
3.	Date Initiated (MM/DD/YYYY):
	09/25/2015 Exact Explanation
	If not exact, provide explanation: THE SFC REACHED ITS DECISION ON SEPTEMBER 25, 2015.
4.	Docket/Case Number:
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable): D. E. SHAW & CO. (ASIA PACIFIC) LIMITED ("DESCO AP")
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
	IN DECEMBER 2013, DESCO AP, ON BEHALF OF A FUND, ENTERED INTO A BLOCK TRADE WITH A COUNTERPARTY TO PURCHASE SHARES OF A PUBLIC COMPANY IN KOREA. SUBSEQUENTLY, ON THE SAME DAY, DESCO AP DIRECTED THE FUND TO SELL THOSE SHARES. DUE TO EVENTS OUTSIDE THE CONTROL OF DESCO AP, THE COUNTERPARTY IN THE BLOCK TRADE UNILATERALLY DELAYED THE TRADE AND FAILED TO DELIVER THE SHARES ON THE AGREED DATE OF SETTLEMENT, WHICH CAUSED THE FUND TO FAIL ON ITS DELIVERY REQUIREMENT FOR THE SUBSEQUENT SALE OF THE SHARES. ON SEPTEMBER 25, 2015, THE SFC IMPOSED A FINE OF APPROXIMATELY US \$13,000 ON DESCO AP FOR VIOLATING KOREAN RESTRICTIONS ON SHORT SELLING.

8.	8. Current Status? C Pending C On Appeal C Final					
9.	If on appea	I, regulatory action appealed to (SEC, <i>SRO,</i> F	ederal or State Court) and Date App	eal Filed:		
If Fi	nal or On Aբ	opeal, complete all items below. For Pending <i>i</i>	Actions, complete Item 13 only.			
10.	How was m	atter resolved:				
11.	Resolution I	Date (MM/DD/YYYY):				
	09/25/2015	5 ⊙ Exact ○ Explanation				
	If not exact	, provide explanation:				
12.	Resolution	Detail:				
	A. Were	any of the following Sanctions <i>Ordered</i> (check	k all appropriate items)?			
	V	onetary/Fine Amount: \$ 13,000.00				
	□ Re	evocation/Expulsion/Denial	ſ	Disgorgement/Restitution		
		ensure		Cease and Desist/Injunction		
	☐ Ba	nr en	r	Suspension		
	B. Other	Sanctions Ordered:				
	etc.). has be <i>advisc</i>	If requalification by exam/retraining was a co	ndition of the sanction, provide lengt penalty, restitution, disgorgement on nalty was waived:	h of time given to requalify/retrain,	curities Principal, Financial Operations Principal, type of exam required and whether condition total amount, portion levied against you or an	
	Provide a b provided).	rief summary of details related to the action	status and (or) disposition and inclu	de relevant terms, conditions and da	ates (your response must fit within the space	
		PAID THE FINE ON OCTOBER 16, 2015.				
			GENERAL INSTRUC	CTIONS		
	Disclosure F	reporting Page (DRP ADV) is an $_{ m C}$ INITIAL $_{ m \it Ol}$			to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of	
Choc	k itom(s) h	eing responded to:	Regulatory Act	ion		
	1.C(1)	✓ 11.C(2)	□ 11.C(3)	☑ 11.C(4)	☑ 11.C(5)	
	1.D(1)	□ 11.D(2)	□ 11.D(3)	□ 11.D(4)	□ 11.D(5)	
	1.E(1)	□ 11.E(2)	□ 11.E(3)	□ 11.E(4)	(6)	
□ 1		□ 11.G.		(.)		
Use a	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						
	_	esult in more than one affirmative answer to y more than one regulator, provide details fo		1.G. Use only one DRP to report det	tails related to the same event. If an event give	
PART	·I					
A.	•	(s) or entity(ies) for whom this DRP is being fine advisory firm)	iled is (are):			
	~	one or more of your advisory affiliates				
		more of your advisory affiliates				
		is being filed for an <i>advisory affiliate</i> , give the ory affiliate has a <i>CRD</i> number, provide that n				
		ADVISORY AFFILIATE	<u> </u>	, .		

No Information Filed

	This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. This DRP 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 registered 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 adviser's or <i>advisory affiliate's</i> 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.
	C Yes C No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
PAR	T II
1.	Regulatory Action initiated by: SEC Other Federal Ostate Osro Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SECURITIES AND EXCHANGE COMMISSION (SEC)
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: CENSURE AND CEASE AND DESIST ORDER.
3	Date Initiated (MM/DD/YYYY):
J.	09/29/2023 Exact Explanation If not exact, provide explanation:
4.	Docket/Case Number: FILE NO. 3-21775
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type: No Product Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
•	ON SEPTEMBER 29, 2023, THE SEC ISSUED A SETTLED ORDER FINDING THAT LANGUAGE IN CERTAIN EMPLOYMENT-RELATED AGREEMENTS USED BY D. E. SHAW & CO., L.P. ("DESCO LP") RAISED IMPEDIMENTS TO EMPLOYEES' PARTICIPATION IN THE SEC'S WHISTLEBLOWER PROGRAM IN VIOLATION OF EXCHANGE ACT RULE 21F-17(A). THE SEC'S ORDER ACKNOWLEDGED THAT DESCO LP TOOK A NUMBER OF STEPS DATING BACK TO 2017 TO AFFIRM EMPLOYEES' WHISTLEBLOWING RIGHTS, INCLUDING BY SENDING A FIRMWIDE EMAIL EMPHASIZING THOSE RIGHTS AND ADDING SPECIFIC WHISTLEBLOWER PROTECTION LANGUAGE TO THE FIRM'S POLICY MATERIALS; HOWEVER, SIMILAR WHISTLEBLOWER PROTECTION LANGUAGE WAS NOT INCLUDED DIRECTLY IN DESCO LP'S EMPLOYMENT AGREEMENTS UNTIL APRIL 2019 OR IN ITS FORM OF SEPARATION RELEAS UNTIL JUNE 2023.
8.	Current Status? C Pending C On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
lf F	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved: Decision & Order of Offer of Settlement
11.	Resolution Date (MM/DD/YYYY):
	09/29/2023 © Exact © Explanation If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?

	✓ Monetary/Fine Amount: \$ 10,	,000,000.00				
	☐ Revocation/Expulsion/Denial		lacksquare Disgorgement/Restitution			
	☑ Censure		▼ Cease and Desist/Injunction			
	☐ Bar		Suspension			
B.	Other Sanctions Ordered:					
	etc.). If requalification by exam/r has been satisfied. If disposition advisory affiliate, date paid and if DESCO LP, WITHOUT ADMITTING	retraining was a condition of the sand resulted in a fine, penalty, restitution any portion of penalty was waived:	D TO A CENSURE, TO CEASE AND DESIST FROM COMMITTING O	exam required and whether condition nount, portion levied against you or an		
pro	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).					
TH	E SEC ENTERED AN ORDER ON SEPT	EMBER 29, 2023 ACCEPTING THE OF	FFER OF SETTLEMENT. DESCO LP PAID THE PENALTY ON OCTOE	BER 3, 2023.		
CIVIL JU	JDICIAL ACTION DISCLOSURE RE	PORTING PAGE (ADV)				
No Inforr	mation Filed					
art 2						
Exempt	ion from brochure delivery requir	rements for SEC-registered adviser	rs			
clients, Are you	you do not have to prepare a broch exempt from delivering a brochure	3	ome kinds of clients. If these exemptions excuse you from deli	ivering a brochure to <i>all</i> of your advisory Yes No O •		
IT no, co	mplete the ADV Part 2 filing below.					
Amend, r	retire or file new brochures:					
art 3						
arts	CRS	Type(s)	Affiliate Info	Retire		
There a	re no CRS filings to display.					
xecutio	n Pages					
DOMEST	IC INVESTMENT ADVISER EXECU	TION PAGE				
You mus amendn		Page to Form ADV. This execution p	page must be signed and attached to your initial submission of	Form ADV to the SEC and all		
Appoin	tment of Agent for Service of P	rocess				
maintair accept s service	n your <i>principal office and place of bu</i> service on your behalf, of any notice may be made by registered or certif	usiness and any other state in which e, subpoena, summons, order institusfied mail, in any federal or state acti	cably appoint the Secretary of State or other legally designate you are submitting a <i>notice filing</i> , as your agents to receive se ting <i>proceedings</i> , demand for arbitration, or other process or pon, administrative <i>proceeding</i> or arbitration brought against your activity in connection with your investment advisory business	ervice, and agree that such <i>persons</i> may papers, and you further agree that such ou in any place subject to the jurisdiction		

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, 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

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 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.

NATHAN C. THOMAS

Printed Name:

Adviser CRD Number:

108679

Signature:

NATHAN C. THOMAS

Date: MM/DD/YYYY 04/01/2024

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: Date: MM/DD/YYYY

Printed Name: Title:

Adviser CRD Number:

108679