FORM ADV

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

Primary Business Name: LMR PARTNERS LLC	CRD Number: 292183
Other-Than-Annual Amendment - All Sections	Rev. 10/2021
11/19/2024 6:17:50 PM	

WARNING: Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

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

- A. Your full legal name (if you are a sole proprietor, your last, first, and middle names): LMR PARTNERS LLC
- B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.
 LMR PARTNERS LLC

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

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

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

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

 \square your legal name or \square your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: 801-112529
(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:
(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

No Information Filed

E. (1) If you have a number ("CRD Number") assigned by the FINRA's CRD system or by the IARD system, your CRD number: 292183

If your firm does not have a CRD number, skip this Item 1.E. Do not provide the CRD number of one of your officers, employees, or affiliates.

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

No Information Filed

F. Principal Office and Place of Business

(1) Address (do not use a P.O. Box): Number and Street 1: 412 WEST 15TH STREET City: State: NEW YORK New York

Number and Street 2: 9TH FLOOR Country: United States

ZIP+4/Postal Code: 10011

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

List on Section 1.F. of Schedule D any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

(2) Days of week that you normally conduct business at your *principal office and place of business:* • Monday - Friday • Other:

Normal business hours at this location: 9AM - 5.30PM

(3) Telephone number at this location: 6468915738

(4) Facsimile number at this location, if any:

(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?

G.	Mailing address, if differen	t from your <i>principal office and place c</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	e residence, check this box: \square			
H.	If you are a sole proprieto	r, state your full residence address, i	if different from your <i>principa</i>	I office and place of business address in Item 1.F.:	
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
				Ye	es No
I.	Do you have one or more v LinkedIn)?	websites or accounts on publicly avai	ilable social media platforms	(including, but not limited to, Twitter, Facebook and	0
	If a website address serves addresses for all of the othe available social media platfo	as a portal through which to access o er information. You may need to list m	ther information you have pul ore than one portal address. L tent. Do not provide the indivi	cly available social media platforms on Section 1.1. of Scheo blished on the web, you may list the portal without listing Do not provide the addresses of websites or accounts on pu dual electronic mail (e-mail) addresses of employees or the	ıblicly
J.	Chief Compliance Officer				
5.	(1) Provide the name and (contact information of your Chief Con Compliance Officer, if you have one. I		n <i>exempt reporting adviser</i> , you must provide the contact em 1.K. below.	
	Name:		Other titles, if any:		
	Telephone number:		Facsimile number, if any:		
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) ac	ddress, if Chief Compliance Officer ha	s one:		
		npany Act of 1940 that you advise for mber (if any):		you, a <i>related person</i> or an investment company register officer services to you, provide the <i>person's</i> name and IF	
K.	• •	tact Person: If a person other than the may provide that information here.	he Chief Compliance Officer	is authorized to receive information and respond to que	stions
	Name:		Titles:		
	Telephone number:		Facsimile number, if any:		
	Number and Street 1:		Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	
	Electronic mail (e-mail) ad	ddress, if contact person has one:			NI-
L.	•	all of the books and records you are ur <i>principal office and place of busines</i> :		ion 204 of the Advisers Act, or similar state law,	es No
	If "yes," complete Section 1	1.L. of Schedule D.			NI-
M.	Are you registered with a	foreign financial regulatory authority?			es No
	•	registered with a foreign financial regu s," complete Section 1.M. of Schedule I		nave an affiliate that is registered with a foreign financial	
				Ye	es No
N.	Are you a public reporting	company under Sections 12 or 15(d)	of the Securities Exchange A	Act of 1934?	•
					es No
О.	-	more in assets on the last day of you mate amount of your assets:	ur most recent fiscal year?	c	

O \$1 billion to less than \$10 billion

O \$10 billion to less than \$50 billion

For purposes of Item 1.0. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

 P. Provide your *Legal Entity Identifier* if you have one: 5493001QMVH658EW6D16

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

SECTION 1.B. Other Business Names

No Information Filed

SECTION 1.F. Other Offices

Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest twenty-five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: 78 SW 7TH ST SUITE 09-144 City: State: Country: ZIP+4/Postal Code: MIAMI Florida United States 33130 If this address is a private residence, check this box: \Box Telephone Number: Facsimile Number, if any: 9542286912 If this office location is also required to be registered with FINRA or a state securities authority as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the CRD Branch Number here: How many employees perform investment advisory functions from this office location? 2 Are other business activities conducted at this office location? (check all that apply) (1) Broker-dealer (registered or unregistered) (2) Bank (including a separately identifiable department or division of a bank) (3) Insurance broker or agent (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (5) Registered municipal advisor (6) Accountant or accounting firm (7) Lawyer or law firm Describe any other *investment-related* business activities conducted from this office location: CPO ACTIVITIES UNDER NFA/CFTC REGULATION

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:
1 MAINSTREET
City:
СНАТНАМ

State: New Jersey Number and Street 2: SUITE 205 Country: United States

ZIP+4/Postal Code: 07928

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

Telephone Number: 6468915783	Facsimile Number,	if any:						
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 adviso 2	How many <i>employees</i> perform investment advisory functions from this office location? 2							
 (1) Broker-dealer (registered or unregistered) (2) Bank (including a separately identifiable definition of the separately identifiable def	 (2) Bank (including a separately identifiable department or division of a bank) (3) Insurance broker or agent (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (5) Registered municipal advisor (6) Accountant or accounting firm (7) Lawyer or law firm 							
	n 1.F. for each loca	ation. If you are applying fo	<i>business</i> , at which you conduct investment advisory business. or SEC registration, if you are registered only with the SEC, or pers of <i>employees</i>).					
Number and Street 1: 401 N FRANKLIN STREET		Number and Street 2: FLOOR 2						
City: HOUSTON	State: Texas	Country: United States	ZIP+4/Postal Code: 77201					
If this address is a private residence, check this	box: 🗖							
Telephone Number: 6468915771	Facsimile Num	ber, if any:						
If this office location is also required to be regist adviser on the Uniform Branch Office Registration			as a branch office location for a broker-dealer or investment nch Number here:					
How many <i>employees</i> perform investment adviso 1	ry functions from th	nis 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 advisor (whether registered 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 CPO ACTIVITIES UNDER NFA/CFTC REGULATION	activities conducted	from this office location:						
	n 1.F. for each loca	ation. If you are applying fo	<i>business</i> , at which you conduct investment advisory business. In SEC registration, if you are registered only with the SEC, or pers of <i>employees</i>).					
Number and Street 1: 400 MADISON AVENUE		Number and Street SUITE 12A	2:					

City:

State:

SUITE 12A Country:

ZIP+4/Postal Code:

NEW YORK	New York	United States	10017	
If this address is a private residence, check this	box:			
Telephone Number: 6468915738	Facsimile Numbe	er, if any:		
If this office location is also required to be regis adviser on the Uniform Branch Office Registration		5		nvestment
How many <i>employees</i> perform investment advis 5	ory functions from t	his office location?		
Are other business activities conducted at this c	office location? (che	ck all that apply)		
\square (1) Broker-dealer (registered or unregistered)			
\square (2) Bank (including a separately identifiable of	lepartment or divisi	on of a bank)		
\square (3) Insurance broker or agent				
\square (4) Commodity pool operator or commodity t	rading advisor (whe	ether registered or exempt fror	n registration)	
\square (5) Registered municipal advisor				
\square (6) Accountant or accounting firm				
(7) Lawyer or law firm				
Describe any other <i>investment-related</i> business	activities conducted	d from this office location:		

SECTION 1.1. Website Addresses

List your website addresses, including addresses for accounts on publicly available social media platforms where you control the content (including, but not limited to, Twitter, Facebook and/or LinkedIn). You must complete a separate Schedule D Section 1.1. for each website or account on a publicly available social media platform.

Address of Website/Account on Publicly Available Social Media Platform: HTTP://WWW.LMRPARTNERS.COM

State:

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: LMR PARTNERS LLP

Number and Street 1: 9TH FLOOR City: LONDON

Number and Street 2: DEVONSHIRE HOUSE Country: United Kingdom

ZIP+4/Postal Code: W1J 8AJ

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

Telephone Number: 442076641700

Facsimile number, if any:

This is (check one): ⊙ one of your branch offices or affiliates.

O a third-party unaffiliated recordkeeper.

o other.

Briefly describe the books and records kept at this location.

AS CO-MANAGER OF THE FUND AND AFFILIATE OF LMR PARTNERS LLC, LMR PARTNERS LLP MAY MAINTAIN CERTAIN BOOKS AND RECORDS RELATING TO CLIENT FUNDS.

Name of entity where books and records are kept:

CITCO FUND ADMINISTRATION (CAYMAN ISLANDS) LIMITED Number and Street 1: Number and Street 2: 89 NEXUS WAY, 2ND FLOOR CAMANA BAY, PO BOX 31106 Citv: State: Country: ZIP+4/Postal Code: **GRAND CAYMAN** Cayman Islands KY1-1205 If this address is a private residence, check this box: Telephone Number: Facsimile number, if any: 13459493877

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 location. AS FUND ADMINISTRATOR, CITCO FUND ADMINISTRATION (CAYMAN ISLANDS) LIMITED MAY MAINTAIN CERTAIN BOOKS AND RECORDS RELATING TO CLIENTS' FUNDS.

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

No Information Filed

Item 2 SEC Registration/Reporting

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

A. To register (or remain registered) with the SEC, you must check **at least one** of the Items 2.A.(1) through 2.A.(12), below. If you are submitting an *annual updating amendment* to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A.(13). Part 1A Instruction 2 provides information to help you determine whether you may affirmatively respond to each of these items. You (the adviser):

☑ (1) are a large advisory firm that either:

- (a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or
- (b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent *annual updating amendment* and is registered with the SEC;
- (2) are a **mid-sized advisory firm** that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:
 - (a) not required to be registered as an adviser with the *state securities authority* of the state where you maintain your *principal office and place of business*; or
 - (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business;

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

(3) Reserved

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

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

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

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

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

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

(11) are an Internet adviser relying on rule 203A-2(e);

If you check this box, complete Section 2.A. (11) of Schedule D.

 \square (12) have **received an SEC order** exempting you from the prohibition against registration with the SEC;

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

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

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

C. Under state laws, SEC-registered advisers may be required to provide to *state securities authorities* a copy of the Form ADV and any amendments they file with the SEC. These are called *notice filings*. In addition, *exempt reporting advisers* may be required to provide *state securities authorities* with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your *notice filings* or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this 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

AL		NE	□ sc
C AK		NV	🗖 SD
AZ	🗖 IA	🗖 NH	🗖 TN
AR	П кs	🗖 NJ	₩ _{TX}
CA	П _{KY}	NM	🗖 UT
🗖 со		NY	🗖 VT
🗖 ст	n Me	NC	
DE DE	nd MD	ND	NA
DC DC	□ _{MA}	🗖 он	🗖 wa
🗖 FL	П _{MI}	🗖 ок	□ wv
GA GA	n MN	C OR	🗖 wi
🗖 GU	n MS	PA	□ WY
Пні	П мо	PR	
D ID	nt MT	RI	

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

SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you *control*, are *controlled* by, or are under common *control* with an investment adviser that is registered with the SEC and your *principal office and place of business* is the same as that of the registered adviser, provide the following information:

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser

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

If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations. You must make both of these representations:

- I am not registered or required to be registered with the SEC or a state securities authority and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.
- I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.

If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.

If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:

- I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the state securities authorities in those states.
- I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the state securities authorities of those states.

If you are submitting your annual updating amendment, you must make this representation:

Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the *state securities authorities* in those states.

SECTION 2.A.(11) Internet Adviser

If you are relying on rule 203A-2(e), the Internet adviser exemption from the prohibition on registration, you are required to make a representation about your eligibility for SEC registration. By checking the appropriate box, you will be deemed to have made the required representation.

If you are applying for registration as an investment adviser with the SEC or changing your existing Item 2 response regarding your eligibility for SEC registration, you must make this representation:

I will provide investment advice on an ongoing basis to more than one client exclusively through an operational interactive website.

If you are filing an annual updating amendment to your existing registration and are continuing to rely on the Internet adviser exemption for SEC registration, you must make this representation:

I have provided and will continue to provide investment advice on an ongoing basis to more than one client exclusively through an operational interactive website.

SECTION 2.A.(12) SEC Exemptive Order

If you are relying upon an SEC order exempting you from the prohibition on registration, provide the following information:

Application Number:

803-

Date of order:

Item 3 Form of Organization

If you are filing an umbrella registration, the information in Item 3 should be provided for the filing adviser only

- A. How are you organized?
 - Corporation
 - Sole Proprietorship
 - C Limited Liability Partnership (LLP)
 - O Partnership
 - Limited Liability Company (LLC)
 - C Limited Partnership (LP)
 - O Other (specify):

If you are changing your response to this Item, see Part 1A Instruction 4.

- B. In what month does your fiscal year end each year? DECEMBER
- C. Under the laws of what state or country are you organized?
 State Country
 Delaware United States

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

If you are changing your response to this Item, see Part 1A Instruction 4.

Yes No Are you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your 0 \odot 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. Date of Succession: (MM/DD/YYYY) If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4. **SECTION 4 Successions** No Information Filed Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation Responses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5. Employees If you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B. (1), (2), (3), (4), and (5). If an employee performs more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

- A. Approximately how many employees do you have? Include full- and part-time employees but do not include any clerical workers. 67
- В. (1) Approximately how many of the *employees* reported in 5.A. perform investment advisory functions (including research)? 43
 - (2) Approximately how many of the employees reported in 5.A. are registered representatives of a broker-dealer?
 - Approximately how many of the employees reported in 5.A. are registered with one or more state securities authorities as investment adviser (3) representatives?

0

0

В.

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

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

In your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.

Clients

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

- C. (1) To approximately how many clients for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?
 - (2) Approximately what percentage of your clients are non-United States persons? 100%
- D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.

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

Indicate the approximate number of your clients and amount of your total regulatory assets under management (reported in Item 5.F. below)

attributable to each of the following type of *client*. If you have fewer than 5 *clients* in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

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

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

Type of <i>Client</i>	(1) Number of <i>Client(s)</i>	(2) Fewer than 5 <i>Clients</i>	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than high net worth individuals)			\$
(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)	6		\$ 148,504,748,094
(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)			\$
(j) Other investment advisers			\$
(k) Insurance companies			\$
(I) Sovereign wealth funds and foreign official institutions			\$
(m) Corporations or other businesses not listed above			\$
(n) Other:			\$

Compensation Arrangements

E. You are compensated for your investment advisory services by (check all that apply):

- ☑ (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
- ☑ (7) Other (specify): REIMBURSEMENT OF EXPENSES

Item 5	Information About Your Advisory Business	- Reg	gulatory Assets Under Management				
Regula	tory Assets Under Management						
						Yes N	١o
F. (1)	Do you provide continuous and regular sup	erviso	bry or management services to securities	s portfolio	os?	\odot	0
(2)	If yes, what is the amount of your regulato	ry as	sets under management and total numb	er of acco	punts?		
			U.S. Dollar Amount		Total Number of Accounts		
	Discretionary:	(a)	\$ 148,504,748,094	(d)	6		
	Non-Discretionary:	(b)	\$ O	(e)	0		
	Total:	(C)	\$ 148,504,748,094	(f)	6		

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-*United States persons*?

\$ 148,504,748,094

Item 5 Information About Your Advisory Business - Advisory Activities

Advisory Activities

G.

What type(s) of advisory services do you provide? Check all that apply.

- (1) Financial planning services
- (2) 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)

- V (4) Portfolio management for pooled investment vehicles (other than investment companies)
- Portfolio management for businesses (other than small businesses) or institutional clients (other than registered investment companies and (5) other pooled investment vehicles)
- (6) Pension consulting services
- (7) Selection of other advisers (including *private fund* managers)
- (8) Publication of periodicals or newsletters
- (9) Security ratings or pricing services
- Γ (10) Market timing services
- \square (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? Η.

0 0

- 0 1 10
- o 11 25
- 26 50 \circ
- o 51 100
- 101 250 0
- 251 500 \circ
- More than 500 \circ
- If more than 500, how many? (round to the nearest 500)

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

Ι.	(1) Do you participate in a <i>wrap fee program</i> ?		No
1.	(2) If you participate in a <i>wrap fee program</i>, what is the amount of your regulatory assets under management attributable to acting as:	0	o
	(a) sponsor to a wrap fee program \$		
	 (b) portfolio manager for a <i>wrap fee program</i>? \$ 		
	(c) <i>sponsor</i> to and portfolio manager for the same <i>wrap fee program</i> ? \$		
	If you report an amount in Item 5.1.(2)(c), do not report that amount in Item 5.1.(2)(a) or Item 5.1.(2)(b).		
	If you are a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in Section 5.1.(2) of Sch	nedule	D.
	If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered wrap fee program, do not check Item 5.I.(1) or enter any amounts in response to Item 5.I.(2).	throug	gh a
		Yes	No
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?	0	$oldsymbol{\circ}$
	(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	\odot
K.	Separately Managed Account Clients		
		Yes	No
	(1) Do you have regulatory assets under management attributable to <i>clients</i> other than those listed in Item 5.D.(3)(d)-(f) (separately managed account <i>clients</i>)?	0	\odot
	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	\odot
	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	\odot

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? If yes, complete Section 5.K.(3) of Schedule D for each custodian. 	0	©
L.	Marketing Activities		
	(1) Do any of your <i>advertisements</i> include:	Yes	No
	(a) Performance results?	o	0
	(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	0	\odot
	(c) Testimonials (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	\odot
	(d) Endorsements (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	0	\odot
	(e) Third-party ratings?	0	\odot
	(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	0	0
	(3) Do any of your advertisements include hypothetical performance?	0	\odot
	(4) Do any of your advertisements include predecessor performance?	0	\odot

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.

(a)	Ass	et Type	Mid-year	End of year
	(i) Exchange-Traded Equity Securities		%	%
	(ii)	Non Exchange-Traded Equity Securities	%	%
	(iii)	U.S. Government/Agency Bonds	%	%
	(iv)	U.S. State and Local Bonds	%	%
	(v)	Sovereign Bonds	%	%

(vi)	Investment Grade Corporate Bonds	%	%
(∨ii)	Non-Investment Grade Corporate Bonds	%	%
(∨iii)	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"

o) Ass	et Type	End of year		
(i)	(i) Exchange-Traded Equity Securities			
(ii)	(ii) Non Exchange-Traded Equity Securities			
(iii)	U.S. Government/Agency Bonds	%		
(i∨)	U.S. State and Local Bonds	%		
(v)	Sovereign Bonds	%		
(vi)	Investment Grade Corporate Bonds	%		
(vii)	Non-Investment Grade Corporate Bonds	%		
(vii) 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"

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

 \square 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 E	xposures		
			(a) Interest Rate Derivative	(b) Foreign Exchange 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 E	xposures		
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative		(e) Commodity Derivative	(f) Other Derivative
Less than 10%	\$	\$	%	%	%	%	%	%
10-149%	\$	\$	%	%	%	%	%	%
150% or more	\$	\$	%	%	%	%	%	%

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

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

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

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

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

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

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10%	\$	\$
10-149%	\$	\$
150% or more	\$	\$

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.

SECTION 5.K.(3) Custodians for Separately Managed Accounts

No Information Filed

Item 6 Other Business Activities

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

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

- \Box (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
- \square (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.

 Yes
 No

 B.
 (1)
 Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?
 0
 0

 (2)
 If yes, is this other business your primary business?
 0
 0

 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
 0

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*.

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

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

- (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)
- (2) other investment adviser (including financial planners)
- □ (3) registered municipal advisor
- □ (4) registered security-based swap dealer
- \Box (5) major security-based swap participant
- (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- \Box (7) futures commission merchant
- \Box (8) banking or thrift institution
- (9) trust company
- \square (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.

SECTION	7 A	Einancial	Industry	Affiliations
SECTION	7.A.	FILIALICIAL	maustry	Annations

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

- 1. Legal Name of *Related Person*: LMR PARTNERS (IRELAND) LIMITED
- 2. Primary Business Name of *Related Person*: LMR PARTNERS (IRELAND) LIMITED
- 3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

or Oth

Other

- 4. Related Person's
 - (a) *CRD* Number (if any): 331291
 - (b) CIK Number(s) (if any):

No Information Filed

- 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)
 C 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

6

- (n) 🗖 real estate broker or dealer
- (o) C sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (p) 🗖 sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

	Do y	ou <i>con</i>	<i>trol</i> or	are	you	controlled	by	the	related	person
--	------	---------------	----------------	-----	-----	------------	----	-----	---------	--------

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*?

(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 *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)	If you have answered "yes	s" to question 8.(a) above, provide the	ne location of the <i>related pe</i>	erson'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: 🗖		

Yes No

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0

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0

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			Yes	No	
Э.	(a)	If the related person is an investment adviser, is it exempt from registration?	\odot	\circ	
	(h)	If the answer is ves under what exemption?			

(b) If the answer is yes, under what exemption? EXEMPT REPORTING ADVISER

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.

 Name of Country/English Name of Foreign Financial Regulatory Authority

		Ireland - Central Bank of Ireland		
11.	Do y	ou and the related person share any supervised persons?	•	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	•
1.	•	al Name of <i>Related Person:</i> PARTNERS (DIFC) LIMITED		
2.		ary Business Name of <i>Related Person</i> : PARTNERS (DIFC) LIMITED		
3.		<i>ted Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 127135		
	or Othe	er		
4.	<i>Rela</i> (a)	ted Person's CRD Number (if any): 324092		
	(b)	CIK Number(s) (if any): No Information Filed		
5.	 (a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (n) 	 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 	Yes	No
		you control or are you controlled by the related person?	0	0
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	0	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	\odot
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i> ' funds or securities that are maintained at the <i>related person</i> ?	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> Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	asse	ets:
		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
	(b)	If the answer is yes, under what exemption? EXEMPT REPORTING ADVISER		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	o	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 register Name of Country/English Name of Foreign Financial Regulatory Authority		
		Dubai - Dubai Financial Services Authority		
11.	Do y	you and the related person share any supervised persons?	\odot	0

	egal Name of <i>Related Person</i> : MR PARTNERS LLP	
	rimary Business Name of <i>Related Person:</i> MR PARTNERS LLP	
	<i>elated Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 02 - 75041 r ther	
4.	elated Person's a) CRD Number (if any): 159639	
	b) CIK Number(s) (if any): No Information Filed	
	elated 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 registered security-based swap dealer major security-based swap participant c) major security-based swap participant o commodity pool operator or commodity trading advisor (whether registered or exempt from registration) g) futures commission merchant b banking or thrift institution countant or accounting firm countant or accounting firm insurance 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	Yes No
	o you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	00
7.	re you and the <i>related person</i> under common <i>control</i> ?	© 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>client</i>? Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: 	OOO
0		Yes No
9.	 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? EXEMPT REPORTING ADVISER 	00
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 reg Name of Country/English Name of Foreign Financial Regulatory Authority United Kingdom - Financial Conduct Authority 	O o
11.	o you and the <i>related person</i> share any <i>supervised persons</i> ?	• •
12.	o you and the <i>related person</i> share the same physical location?	00

1.	0	al Name of <i>Related Person</i> : PARTNERS LIMITED		
2.		nary Business Name of <i>Related Person:</i> PARTNERS LIMITED		
3.		<i>ited Person's</i> SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 107179		
	or Othe	er		
4.		nted Person's CRD Number (if any): 282637		
	(b)	CIK Number(s) (if any): No Information Filed		
5.		ted Person is: (check all that apply)		
	(a) (b)	 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		
	(e) (f)	 major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 		
	(f) (g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(j) (k)	 accountant or accounting firm lawyer or law firm 		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(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 		
	(P)		Yes	s No
6.	Do ን	you control or are you controlled by the related person?	0	\odot
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	O	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	\odot
	(b)	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>client</i> . Number and Street 1: Number and Street 2:	s'ass	ets:
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Yes	
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? EXEMPT REPORTING ADVISER	Ĩ	~
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	o	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 regist	ered.	
		Name of Country/English Name of Foreign Financial Regulatory Authority		
11.	Do y	Hong Kong - Securities and Futures Commission you and the <i>related person</i> share any <i>supervised persons</i> ?	0	0
12	Ποι	you and the <i>related person</i> share the same physical location?	_	
ı∠.	503		0	\odot
1.	-	al Name of <i>Related Person</i> : PARTNERS AG		

	(b)	CIK Number(s) (if any): No Information Filed		
5.	 (a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) 	 real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 	Yes	Νο
6.	Do ک	you control or are you controlled by the related person?	0	o
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	\odot	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	\odot
	(b) (c)	If you are 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> Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:	O asse	O ets:
		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? EXEMPT REPORTING ADVISER		
10.	(a) (b)	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. Name of Country/English Name of Foreign Financial Regulatory Authority	€ ered.	0
	-	Switzerland - Swiss Financial Market Supervisory Authority		
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?	0	\odot
Iter	n 7 <i>F</i>	Private Fund Reporting		
			Yes	No
B. A	Are y	ou an adviser to any <i>private fund</i> ?	$oldsymbol{\circ}$	0

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

instead, complete Section 7.B.(2) of Schedule D.

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 Pag	ge: 15 💌 Total Funds: 3
PRIV	ATE FUND	
form	ation About the Private Fund	
(a) Name of the <i>private fund</i> :	
	LMR ALPHA RATES TRADING MASTER FUND LIMITED	
(b) Private fund identification number:	
	(include the "805-" prefix also)	
	805-5465083178	
Lir	nder the laws of what state or country is the <i>private fund</i> organize	zed.
01	State: Country:	
	Cayman Islands	
(a) Name(s) of General Partner, Manager, Trustee, or Directors (or	r <i>persons</i> serving in a similar capacity):
N	ame of General Partner, Manager, Trustee, or Director	
D	ANNY MITCHELL - DIRECTOR	
N	IARK EBERLE - DIRECTOR	
P	EARSE GRIFFITH - DIRECTOR	
L	MR PARTNERS LLC	
T٢	ne <i>private fund</i> (check all that apply; you must check at least one):):
Γ		company under section 3(c)(1) of the Investment Company Act of 1940
V		company under section 3(c)(7) of the Investment Company Act of 1940
Li	st the name and country, in English, of each foreign financial regula	latory authority with which the private fund is registered.
N	ame of Country/English Name of Foreign Financial Regulatory	ry Authority
С	ayman Islands - Cayman Islands Monetary Authority	
		Ye
(a) Is this a "master fund" in a master-feeder arrangement?	c
(b) If yes, what is the name and <i>private fund</i> identification number	(if any) of the feeder funds investing in this private fund?
N	lame of <i>private fund</i>	Private fund identification number
L	MR ALPHA RATES TRADING FUND LIMITED	805-5562273471
		Ye
(C) Is this a "feeder fund" in a master-feeder arrangement?	C
	I) If yes, what is the name and <i>private fund</i> identification number	(if any) of the master fund in which this <i>private fund</i> invests?
(a	Name of <i>private fund</i> :	
(a		
(a	Private fund identification number:	

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.

dditional	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 the feeder funds answer the following questions:
(a)	Name of the <i>private fund</i> :
	LMR ALPHA RATES TRADING FUND LIMITED
(b)	Private fund identification number:
	(include the "805-" prefix also)
	805-5562273471
(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
	DANNY MITCHELL
	MARK EBERLE
	PEARSE GRIFFITH
(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
	LMR PARTNERS LLC
(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 1940
	 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act 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. (a) Is this *private fund* a "fund of funds"?
 NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, regardless of whether they are also *private funds* or registered investment companies.
 (b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?
- 9. During your last fiscal year, did the *private fund* invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?

10. What type of fund is the private fund?

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

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*:\$ 4,038,011,864

<u>Ow</u>	ners	ship				
12.		imum investment commitment required of an investor in the <i>private fund</i> : 00,000				
		TE: Report the amount routinely required of investors who are not your <i>related po</i> anizational documents of the fund).	ersons (even if different fro	m the amount set forth in	the	
13.	App 224	proximate number of the <i>private fund's</i> beneficial owners: 4				
14.	Wh 6%	at is the approximate percentage of the <i>private fund</i> beneficially owned by you an	nd your <i>related persons</i> :			
15.	(a) 299	What is the approximate percentage of the <i>private fund</i> beneficially owned (in th %	ne aggregate) by funds of f	funds:	X	
	(b)	If the private fund qualifies for the exclusion from the definition of investment co Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	mpany under section 3(c)(1) of the Investment	Yes Õ	Õ
16.	Wh 789	at is the approximate percentage of the <i>private fund</i> beneficially owned by non- \mathcal{L} %	nited States persons:			
<u>Yo</u>	ır Ac	dvisory Services				
4 7					Yes	No
17.		Are you a subadviser to this <i>private fund</i> ? If the answer to question 17.(a) is "yes," provide the name and SEC file number question 17.(a) is "no," leave this question blank.	, if any, of the adviser of th	ne <i>private fund</i> . If the answ	C ver to	©
		No Information Fil	ed			
					Yes	No
18.	(a)	Do any investment advisers (other than the investment advisers listed in Section	7.B.(1).A.3.(b)) advise the	e private fund?	\odot	0
	(b)	If the answer to question 18.(a) is "yes," provide the name and SEC file number to question 18.(a) is "no," leave this question blank.	, if any, of the other advise	ers to the <i>private fund</i> . If the	ne answ	er
		Name of Other Adviser to private fund	SEC file number	CRD number		
		LMR PARTNERS (DIFC) LIMITED	802-127135	324092		
		LMR PARTNERS AG	802-122389 802-107179	316468 282637		
		LMR PARTNERS LIVITED	802-75041	159639		
			002-73041	13,037		
10	A 15 0	very diasta adjusted to invest in the private fund			Yes	_
19.		your <i>clients</i> solicited to invest in the <i>private fund</i> ?			0	\odot
	NO	TE: For purposes of this question, do not consider feeder funds of the private fund.				
20.	App 0%	proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?				
<u>Priv</u>		Offering				
21.	Has	s the <i>private fund</i> ever relied on an exemption from registration of its securities u	nder Regulation D of the Se	ecurities Act of 1933?	Yes ©	No O
22.	lf y	res, provide the <i>private fund's</i> Form D file number (if any):				
	Fo	rm D file number				
	02	1-179777				
B. S	ERVI	CE PROVIDERS				
<u>Auc</u>	litor	<u>s</u>			Yes	N1-
23.	(a)	(1) Are the private fund's financial statements subject to an annual audit?			ves ©	NO O

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

• •

Addi	tional Auditor Information : 1 Record(s) Filed.		
	he 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 liting firm, you must complete questions (b) through (f) separately for each auditing firm.		
(b)	Name of the auditing firm: KPMG		
(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:		
	GRAND CAYMAN Cayman Islands		
(d)	Is the auditing firm an independent public accountant?	Yes ©	5
(e)	Is the auditing firm registered with the Public Company Accounting Oversight Board?	©	
	If yes, Public Company Accounting Oversight Board-Assigned Number: 1323		
(f)	If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	۲	
		Y	e
Are tl	ne private fund's audited financial statements for the most recently completed fiscal year distributed to the private fund's		
Are tl inves	ne <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i> tors?	•	0
inves			
inves Do al	tors? I of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified		
inves Do al O Ye	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified es ^O No ^O Report Not Yet Received	opini	0
inves Do al O Ye	tors? I of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified	opini	0
inves Do al O Ye If you	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified es O No O Report Not Yet Received In check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	opini	0
inves Do al O Ye If you	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified es O No O Report Not Yet Received In check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	opini	о а
inves Do al Ο γε If you roker	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified es O No O Report Not Yet Received In check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	opini t is ava	o
inves Do al If you roker Does If the	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received In check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	opini t <i>is ava</i> Y	0 a
inves Do al O Ye If you roker Does If the fund	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received <i>a check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report</i> 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	opini t <i>is ava</i> Y	0 a
inves Do al If you roker Does If the fund Addi	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received <i>i check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report</i> 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	opini t is ava Y the p	e •
inves Do al If you roker Does If the fund Addi	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received <i>i check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report</i> 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 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.	opini t is ava Y the p	o aı e
inves Do al Ye If you Does If the fund Addi If t priv (b)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received in check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 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. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	opini t is ava Y the p	o a ri
inves Do al Ye If you Does If the fund Addi If t priv (b)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received <i>i check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report</i> 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 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. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED)	opini t is ava Y the p	
inves Do al If you Does If the fund Addi If t priv (b) (c)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified as O No O Report Not Yet Received <i>i check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report</i> 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 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. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED) If the prime broker is registered with the SEC, its registration number:	opini t is ava Y the p	o a ri
inves Do al If you roker Does If the fund Addi If t priv (b) (c)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified is O No O Report Not Yet Received 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 Record(s) Filed. he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. 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 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 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 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 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 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: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED) If the prime broker is registered with the SEC, its registration number: CRD Number (if any):	opini t is ava Y the p	o aı e
inves Do al Ye If you Does If the fund Addi If t priv (b) (c)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified is O No O Report Not Yet Received is check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 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. answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. are fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED) 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):	opini t <i>is av</i> Y the <i>p</i>	e e r
inves Do al If you Does If the fund Addi If t priv (b) (c) (d)	tors? I of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified is 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 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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 8 Record(s) Filed. he answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED) 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:	opini t is ava Y the p	

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 th *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b)	Name of the prime broker: BARCLAYS 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: State: Country:		
	LONDON United Kingdom		
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	Yes	C
	ne answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Pate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
(b)	Name of the prime broker: BNP PARIBAS, LONDON 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: LONDON United Kingdom		
		Yes	s No
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	o	С
	ne answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>rate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
·	Name of the prime broker:		
	CITIGROUP GLOBAL MARKETS INC.		
	If the prime broker is registered with the SEC, its registration pumber.		
(C)	If the prime broker is registered with the SEC, its registration number: 8 - 8177		
	CRD Number (if any):		
	7059		
(d)	Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):		
	City:State:Country:NEW YORKNew YorkUnited States		
		Yes	s No
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	\odot	С
	ne answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. Pate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
(b)	Name of the prime broker: MERRILL LYNCH PROFESSIONAL CLEARING CORP.		
(c)	If the prime broker is registered with the SEC, its registration number: 8 - 33359		
	CRD Number (if any):		

16139

(d)	Location of prime broker	s office used principally by the	private fund (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
		New TOTK	office states	Yes No
(e)	Does this prime broker a	ct as custodian for some or all o	of the <i>private fund's</i> assets?	• C
	•		ons (b) through (e) below for each prime broker the <i>priva</i> nplete questions (b) through (e) separately for each prim	
(b)	Name of the prime broke MORGAN STANLEY AND C			
(c)	If the prime broker is reg	gistered with the SEC, its registi	ration number:	
	CRD Number (if any):			
(d)	Location of prime broker' City:	's office used principally by the , State:	<i>private fund</i> (city, state and country): Country:	
	LONDON		United Kingdom	
(o)	Doos this primo brokor a	ct as custodian for some or all o	of the private fund's assots?	Yes No
(e)				• C
	- CRD Number (if any):	gistered with the SEC, its registing 's office used principally by the , State:	ration number: <i>private fund</i> (city, state and country): Country:	
	LONDON		United Kingdom	
(e)	Does this prime broker a	ct as custodian for some or all (of the private fund's assets?	Yes No © C
(-)				• C
			ons (b) through (e) below for each prime broker the <i>priva</i> nplete questions (b) through (e) separately for each prim	
(b)	Name of the prime broke UBS AG (LONDON BRANC			
(c)	If the prime broker is reg	gistered with the SEC, its registi	ration number:	
	CRD Number (if any):			
(d)	·	s office used principally by the	private fund (city, state and country):	
	City: LONDON	State:	Country: United Kingdom	
				Yes No
(e)	Does this prime broker a	ct as custodian for some or all o	of the private fund's assets?	• •

Custodian

ddi	tional Custodian Informatio	n : 8 Record(s) Filed.		
			b) through g) below for each custodian the <i>private fund</i> uses. Is (b) through (g) separately for each custodian.	If the private
(b)	Legal name of custodian: BANK OF AMERICA SECURIT	IES, INC. (FORMERLY MERRILL LY	NCH, PIERCE, FENNER & SMITH INCORPORATED)	
(c)	Primary business name of cl BANK OF AMERICA SECURIT		NCH, PIERCE, FENNER & SMITH INCORPORATED)	
(d)			of the <i>private fund's</i> assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
				Yes
(e)	Is the custodian a related pe	erson of your firm?		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 bro <i>identifier</i> (if any) EYKN6VOZCB8VD9IULB80	ker-dealer, or is a broker-dealer	but does not have an SEC registration number, provide its <i>le</i>	gal entity
If th	<i>identifier</i> (if any) EYKN6V0ZCB8VD9IULB80 ne answer to question 25.(a) d uses more than one custod	is "yes," respond to questions (but does not have an SEC registration number, provide its <i>le</i> b) through g) below for each custodian the <i>private fund</i> uses. is (b) through (g) separately for each custodian.	
If th	<i>identifier</i> (if any) EYKN6V0ZCB8VD9IULB80 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 th fund (b)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian:	is "yes," respond to questions (lian, you must complete question	b) through g) below for each custodian the <i>private fund</i> uses.	
If th fund (b) (c)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC	is "yes," respond to questions (lian, you must complete question ustodian:	b) through g) below for each custodian the <i>private fund</i> uses.	
If th fund (b) (c)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC The location of the custodia City:	is "yes," respond to questions (lian, you must complete question ustodian:	b) through g) below for each custodian the <i>private fund</i> uses. is (b) through (g) separately for each custodian. of the <i>private fund's</i> assets (city, state and country): Country:	
If th fund (b) (c)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC The location of the custodia	is "yes," respond to questions (lian, you must complete question ustodian: n's office responsible for <i>custody</i>	b) through g) below for each custodian the <i>private fund</i> uses. Is (b) through (g) separately for each custodian.	If the <i>priva</i>
If th fund (b) (c) (d)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC The location of the custodia City:	is "yes," respond to questions (lian, you must complete question ustodian: n's office responsible for <i>custody</i> State:	b) through g) below for each custodian the <i>private fund</i> uses. is (b) through (g) separately for each custodian. of the <i>private fund's</i> assets (city, state and country): Country:	If the <i>priva</i>
If th fund (b) (c) (d) (e)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC The location of the custodia City: LONDON Is the custodian a <i>related pe</i>	is "yes," respond to questions (lian, you must complete question ustodian: n's office responsible for <i>custody</i> State:	b) through g) below for each custodian the <i>private fund</i> uses. is (b) through (g) separately for each custodian. of the <i>private fund's</i> assets (city, state and country): Country: United Kingdom	If the <i>priva</i>
If th fund (b) (c) (d) (e)	identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) d uses more than one custod Legal name of custodian: BARCLAYS BANK PLC Primary business name of cu BARCLAYS BANK PLC The location of the custodia City: LONDON Is the custodian a <i>related pe</i>	is "yes," respond to questions (lian, you must complete question ustodian: n's office responsible for <i>custody</i> State: <i>erson</i> of your firm?	b) through g) below for each custodian the <i>private fund</i> uses. is (b) through (g) separately for each custodian. of the <i>private fund's</i> assets (city, state and country): Country: United Kingdom	If the <i>priva</i>

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

If the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund uses. If the private

(b) Legal name of custodian: CITIGROUP GLOBAL MARKETS II	INC.		
(c) Primary business name of custo CITIGROUP GLOBAL MARKETS II			
(d) The location of the custodian's	office responsible for <i>custody</i> o	of the <i>private fund's</i> assets (city, state and co	ountry):
City: NEW YORK	State: New York	Country: United States	
NEW TORK	New TOIK	United States	Yes No
(e) Is the custodian a related perso	<i>on</i> of your firm?		○ ⊙
(f) If the custodian is a broker-dea 8 - 8177	aler, provide its SEC registration	ו number (if any):	
CRD Number (if any): 7059			
identifier (if any)	r-dealer, or is a broker-dealer b	out does not have an SEC registration numbe	er, provide its <i>legal entity</i>
MBNUM2BPBDO7JBLYG310			
) through g) below for each custodian the p (b) through (g) separately for each custodia	
(b) Legal name of custodian: MERRILL LYNCH PROFESSIONAL	L CLEARING CORP.		
(c) Primary business name of custo MERRILL LYNCH PROFESSIONAL			
		of the <i>private fund's</i> assets (city, state and co	puntry):
City: NEW YORK	State: New York	Country: United States	
			Yes No
(e) Is the custodian a <i>related perso</i>	<i>on</i> of your firm?		00
(f) If the custodian is a broker-dea 8 - 33359	aler, provide its SEC registration	ו number (if any):	
CRD Number (if any): 16139			
	r-dealer or is a broker-dealer b	out does not have an SEC registration numbe	er, provide its <i>legal entity</i>
CRD Number (if any):	r-dealer, or is a broker-dealer b	but does not have an SEC registration numbe	er, provide its <i>legal entity</i>

(e) Is the custodian a r	related person of your firm?			0 0
(f) If the custodian is a	broker-dealer, provide its SEC r	egistration number (if any)):	
- CRD Number (if any)):			
g) If the custodian is r <i>identifier</i> (if any) 4PQUHN3JPFGFNF3		er-dealer but does not have	e an SEC registration number, provide its	s legal entity
•	on 25.(a) is "yes," respond to qu e custodian, you must complete		ow for each custodian the <i>private fund</i> us separately for each custodian.	es. If the <i>private</i>
b) Legal name of custo SOCIETE GENERALE	odian: INTERNATIONAL LIMITED			
c) Primary business na SOCIETE GENERALE	ame of custodian: INTERNATIONAL LIMITED			
d) The location of the City: LONDON	custodian's office responsible for State:	<i>custody</i> of the <i>private func</i> Country: United Kingdo	d's assets (city, state and country): m	
(e) Is the custodian a r	related person of your firm?			Yes N
f) If the custodian is a	broker-dealer, provide its SEC r	egistration number (if any)):	
- CRD Number (if any)):			
(g) If the custodian is r <i>identifier</i> (if any) OIKLU6X1B10WK7X		er-dealer but does not have	e an SEC registration number, provide its	; legal entity
b) Legal name of custo	e custodian, you must complete		ow for each custodian the <i>private fund</i> us separately for each custodian.	es. If the <i>private</i>
c) Primary business na STATE STREET BANK	ame of custodian: CAND TRUST COMPANY			
(d) The location of the City: BOSTON	custodian's office responsible for State: Massachusetts	custody of the private fund	d's assets (city, state and country): Country: United States	Yes N
e) Is the custodian a r	related person of your firm?			O G
f) If the custodian is a	broker-dealer, provide its SEC r	egistration number (if any)):	
- CRD Number (if any)):			
(g) If the custodian is r <i>identifier</i> (if any) 571474TGEMMWAN		er-dealer but does not have	e an SEC registration number, provide its	s legal entity

(b) Legal name of					
UBS AG (LOND)	ON BRANCH)				
(c) Primary busine UBS AG (LONDO	ss name of custodian: DN BRANCH)				
	the custodian's office response	sible for <i>custody</i> of		ets (city, state and co	untry):
City: LONDON	State:		Country: United Kingdom		
(e) Is the custodia	n a <i>related person</i> of your firm	1?			
(f) If the custodiar	n is a broker-dealer, provide it	ts SEC registration	number (if any):		
CRD Number (if	any):				
<i>identifier</i> (if any		a broker-dealer bu	t does not have an SE	C registration numbe	r, provide its <i>legal enti</i>
BFM8T61CT2L1	QCEMIK50				
	use an administrator other th	nan your firm?			
Does the <i>private fund</i> f the answer to ques	use an administrator other th tion 26.(a) is "yes," respond ons (b) through (f) separately	to questions (b) thr	-	e <i>private fund</i> uses mo	ore than one administra
Does the <i>private fund</i> If the answer to ques must complete quest	tion 26.(a) is "yes," respond	to questions (b) thi y for each administi	-	e <i>private fund</i> uses mo	ore than one administra
Does the <i>private fund</i> If the answer to ques must complete quest Additional Administ	tion 26.(a) is "yes," respond ons (b) through (f) separately	to questions (b) the y for each administr I(s) Filed .	rator. through (f) below. If t	he <i>private fund</i> uses r	
Does the <i>private fund</i> If the answer to ques must complete quest Additional Administ If the answer to qu	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b)	to questions (b) the y for each administr I(s) Filed .	rator. through (f) below. If t	he <i>private fund</i> uses r	
Does the <i>private fund</i> If the answer to ques must complete quest Additional Administ If the answer to qu administrator, you (b) Name of admin	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b)	to questions (b) this y for each administr d(s) Filed. Ind to questions (b) the through (f) separat	rator. through (f) below. If t	he <i>private fund</i> uses r	
Does the <i>private fund</i> If the answer to quest must complete quest Additional Administ If the answer to qu administrator, you (b) Name of admin CITCO FUND AD	tion 26.(a) is "yes," respond ons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b) istrator:	to questions (b) this y for each administr d(s) Filed. Ind to questions (b) the through (f) separat ANDS) LIMITED	rator. through (f) below. If t	he <i>private fund</i> uses r	
If the answer to quest must complete quest Additional Administ If the answer to que administrator, you (b) Name of admin CITCO FUND AD (c) Location of admin City:	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b) istrator: DMINISTRATION (CAYMAN ISLA ninistrator (city, state and cou	to questions (b) this y for each administr d(s) Filed. Ind to questions (b) the through (f) separat ANDS) LIMITED	rator. through (f) below. If t ely for each administr Country:	he <i>private fund</i> uses r ator.	
Does the <i>private fund</i> If the answer to quest Additional Administ If the answer to qu administrator, you (b) Name of admin CITCO FUND AD	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b) istrator: DMINISTRATION (CAYMAN ISLA ninistrator (city, state and cou	to questions (b) thi y for each administr I(s) Filed . Ind to questions (b) the through (f) separat ANDS) LIMITED	rator. through (f) below. If t ely for each administr	he <i>private fund</i> uses r ator.	
Does the <i>private fund</i> If the answer to quest Additional Administ If the answer to que administrator, you (b) Name of admin CITCO FUND AD (c) Location of adm City: GRAND CAYMAN	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b) istrator: DMINISTRATION (CAYMAN ISLA ninistrator (city, state and cou	to questions (b) this y for each administration d(s) Filed. Ind to questions (b) the through (f) separate ANDS) LIMITED untry): State:	rator. through (f) below. If t ely for each administr Country:	he <i>private fund</i> uses r ator.	more than one
Does the <i>private fund</i> If the answer to quest Additional Administ If the answer to que administrator, you (b) Name of admin CITCO FUND AE (c) Location of adm City: GRAND CAYMAN (d) Is the administ	tion 26.(a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26.(a) is "yes," respon must complete questions (b) istrator: DMINISTRATION (CAYMAN ISLA hinistrator (city, state and cou	to questions (b) this y for each administration (s) Filed. (d) to questions (b) the through (f) separate (ANDS) LIMITED (ANDS) LIMITED (ANDS) State: (firm?)	rator. through (f) below. If t ely for each administr Country: Cayman Isl	he <i>private fund</i> uses r ator. ands	nore than one
Does the <i>private fund</i> if the answer to quest Additional Administ If the answer to que administrator, you (b) Name of admin CITCO FUND AD (c) Location of adm City: GRAND CAYMAN (d) Is the administ (e) Does the admin	tion 26. (a) is "yes," respond fons (b) through (f) separately rator Information : 1 Record estion 26. (a) is "yes," respon must complete questions (b) istrator: DMINISTRATION (CAYMAN ISLA hinistrator (city, state and cou l rator a <i>related person</i> of your f	to questions (b) this y for each administration (c) Filed. (c) Fil	rator. through (f) below. If t ely for each administr Country: Cayman Isl ements to the <i>private</i>	he <i>private fund</i> uses r ator. ands	nore than one Ye

27. ng y your related person?

100%

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

 4. 5. 6. 	 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 (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 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 (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 fund in which this <i>private fund</i> invests? (c) Is this a "feeder fund" in a master-feeder arrangement? (d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> (f) If yes, "what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i> NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 	Yes •	O No ©
5.	 (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 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 (3) 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 master fund in which this <i>private fund</i> invests? (c) Is this a "feeder fund" in a master-feeder arrangement? (d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of <i>private fund</i>: <i>Private fund</i>: <i>Private fund</i>: 	•	No
5.	 (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 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 (3) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 (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 master fund in which this <i>private fund</i> invests? 	•	O No
5.	 (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. No Information Filed (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> EMR CCSA FUND LIMITED (c) Is this a "feeder fund" in a master-feeder arrangement? 	•	O No
5.	 (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. No Information Filed (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> Private fund identification number LMR CCSA FUND LIMITED 	•	O No
5.	 (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. No Information Filed (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> 	•	0
5.	 (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. No Information Filed (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> 	-	No
5.	 (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. No Information Filed (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> 	-	No
5.	 (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. No Information Filed (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>? 	-	No
5.	 (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. No Information Filed (a) Is this a "master fund" in a master-feeder arrangement? 	-	No
	 (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. 	Yes	No
	 (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. 		
	(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		
4.	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940		
4.]
4.	The private fund (check all that apply; you must check at least one):]
	LWR PARTNERS LLC		
	Filing Adviser/Relying Adviser Name LMR PARTNERS LLC		
	(b) If filing an umbrella registration, identify the filing adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund.		
	PEARSE GRIFFITH, DIRECTOR		
	MARK EBERLE, DIRECTOR		
	DAVID NEVIN		
3.	Name of General Partner, Manager, Trustee, or Director		
3.	(a) Name(s) of General Partner, Manager, Trustee, or Directors (or <i>persons</i> serving in a similar capacity):		
	Cayman Islands		
2.	Under the laws of what state or country is the <i>private fund</i> organized: State: Country:		
	805-2748626644		
	(b) <i>Private fund</i> identification number: (include the "805-" prefix also)		
	LMR CCSA MASTER FUND LIMITED		
1.	(a) Name of the private fund:		
<u>Info</u>	ormation About the Private Fund		
A. PI	PRIVATE FUND		
	No Information Filed		
	uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.	runa	
	You must answer "yes" whether the <i>person</i> acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor similar <i>person</i> . If the answer to question 28.(a) is "yes," respond to questions (b) through (g) below for each such marketer the <i>private</i> uses. If the <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer.		

Yes No

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:

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 The feeder funds answer the following questions:), for
	(a)	Name of the <i>private fund</i> :	
		LMR CCSA FUND LIMITED	
	(b)	Private fund identification number:	
		(include the "805-" prefix also)	
		805-6662098587	
	(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	
		MARK EBERLE, DIRECTOR PEARSE GRIFFITH, DIRECTOR	
	(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	
		LMR PARTNERS LLC	
	(e)	The <i>private fund</i> (check all that apply; you must check at least one):	
		\square (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company A	Act of
		1940	
		 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company A 1940 	Act of
	(f)	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered	
	(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 <i>Foreign Financial Regulatory Authority</i>	
	(f)		
	(f)	Name of Country/English Name of Foreign Financial Regulatory Authority	
sse	E: For p ts in a s	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it i	
sse	E: For p ts in a s	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	
sse nult	E: For p ts in a s iple clas	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	issued
sse nult a) OT	E: For p ts in a s iple clas Is this <i>p</i> E: For p	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. rivate fund a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment	Yes
sse nult a) OT ehie	E: For p ts in a s iple clas s this <i>p</i> E: For p cles, reg	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. rivate fund a "fund of funds"?	Yes
sse nult a) OT ehie	E: For p ts in a s iple clas s this <i>p</i> E: For p cles, reg	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. <i>rivate fund</i> a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment jardless of whether they are also <i>private funds</i> or registered investment companies. loes the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	Yes O
sse nult a) OT ehi o)	E: For p ts in a s iple clas Is this <i>p</i> E: For p cles, reg	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it i ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. rivate fund a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment gardless of whether they are also private funds or registered investment companies. loes the private fund invest in funds managed by you or by a related person?	Yes O Yes
sse nult a) OT ehi o) urii	E: For p ts in a s iple clas Is this p E: For p cles, reg If yes, d	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. <i>rivate fund</i> a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment jardless of whether they are also <i>private funds</i> or registered investment companies. loes the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	Yes O
sse nult a) OT ehi o) urii om	E: For p ts in a s iple clas s this <i>p</i> E: For p cles, reg If yes, d	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 ingle fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is see (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. <i>rivate fund</i> a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment jardless of whether they are also <i>private funds</i> or registered investment companies. oes 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	Yes O Yes
sse nult a) OT ehir o) urii om /ha	E: For p ts in a s iple clas Is this <i>p</i> E: For p cles, reg If yes, d ng your pany Ac t type o	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. rivate fund a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment pardless of whether they are also private funds or registered investment companies. oes the private fund invest in funds managed by you or by a related person? last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment t of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	Yes O Yes O
sse nult a) OT ehi om urii om /ha h	E: For p ts in a s iple clas Is this <i>p</i> E: For p cles, reg If yes, d ng your pany Ac t type o edge fu	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is see (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. <i>rivate fund</i> a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment companies. ioes the private fund 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 t of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? f fund is the <i>private fund</i> ?	Yes O Yes O
urii om /ha OT om /ha	E: For p ts in a s iple clas Is this <i>p</i> E: For p cles, reg If yes, d ng your pany Ac t type o edge fu E: For d	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 single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is ses (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. <i>rivate fund</i> a "fund of funds"? urposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment jardless of whether they are also private funds or registered investment companies. oes the private fund invest in funds managed by you or by a related person? last fiscal year, did the private fund invest in securities issued by investment companies registered under the Investment t of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? f fund is the private fund? nd © liquidity fund © private equity fund © real estate fund © securitized asset fund © venture capital fund © Other private	Yes O Yes O

<u>Ownership</u>

 13. Approximate number of the <i>private fund's</i> beneficial owners: 80 	
 14. What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i>: 8% 	
 15. (a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 82% 	
(b) If the private fund qualifies for the evolution from the definition of investment company under costion $2(c)(1)$ of the Investment	es No
 What is the approximate percentage of the <i>private fund</i> beneficially owned by non-United States persons: 84% 	
Your Advisory Services	
17 (a) Are you a symptotic to this private fund	'es 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. 	00
No Information Filed	
Y	'es No
	o o
(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 ar to question 18.(a) is "no," leave this question blank.	lswer
Name of Other Adviser to private fund SEC file number CRD number	
LMR PARTNERS (DIFC) LIMITED 802-127135 324092	
LMR PARTNERS AG 802-122389 316468	
LMR PARTNERS LIMITED 802-107179 282637	
LMR PARTNERS LLP 802-75041 159639	
	'es No
	00
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%	
Private Offering	
	′esNo ⊙O
22. If yes, provide the <i>private fund's</i> Form D file number (if any):	
Form D file number	
021-389136	
B. SERVICE PROVIDERS	
Auditors	
	∕es No
23. (a) (1) Are the <i>private fund's</i> financial statements subject to an annual audit?	∕esNo ⊙ O ⊙ O

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

aud	iting firm, you must complete questions (b) through (f) separately for each auditing firm.	
(b)	Name of the auditing firm: KPMG	
(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:GRAND CAYMANCayman Islands	
(d)	Is the auditing firm an independent public accountant?	Ye ©
(e)	Is the auditing firm registered with the Public Company Accounting Oversight Board?	o
	If yes, Public Company Accounting Oversight Board-Assigned Number: 1323	
(f)	If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	۲
		١
Are th invest	ne <i>private fund's</i> audited financial statements for the most recently completed fiscal year distributed to the <i>private fund's</i>	
	of the reports prepared by the auditing firm for the <i>private fund</i> since your last <i>annual updating amendment</i> contain unqualified	l opin
🖸 Ye	s ^O No ^O Report Not Yet Received	
		t is av
	s O No O Report Not Yet Received	t is av
lf you	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	
lf you <mark>roker</mark>	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	t is av
<i>If you</i> roker Does	s O No O Report Not Yet Received	١
<i>If you</i> roker Does If the	The private fund use one or more prime brokers?	Ŋ
If you Broker Does If the fund t	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 uses. If	Ņ
If you roker Does If the fund t	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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	Ŋ
If you proker Does If the fund to Addi	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 uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	the p
If you poes If the fund u Addin If th priv	In the private fund use one or more prime brokers? In the private fund use one or more prime brokers? In the private fund use one or more prime brokers? In the private fund use one prime broker is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. It to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. It to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	the p
If you roker Does If the fund t Addi If th priv (b)	It is O No O Report Not Yet Received It check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report the private fund use one or more prime brokers? It answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. It complete the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker. It complete the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker. It complete the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. It complete the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. It complete that the answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. It complete that one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	the p
If you roker Does If the fund t Addi If th priv (b)	It is a normal of the prime broker: BARCLAYS BANK PLC No Report Not Yet Received No Report Not Yet Received, " you must promptly file an amendment to your Form ADV to update your response when the report 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 uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	the p
If you roker Does If the fund u Addir If th priv (b) (c)	Is C No C Report Not Yet Received It check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report to private fund use one or more prime brokers? It answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. It chain and prime Broker Information : 5 Record(s) Filed. It answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. at <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. at <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BARCLAYS BANK PLC 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):	the p
If you roker Does If the fund u Addir If th priv (b) (c)	Is C No C Report Not Yet Received In 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 uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information : 5 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 answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. Itional Prime Broker Information : 5 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 prime broker: BARCLAYS BANK PLC 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 private fund (city, state and country): City: State: Country:	the p
If you roker Does If the fund u Addir If th priv (b) (c)	Is C No C Report Not Yet Received It check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report to private fund use one or more prime brokers? It answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. It chain and prime Broker Information : 5 Record(s) Filed. It answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. at <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. The answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. at <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BARCLAYS BANK PLC 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):	the p
If you roker Does If the fund u Addi If th priv (b) (c) (d)	Is C No C Report Not Yet Received In 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 uses. If uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Itional Prime Broker Information : 5 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 answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. Itional Prime Broker Information : 5 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 prime broker: BARCLAYS BANK PLC 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 private fund (city, state and country): City: State: Country:	the /
If you roker Does If the fund u Addir (b) (c) (d)	s C No C 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 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 uses. If ises more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. tional Prime Broker Information : 5 Record(s) Filed. ne answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker the private fund uses. ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: BARCLAYS BANK PLC 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 private fund (city, state and country): City: LONDON Location of prime broker's office used principally by the private fund (city, state and country): City: LONDON Location of prime broker's office used principally by the private fund (city, state and country): City: LONDON Location of prime broker's office used principally by the private fund (city, state and country): City: LONDON Location of prime broker's office used principally by the private fund (city, state and country): City: Location of prime broker's office used principally by the private fund (city, state and country): City: Location of prime broker's office used principally by the private fund (city, state and country): City: Location of prime broker's office used principally by the private fund (city, state and country): City: Location of prime broker's office used principally by the private fund (city, state and country): City:	the <i>j</i> If the

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: LONDON United Kingdom		
		Yes	s No
(e)	Does this prime broker act as custodian for some or all of the private fund's assets?	\odot	0
	he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>vate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
(b)	Name of the prime broker: J.P. MORGAN SECURITIES 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):		
(u)	City: State: Country:		
	LONDON United Kingdom		
		Yes	s No
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	\odot	0
priv	he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>vate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: UBS AG (LONDON BRANCH)	n the	
(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	۷۵۹	s No
(e)	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	©	
		e	0
	he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>vate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
(b)	Name of the prime broker: WELLS FARGO 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):		

NEW YORK	New York	United States	
(e) Does this prime broker act	as custodian for some or all of the ,	private fund's assets?	
<u>n</u>			
Does the <i>private fund</i> use any cu	stodians (including the prime broker	rs listed above) to hold some or all of its assets?	
•	•	hrough (g) below for each custodian the <i>private fund</i> b) through (g) separately for each custodian.	uses. If the p
Additional Custodian Informati	on : 6 Record(s) Filed.		
) through g) below for each custodian the <i>private fun</i> (b) through (g) separately for each custodian.	d uses. If the ,
(b) Legal name of custodian: BARCLAYS BANK PLC			
(c) Primary business name of BARCLAYS BANK PLC	custodian:		
(d) The location of the custodi	an's office responsible for <i>custody</i> o	f the <i>private fund's</i> assets (city, state and country):	
City:	State:	Country:	
LONDON		United Kingdom	
(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):			
identifier (if any)	oker-dealer, or is a broker-dealer b	ut does not have an SEC registration number, provid	e its <i>legal enti</i>
213800UUGANOMFJ9X769			
) through g) below for each custodian the private fund	<i>d</i> uses. If the
fund uses more than one custo	dian, you must complete questions	(b) through (g) separately for each custodian.	
(b) Legal name of custodian: GOLDMAN SACHS INTERNA	TIONAL		
(c) Primary business name of GOLDMAN SACHS INTERNA			
		f the <i>private fund's</i> assets (city, state and country):	
City: LONDON	State:	Country: United Kingdom	
(e) Is the custodian a <i>related</i> (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 b	ut does not have an SEC registration number, provid	e its <i>legal enti</i>

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: J.P. MORGAN SECURITIES PLC
(c) Primary business name of custodian: J.P. MORGAN SECURITIES 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 <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 broker-dealer 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) 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: STATE STREET BANK AND TRUST COMPANY
(c) Primary business name of custodian: STATE STREET BANK AND TRUST COMPANY
 (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 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 broker-dealer but does not have an SEC registration number, provide its <i>legal entity</i> <i>identifier</i> (if any)
571474TGEMMWANRLN572
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: UBS AG (LONDON BRANCH)
(c) Primary business name of custodian: UBS AG (LONDON BRANCH)

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

	LONDON		United Kingdom	/es
(e)	Is the custodian a rela	ated person of your firm?		0
(f)	If the custodian is a br	roker-dealer, provide its SEC reg	gistration number (if any):	
	- CRD Number (if any):			
	If the sustadian is not	a broker dealer, er is a broker (dealer hut dees not have an SEC registration number, provide its <i>legal</i> anti-	
(g)	<i>identifier</i> (if any) BFM8T61CT2L1QCEMI		dealer but does not have an SEC registration number, provide its legal enti-	У
	DFMIOTOTCT2LTQCEMIT	N30		
		• • •	stions (b) through g) below for each custodian the <i>private fund</i> uses. If the juestions (b) through (g) separately for each custodian.	oriv
(b)	Legal name of custodi WELLS FARGO BANK N			
(c)	Primary business nam WELLS FARGO BANK N			
(d)	The location of the cus	stodian's office responsible for <i>cι</i>	ustody of the private fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
(e)	Is the custodian a rela	ated person of your firm?	· · · · · · · · · · · · · · · · · · ·	/es Ō
(f)	If the custodian is a br	roker-dealer, provide its SEC reg	gistration number (if any):	
	- CRD Number (if any):			
(g)	If the custodian is not <i>identifier</i> (if any)	a broker-dealer, or is a broker-o	dealer but does not have an SEC registration number, provide its legal enti-	y
(g)			dealer but does not have an SEC registration number, provide its <i>legal enti</i>	y
	<i>identifier</i> (if any) VYVVCKR63DVZZN70P		dealer but does not have an SEC registration number, provide its <i>legal enti</i>	у
trator	<i>identifier</i> (if any) VYVVCKR63DVZZN70P	PB21		Y
trator Does If the	<i>identifier</i> (if any) VYVVCKR63DVZZN70P the <i>private fund</i> use an answer to question 26	PB21 n administrator other than your fi b.(a) is "yes," respond to question	firm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administra	Y
trator Does If the must	<i>identifier</i> (if any) VYVVCKR63DVZZN70P the <i>private fund</i> use an answer to question 26 complete questions (b)	PB21 n administrator other than your fi	firm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administration	Y
Does If the must Addin	<i>identifier</i> (if any) VYVVCKR63DVZZN70P the <i>private fund</i> use an answer to question 26 complete questions (b) tional Administrator I	PB21 n administrator other than your fi 5.(a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed.	Tirm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administrate administrator.	Y
Does If the must Addin	identifier (if any) VYVVCKR63DVZZN70P the private fund use an answer to question 26 complete questions (b) tional Administrator I he answer to question 3	PB21 n administrator other than your fi 5. (a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed. 26. (a) is "yes," respond to quest	firm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administration	Y
Does If the must Addin	identifier (if any) VYVVCKR63DVZZN70P the private fund use an answer to question 26 complete questions (b) tional Administrator In he answer to question 2 ninistrator, you must co Name of administrator	PB21 a administrator other than your fi 5. (a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed. 26. (a) is "yes," respond to quest omplete questions (b) through (f, r:	Firm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administrate administrator. tions (b) through (f) below. If the <i>private fund</i> uses more than one f) separately for each administrator.	Y
Trator Does If the must Addin If th adm (b)	identifier (if any) VYVVCKR63DVZZN70P the private fund use an answer to question 26 complete questions (b) tional Administrator In he answer to question 3 ninistrator, you must co Name of administrator CITCO FUND ADMINIST	PB21 a administrator other than your fi b. (a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed. 26. (a) is "yes," respond to quest omplete questions (b) through (f) r: TRATION (CAYMAN ISLANDS) LIMI	Firm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administrate administrator. tions (b) through (f) below. If the <i>private fund</i> uses more than one f) separately for each administrator.	Y
Trator Does If the must Addin If th adm (b)	identifier (if any) VYVVCKR63DVZZN70P the private fund use an answer to question 26 complete questions (b) tional Administrator In he answer to question 3 ninistrator, you must co Name of administrator CITCO FUND ADMINIST Location of administra City:	PB21 a administrator other than your fi 5. (a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed. 26. (a) is "yes," respond to quest omplete questions (b) through (f, r:	Tirm? Pons (b) through (f) below. If the <i>private fund</i> uses more than one administrate administrator. tions (b) through (f) below. If the <i>private fund</i> uses more than one f) separately for each administrator. IITED ate: Country:	Y
Trator Does If the must Addin If th adm (b)	identifier (if any) VYVVCKR63DVZZN70P the private fund use an answer to question 26 complete questions (b) tional Administrator I he answer to question 2 ninistrator, you must co Name of administrator CITCO FUND ADMINIST Location of administra	PB21 a administrator other than your fi b. (a) is "yes," respond to question) through (f) separately for each nformation : 1 Record(s) Filed. 26. (a) is "yes," respond to quest omplete questions (b) through (f) r: TRATION (CAYMAN ISLANDS) LIMI itor (city, state and country):	irm? ons (b) through (f) below. If the <i>private fund</i> uses more than one administrate administrator. tions (b) through (f) below. If the <i>private fund</i> uses more than one f) separately for each administrator. IITED ate: Country: Cayman Islands	Y

(e) Does the administrator prepare and send investor account statements to the private fund's investors?

• Yes (provided to all investors) • Some (provided to some but not all investors) • 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."
- 27. During your last fiscal year, what percentage of the *private fund's* assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

0%

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

Marketers

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

Yes No

 \mathbf{G}

 \mathbf{O}

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

No Information Filed

A. PRIVATE FUND

Information About the Private Fund

- 1. (a) Name of the *private fund*: LMR MULTI-STRATEGY MASTER FUND LIMITED
 - (b) *Private fund* identification number: (include the "805-" prefix also)805-5801202426
- 2. Under the laws of what state or country is the *private fund* organized: State: Country: Cayman Islands
- 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
	DAVID NEVIN
	PEARSE GRIFFITH - DIRECTOR
	TORSTEN DE SANTOS - DIRECTOR

(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

i ning havisely kelying havisel	
LMR PARTNERS LLC	

LMR CIPHER LP

- 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

Private fund identification number

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

Cayman Islands - Cayman Islands Monetary Authority

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

Yes No

(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*

6.

MR MULTI	-STRATEGY FUND LIMITED	805-9545914974
		Yes
) Is this	a "feeder fund" in a master-feeder arrangement	?
	·	number (if any) of the master fund in which this <i>private fund</i> invests?
Name o	of private fund:	
	<i>fund</i> identification number: e the "805-" prefix also)	
	must complete question 6 for each master-feede ster-feeder arrangement or reporting on the func	er arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(Is separately.
•	iling a single Schedule D, Section 7.B.(1) for a ma funds answer the following questions:	aster-feeder arrangement according to the instructions to this Section 7.B.(1), for each
dditional	Feeder Fund Information : 1 Record(s) Filed.	
-	are filing a single Schedule D, Section 7.B.(1) for of the feeder funds answer the following questio	r a master-feeder arrangement according to the instructions to this Section 7.B.(1), for ns:
(a)	Name of the <i>private fund</i> :	
	LMR MULTI-STRATEGY FUND LIMITED	
(b)	<i>Private fund</i> identification number: (include the "805-" prefix also)	
	805-9545914974	
(c)	Under the laws of what state or country is the	private fund organized:
(-)	State: Coun	
(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
	DAVID NEVIN	
	PEARSE GRIFFITH	
	TORSTEN DE SANTOS	
(d) (2)) If filing an umbrella registration identify the filing	g adviser and/or relying adviser(s) that sponsor(s) or manage(s) this private fund:
(G) (2)	Filing Adviser/Relying Adviser Name	
	LMR PARTNERS LLC	
(e)	The private fund (check all that apply; you mus	t check at least one):
	\square (1) qualifies for the exclusion from the defin	nition of investment company under section 3(c)(1) of the Investment Company Act of
	1940	
	(2) qualifies for the exclusion from the define 1940	nition of investment company under section 3(c)(7) of the Investment Company Act of
(f)	List the name and country, in English, of each a	foreign financial regulatory authority with which the private fund is registered.
		inancial Regulatory Authority
	Name of Country/English Name of Foreign F	
	Cayman Islands - Cayman Islands Monetary A	

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

7.

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?	0 0
		Yes No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	00
10.	. What type of fund is the <i>private fund</i> ?	
	ullet hedge fund $ullet$ liquidity fund $ullet$ private equity fund $ullet$ real estate fund $ullet$ securitized asset fund $ullet$ venture capital fund $ullet$ Othe	r <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 <i>private fund</i> : \$ 6,307,255,383	
<u>0v</u>	vnership	
12.	Minimum investment commitment required of an investor in the private fund:	
	\$ 500,000 NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth organizational documents of the fund).	ו in the
13.	Approximate number of the <i>private fund's</i> beneficial owners: 631	
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 9%	
15.	. (a) What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 18%	
		Yes No
	(b) If the private fund qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940, are sales of the fund limited to <i>qualified clients</i> ?	0 0
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 81%	
Yo	ur Advisory 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 private fund. If the a question 17.(a) is "no," leave this question blank. 	
	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?	00

- \odot \odot
- (b) If the answer to question 18.(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the private fund. If the answer to question 18.(a) is "no," leave this question blank.

Name of Other Adviser to private fund	SEC file number	CRD number
LMR PARTNERS (DIFC) LIMITED	802-127135	324092
LMR PARTNERS AG	802-122389	316468
LMR PARTNERS LIMITED	802-107179	282637
LMR PARTNERS LLP	802-75041	159639

19. Are your *clients* solicited to invest in the *private fund*?

NOTE: For purposes of this question, do not consider feeder funds of the private fund.

20. Approximately what percentage of your *clients* has invested in the *private fund*? 0%

Yes No

o ⊙

		Ye	s No
Has	the private fund ever relied on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	C	
lf y€	es, provide the <i>private fund's</i> Form D file number (if any):		
For	m D file number		
021	-179774		
ERVI	CE PROVIDERS		
itors		Ye	es N
(a)	(1) Are the private fund's financial statements subject to an annual audit?	e	
	(2) If the answer to question 23.(a)(1) is "yes," are the financial statements prepared in accordance with U.S. GAAP?	G	
	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 audi you must complete questions (b) through (f) separately for each auditing firm.	ting fir	m,
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to question 23.(a)(1) is "yes," respond to questions (b) through (h) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.		
	(b) Name of the auditing firm: KPMG		
	(c) The location of the auditing firm's office responsible for the private fund's audit (city, state and country):		
	City: State: Country:		
	GRAND CAYMAN Cayman Islands	Yes	No
	(d) Is the auditing firm an <i>independent public accountant</i> ?	©	0
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	o	0
	If yes, Public Company Accounting Oversight Board-Assigned Number: 1323		
	(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	o	0
		Ye	es N
-	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?	•	
(h)	Do all of the reports prepared by the auditing firm for the private fund since your last annual updating amendment contain unqualified	opinic	ns?
	• Yes • No • Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	is ava	ilable
ne B	roker		
(a)	Does the <i>private fund</i> use one or more prime brokers?	_	es N
(a)	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 <i>fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	the <i>pri</i>	~ ~
	Additional Prime Broker Information : 14 Record(s) Filed.		

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

(b) Name of the prime broker: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED)

(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 p	<i>rivate fund</i> (city, st	ate 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	f the <i>private fund's</i>	assets?	⊙ C
		a) is "yes," respond to question he prime broker, you must com	-		
• •	Name of the prime broker: BARCLAYS BANK PLC				
(C)	If the prime broker is regis -	stered with the SEC, its registra	ation number:		
	CRD Number (if any):				
(d)	Location of prime broker's	office used principally by the p	<i>rivate fund</i> (city, st	ate and country):	
	City:	State:	Country:		
	LONDON		United King	gdom	
					Yes No
(e)	Does this prime broker act	as custodian for some or all of	f the <i>private fund's</i>	assets?	• C
priva	ate fund uses more than on	a) is "yes," respond to questior le prime broker, you must com	-		
	Name of the prime broker: BARCLAYS CAPITAL INC.				
	If the prime broker is regis 8 - 41342	stered with the SEC, its registra	ation number:		
	CRD Number (if any): 19714				
(d)	Location of prime broker's	office used principally by the p	<i>rivate fund</i> (city, st	ate 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	f the private fund's	assets?	© C
	e answer to question 24.(a	a) is "yes," respond to questior	ns (b) through (e)	below for each prime broker	the <i>private fund</i> uses. If the
oriva	ate fund uses more than on	e prime broker, you must com	-		
	Name of the prime broker: BNP PARIBAS, LONDON BRA				
(c)	If the prime broker is regis -	stered with the SEC, its registra	ation number:		
	CRD Number (if any):				
	·	office used principally by the p		ate and country):	
	Location of prime broker's (City: LONDON	office used principally by the past office used principally by the past of the part of the	<i>rivate fund</i> (city, st Country: United King		

)			No
_	Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets?	\odot	0
ł	ne answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses.	If the	
V	rate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	Name of the prime broker: CITIGROUP GLOBAL MARKETS INC		
	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:		
	NEW YORK New York United States		
		Yes	Nc
	Does this prime broker act as custodian for some or all of the private fund's assets?	o	0
		·	0
-			
	ne answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>Pate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	If the	
	Name of the prime broker: GOLDMAN SACHS INTERNATIONAL		
	If the prime broker is registered with the SEC, its registration number:		
	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):		
	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:		
	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):		
	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</i> fund (city, state and country): City: State: Country: LONDON United Kingdom	Yes	Nc
	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:	Yes	No
	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</i> fund (city, state and country): City: State: Country: LONDON United Kingdom		
) tł	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</i> fund (city, state and country): City: State: Country: LONDON United Kingdom	0	
	If the prime broker is registered with the SEC, its registration number: 	0	
ł	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 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.	0	
	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? he answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. <i>ate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker:	0	
	If the prime broker is registered with the SEC, its registration number: 	0	
ł	If the prime broker is registered with the SEC, its registration number: 	0	
	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 	0	
t I v	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 	0	
) the second sec	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 	0 If the	©
	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 	0	©
	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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? 	0 If the	©

ρπ	ate fund uses more than one prime broker, yo				
(b)	Name of the prime broker: J.P. MORGAN SECURITIES LLC ("JPMS")				
(C)	If the prime broker is registered with the SEC	; its registration number:			
	- CRD Number (if any):				
(a)	Location of prime broker's office used principal City: State		e and country): Country:		
	NEW YORK New		United States		
(e)	Does this prime broker act as custodian for so	ome or all of the <i>private fund's</i> as	ssets?	Yes ©	s Ne
	ne answer to question 24.(a) is "yes," respond tate fund uses more than one prime broker, yo	• • • • •	elow for each prime broker the <i>private fund</i> uses. hrough (e) separately for each prime broker.	If the	
(b)	Name of the prime broker: MERRILL LYNCH PROFESSIONAL CLEARING CC	DRP.			
(C)	If the prime broker is registered with the SEC	; its registration number:			
	8 - 33359				
	CRD Number (if any): 16139				
(d)	Location of prime broker's office used principa	ally by the <i>private fund</i> (city, stat	e and country):		
(0)	City: State		Country:		
	NEW YORK New	York	United States		
(e)	Does this prime broker act as custodian for so	ome or all of the <i>private fund's</i> as	ssets?	Yes	s No C
		, ,		e	
priv	ne answer to question 24.(a) is "yes," respond tate fund uses more than one prime broker, yo Name of the prime broker: MORGAN STANLEY & CO INTERNATIONAL PLC		elow for each prime broker the <i>private fund</i> uses. hrough (e) separately for each prime broker.	If the	
(c)	If the prime broker is registered with the SEC	c, its registration number:			
	- CRD Number (if any):				
(d)	Location of prime broker's office used principa City: State: LONDON	ally by the <i>private fund</i> (city, stat Country: United Kingdo			
		ennoù miga		Yes	5 N
(e)	Does this prime broker act as custodian for so	ome or all of the <i>private fund's</i> as	ssets?	O	С
		d to questions (b) through (e) be	elow for each prime broker the <i>private fund</i> uses.	If the	
		u must complete questions (b) t	hrough (e) separately for each prime broker.		
	Name of the prime broker: NATIONAL FINANCIAL SERVICES LLC THROUGH				

(c) If the prime broker is registered with the SEC, its registration number:

Incertained platect braker's affice used principality by the private fand (elly, state and country): BST0N Measuratured to Measurature to a constrained for a some or all of the private faret's enserved to present the prime braker, see a solution for some or all of the private faret's enserved to answer to question 24 (e) is "yes," research to questions (ii) through (e) separately for each prime braker. If it for the prime braker is registered with the SEC, its registration number: 	CRD Number (if any):			
chy State: Cauthy: BOSTOR Massachusetts: v Describe prime broker act as custolian for some or all of the private fund's assets? v or any	one namber (ir any).			
chy State: Cauthy: BOSTOR Massachusetts: v Describe prime broker act as custolian for some or all of the private fund's assets? v or any	d) Location of prime bro	oker's office used principally by the	private fund (city, state and country	Ŋ.
BOSTON Musechasetts Unice States BOSTON Musechasetts Unice States Dees this prime broker act as custedian for some or all of the private Andr's assets? Image: Comparison of the prime broker act as custedian for some or all of the private Andr's assets? e answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker the private Andru use. If it the prime broker is registered with the SLC, its registration number: Image: Comparison of the prime broker is registered with the SLC, its registration number: If the prime broker is registered with the SLC, its registration number: Image: Comparison of prime broker is registered with the SLC, its registration number: Image: Comparison of prime broker is registered with the SLC, its registration number: If the prime broker act as custed principally by the private fund's asset of the prime broker is registered with the SLC, its registration number: Image: Comparison of prime broker is registered with the SEC, its registration number: If the prime broker is registered with the SEC, its registration number: Image: Comparison of prime broker is registered with the SEC, its registration number: If the prime broker is registered with the SEC, its registration number: Image: Comparison of prime broker is registered with the SEC, its registration number: If the prime broker is registered with the SEC, its registration number: Image: Comparison of prime broker is registered with the SEC, its registration number: If the prime broker is registered with the SEC, its registration number: Image: Compa).
Does this prime broker ad as outsiden for some or all of the private fund's essets? Image: Control operation 24 (a) is "yes," respond to questions (b) through (c) patients for ach prime broker. Name of the prime broker: Solid Private fund the prime broker. CSD Runnor (if any): Country: Lecetion of prime broker act as outsiden for some or all of the private fund (sector): Y CSD Runnor (if any): Country: Lecetion of prime broker is registered with the SEC, its registration number: Y CSD Runnor (if any): Country: Lecetion of prime broker act as outsiden for some or all of the private fund's assers? Y Description broker is registered with the SEC, its registration number: Y CSD Runnor (if any): Country: Lecetion of prime broker act as outsiden for some or all of the private fund's assers? Y Description broker is registered with the SEC, its registration number: Y CSD Runnor (if any): Country: Lecetion of prime broker act as outsiden for some or all of the private fund's assers? Y Description broker is registered with the SEC, its registration number: Y CSD Runnor (if any): Country:	•		•	ates
Dates this prime broker act as outstation for some or all of the private funct's assets? a The answer to question 24 (a) is "yes," respond to questions (b) through (c) below for each prime broker, you must complete questions (b) through (c) separately for each prime broker. If the arine broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SLC, its registeration number: If the prime broker is registered with the SEC, i	DOSTON	Massachusetts	United St	
The answer to question 24. (a) is "yes," respond to questions (a) through (a) active for each prime broker the private buolutes, if it are denoted by the prime broker is generated for each prime broker. Nome of the prime broker: SOCIETE CENERALE INTERNATIONAL LIMITED If the prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford (city, state and country): City State: Country Coloror of prime broker's office used principally by the private ford's essels? The answer to question 24. (a) is "yes," respond to exostions (b) through (c) bolev for each prime broker. Nume of the prime broker: City Country City Colors is registered with the SEC. Its registration number: City Country City	a) Daga this prime brok	ver est as sustadion for some or all	f the private fund's accete?	
whe find uses more than one prime broker. you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker is registered with the SEC. Its registration number: - - - CRD Number (f any): Location of prime broker us a sustoilan for some or all of the private fund (city, state and country): City: State: CODDON United Kingdom V Des this prime broker us as custoilan for some or all of the private fund's assets? - - - - -	boes this prime brok			•
Name of the prime broker: Solicitie Generate INTERNATIONAL LINITED It the prime broker is registered with the SLC. Its registration number: GRD Number (if uny): Location of prime broker's office used principally by the private fund (city, state and country) City: City: Country: Cou			-	
SOCIEFE GENERALE INTERNATIONAL LIMITED If the prime broker is registered with the SEC, its registration number: GRD Number (if any): Incation of prime broker is affice used principally by the <i>private fund</i> (city, state and country). Gig: State: Country: INDRON United Kingdom Y Does this prime broker act as custodian for some or all of the <i>private fund</i> (city, state and country). If the prime broker is registered with the SEC, its registration number: CRD Number (if any): Incation of prime broker: CRD Number (if any): Incation of prime broker is engistered with the SEC, its registration number: CRD Number (if any): Incation of prime broker act as custodian for some or all of the <i>private fund</i> (city, state and country). City: State: Country: Incation of prime broker act as custodian for some or all of the <i>private fund</i> sessets? Re answer to question 24. (a) is "yes," respond to questions (b) through (e) below for each prime broker. Name of the prime broker: Re DNUMber (if any): Incation of prime broker act as custodian for some or all of the <i>private fund</i> sessets? Re answer to question 24. (b) is "yes," respond to questions (b) through (e) below for each prime broker. Re DNUMber (if any): Incation of prime broker act as custodian for some or all of the <i>private fund</i> 's assets? Re answer to question 24. (b) is "yes," respond to questions (b) through (e) below for each prime broker. Re answer to question 24. (c) is "yes," respond to questions (b) through (e) below for each prime broker. Country: Cloy: State: Country: Cloy: Cl	<i>rivate fund</i> uses more th	nan one prime broker, you must cor	nplete questions (b) through (e) se	eparately for each prime broker.
CRD Number (If any): Location of prime broker's office used principally by the private fund (city, state and country): CIty: State: Country: UNICON State: Country: United Kingdom Country: C				
Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom V Does this prime broker act as custodian for some or all of the <i>private fund's</i> assets? C 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 it are fund uses more than one prime broker; you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker is registered with the SEC. Its registration number: - CRD Number (if any): Location of prime broker softice used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON V the prime broker act as custodian for some or all of the <i>private fund</i> (city, state and country): City: State: Country: LONDON V the prime broker act as custodian for some or all of the <i>private fund</i> (city, state and country): City: State: Country: Location of prime broker act as custodian for some or all of the <i>private fund's</i> assets? A prime broker act as custodian for some or all of the <i>private fund's</i> assets? A prime broker is registered with the SEC, its registration number: - CRD Number (if any): Location of the prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker is registered with the SEC, its registration number: - CID Number (if any): Location of prime broker is registered with the SEC, its registration number: - CID Number (if any): Location of prime broker is registered with the SEC, its registration number: - CID Number (if any): Location of prime broker is office used principally by the <i>privato fund</i> (city, state and country): City: State: Country:	c) If the prime broker is	s registered with the SEC, its regist	ation number:	
City: State: Country: United Kingdom	- CRD Number (if any):	:		
City: State: Country: United Kingdom				N
LONDON United kingdom V Does this prime broker act as custodian for some or all of the private fund's assets? V Does this prime broker act as custodian for some or all of the private fund's assets? The answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker fund uses. If the ate fund uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker. Name of 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 private fund (city, state and country): City: State: Country: LONDON United kingdom V Does this prime broker act as custodian for some or all of the private fund's assets? The answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker the private fund uses. If the ate fund uses more than one prime broker, you must complete questions (b) through (c) each prime broker the private fund uses. If the prime broker act as custodian for some or all of the private fund's assets? The answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker the private fund uses. If the ate fund uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker. Name of the prime broker is registered with the SEC, its registration number: - CRD Number (if any): Location of prime broker is registered with the SEC, its registration number: - CRD Number (if any): Location of prime broker is office used principally by the private fund (city, state and country): CRD City: State: Country: CRD Number (if any): CRD Country: CRD CRD	•):
Very set this prime broker act as custodian for some or all of the <i>private fund's</i> assets? Ye Dees this prime broker act as custodian for some or all of the <i>private fund's</i> assets? Ye The answer to question 24. (a) is "yes," respond to questions (b) through (c) below for each prime broker the <i>private fund</i> uses. If the <i>tate fund</i> uses more than one prime broker, you must complete questions (b) through (c) separately for each prime broker. Name of 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): . . Cly: State: . . Country: . . . Does this prime broker act as custodian for some or all of the <i>private fund</i> (city, state and country): . . Cly: State: . . . Private fund's assets? <td< td=""><td>•</td><td>State:</td><td></td><td></td></td<>	•	State:		
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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 prime broker: UBS AG (LONDON BRANCH) If the prime broker is registered with the SEC, its registration number: - GRD Number (if any): Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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 arc fund uses more than one prime broker; you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the the fund uses more than one prime broker; you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the fund uses more than one prime broker; you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker is registered with the SEC, its registration number: - GRD Number (if any): Location of prime broker is registered with the SEC, its registration number: - GRD Number (if any): Location of prime broker is office used principally by the <i>private fund</i> (city, state and country): City: State: Country: Country: City: State: Country: City: Country: City				Ye
ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: UBS AG (LONDON BRANCH) 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 private fund (city, state and country): City: State: Country: LONDON Does this prime broker act as custodian for some or all of the private fund's assets? re answer to question 24.(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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 private fund (city, state and country): CRD Number (if any): Location of prime broker's office used principally by the private fund (city, state and country): CIty: State:	e) Does this prime brok	ter act as custodian for some or all	of the private fund's assets?	\odot
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: LONDON United Kingdom				
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: LONDON United Kingdom Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? @ ne 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>te fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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:				
Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON United Kingdom To Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? C 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 ate fund uses more than one prime broker; you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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:	-	s registered with the SEC, its regist		
City: State: Country: United Kingdom Y Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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 ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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:	CRD Number (if any):	:		
LONDON United Kingdom Y Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? 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>tate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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) Location of prime bro	oker's office used principally by the	private fund (city, state and country):
Y Does this prime broker act as custodian for some or all of the private fund'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 ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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 private fund (city, state and country): City: State: Country:	*	State:		
Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets?	LONDON		United Kingdom	
he 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>ate fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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:				Ye
ate fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: WELLS FARGO BANK 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:	e) Does this prime brok	er act as custodian for some or all .	of the <i>private fund's</i> assets?	•
WELLS FARGO BANK 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:				
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:				
Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country:) If the prime broker is	s registered with the SEC, its regist	ation number:	
City: State: Country:	- CRD Number (if any):	:		
5				·):
NEW YORK New York United States	City: NEW YORK			

	Does this prime broker act as custodian for some or all of the private fund's assets?	~
		e
an		
Does t	the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets?	
	answer to question 25.(a) is "yes," respond to questions (b) through (g) below for each custodian the <i>private fund</i> ises more than one custodian, you must complete questions (b) through (g) separately for each custodian.	duses. If the <i>pri</i> v
Addit	tional Custodian Information : 14 Record(s) Filed.	
	ne answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fur</i> I uses more than one custodian, you must complete questions (b) through (g) separately for each custodian.	nd uses. If the pr
	Legal name of custodian: BANK OF AMERICA SECURITIES, INC. (FORMERLY MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED)	
	Primary business name of custodian: BANK OF AMERICA 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	Ye
(e)	Is the custodian a <i>related person</i> of your firm?	с
(f)		
	If the custodian is a broker-dealer, provide its SEC registration number (if any):	
	- CRD Number (if any):	
(g)	-	de its <i>legal entity</i>
(g)	- 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, provid <i>identifier</i> (if any)	
(g) If th <i>funa</i> (b)	- 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, provid <i>identifier</i> (if any) EYKN6V0ZCB8VD9IULB80 he answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fur</i>	
(g) If th fund (b) (c)	- 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, provid <i>identifier</i> (if any) EYKN6VOZCB8VD9IULB80 the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fun</i> <i>d</i> uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian:	
(g) If th <i>funa</i> (b) (c) (d)	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 identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fun</i> d uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	
(g) If th <i>funa</i> (b) (c) (d)	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 identifier (If any) EYKN6V0ZCB8VD9IULB80 re answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund a uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country:	
(g) If th <i>funa</i> (b) (c) (d)	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 identifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fun</i> d uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	
(g) If th <i>funa</i> (b) (c) (d)	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 identifier (If any) EYKN6V0ZCB8VD9IULB80 re answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund a uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country:	nd uses. If the pr
(g) If th <i>funa</i> (b) (c) (d)	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, provididentifier (if any) EYKN6V0ZCB8VD9IULB80 The answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the <i>private fund</i> yeas more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC 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: Cit	nd uses. If the pr
(g) If th <i>fund</i> (b) (c) (d) (e) (f)	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, provididentifier (if any) EYKN6V0ZCB8VD91ULB80 The answer to question 25. (a) is "yes," respond to questions (b) through g) below for each custodian the private fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC 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 Is the custodian a related person of your firm?	nd uses. If the pr
(g) If th funa (b) (c) (d) (e) (f) (g)	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 identifier (if any) EYKN6V0ZCB8VD9IULB80 the answer to question 25.(a) is "yes," respond to questions (b) through g) below for each custodian the private fund 'uses more than one custodian; you must complete questions (b) through (g) separately for each custodian. Legal name of custodian: BARCLAYS BANK PLC Primary business name of custodian: BARCLAYS BANK PLC 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 Is the custodian a related person of your firm? If the custodian is a broker-dealer, provide its SEC registration number (if any):	nd uses. If the pr Ye

· · ·		b) through g) below for each custodian the <i>priva</i> is (b) through (g) separately for each custodian.	ate fund uses. If the private
(b) Legal name of custodian: CITIGROUP GLOBAL MARKE	ETS INC.		
(c) Primary business name of CITIGROUP GLOBAL MARKE			
(d) The location of the custod	an's office responsible for <i>custody</i>	of the private fund's assets (city, state and coun	try):
City:	State:	Country:	
NEW YORK	New York	United States	Y N
(e) Is the custodian a <i>related</i>	<i>verson</i> of your firm?		Yes No
(f) If the custodian is a broke 8 - 8177	r-dealer, provide its SEC registratio	on number (if any):	
CRD Number (if any): 7059			
(g) If the custodian is not a bi <i>identifier</i> (if any) MBNUM2BPBDO7JBLYG310		but does not have an SEC registration number,	provide its <i>legal entity</i>
MBN0M2BPBD07JBLYG310			
· · · · · ·	odian, you must complete question	b) through g) below for each custodian the <i>priva</i> is (b) through (g) separately for each custodian.	ate fund uses. If the private
(c) Primary business name of GOLDMAN SACHS INTERNA	custodian:		
(d) The location of the custod	an's office responsible for <i>custody</i>	of the private fund's assets (city, state and coun	try)·
City:	State:	Country:	
LONDON		United Kingdom	
			Yes No
(e) Is the custodian a related	oerson of your firm?		0 0
(f) If the custodian is a broke	r-dealer, provide its SEC registratio	on number (if any):	
CRD Number (if any):			
(g) If the custodian is not a bi <i>identifier</i> (if any) W22LROWP2IHZNBB6K523		but does not have an SEC registration number,	provide its <i>legal entity</i>
If the answer to question 25.(a) is "yes," respond to questions (b	b) through g) below for each custodian the <i>priva</i>	ate fund uses. If the private
fund uses more than one custo (b) Legal name of custodian:	aian, you must complete question:	s (b) through (g) separately for each custodian.	
HSBC BANK PLC ("HSBC")			
(c) Primary business name of HSBC BANK PLC ("HSBC")	custodian:		

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

	City: LONDON	State:	Country: United Kingdom	
				Yes
(e)	Is the custodian a relat	ed person of your firm?		0
f)	If the custodian is a bro	oker-dealer, provide its SEC regist	tration number (if any):	
	- CRD Number (if any):			
<u>(</u> g)	If the custodian is not a <i>identifier</i> (if any)	a broker-dealer, or is a broker-de	aler but does not have an SEC registration number, provide its <i>leg</i>	gal entity
	•		ons (b) through g) below for each custodian the <i>private fund</i> uses. stions (b) through (g) separately for each custodian.	If the privat
b)	Legal name of custodia J.P. MORGAN SECURITIE			
c)	Primary business name J.P. MORGAN SECURITIE			
d)	The location of the cust	odian's office responsible for cus	tody of the private fund's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: United States	
	NEW YORK	New YOLK	United States	Yes
Э)	Is the custodian a relat	ed person of your firm?		0
)	If the custodian is a bro	oker-dealer, provide its SEC regis	tration number (if any):	
	-			
	CRD Number (if any):			
(g)	If the custodian is not a <i>identifier</i> (if any)	a broker-dealer, or is a broker-de	aler but does not have an SEC registration number, provide its <i>leg</i>	gal entity
îun:	d uses more than one cu Legal name of custodia	istodian, you must complete que	ons (b) through g) below for each custodian the <i>private fund</i> uses. stions (b) through (g) separately for each custodian.	If the <i>privat</i>
c)	Primary business name MERRILL LYNCH PROFES	of custodian: SSIONAL CLEARING CORP.		
d)	The location of the cust	odian's office responsible for <i>cus</i>	<i>tody</i> of the <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	United States	Yes
e)	Is the custodian a relat	ed person of your firm?		O
f)	If the custodian is a bro 8 - 33359	oker-dealer, provide its SEC regis	tration number (if any):	
	CRD Number (if any): 16139			
(g)	<i>identifier</i> (if any)		ealer but does not have an SEC registration number, provide its <i>leg</i>	gal entity
	549300PMHS66E71I2D			

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: 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
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 broker-dealer but does not have an SEC registration number, provide its <i>legal entity identifier</i> (if any) 4PQUHN3JPFGFNF3BB653
 fund uses more than one custodian, you must complete questions (b) through (g) separately for each custodian. (b) Legal name of custodian: NATIONAL FINANCIAL SERVICES LLC THROUGH ITS FIDELITY CAPITAL MARKETS DIVISION ("FIDELITY") (c) Primary business name of custodian: NATIONAL FINANCIAL SERVICES LLC THROUGH ITS FIDELITY CAPITAL MARKETS DIVISION ("FIDELITY")
(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 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 broker-dealer 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) 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: SOCIETE GENERALE INTERNATIONAL LIMITED
(c) Primary business name of custodian: SOCIETE GENERALE INTERNATIONAL LIMITED

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

			United Kingdom	
	LONDON			Yes N
(e)	Is the custodian a related p	<i>erson</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 bro identifier (if any)	oker-dealer, or is a brok	ker-dealer but does not have an SEC registration number, provide its <i>le</i>	gal entity
	OIKLU6X1B10WK7X42C15			
	•	• • •	uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian.	If the <i>private</i>
(b)	Legal name of custodian: STATE STREET BANK AND TH	RUST COMPANY		
(c)	Primary business name of c STATE STREET BANK AND T			
(d)	The location of the custodia	in's office responsible fo	or <i>custody</i> of the <i>private fund's</i> assets (city, state and country):	
	City:	State:	Country:	
	BOSTON	Massachusetts	United States	Yes N
e)	Is the custodian a related p	erson of your firm?		0 0
	If the custodian is a broker.	dealer provide its SEC	registration number (if any):	
(f)		addier, provide its dee		
(f)	-			
(f)	- CRD Number (if any):			
	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any)	oker-dealer, or is a brok	ker-dealer but does not have an SEC registration number, provide its <i>le</i>	gal entity
	- CRD Number (if any): If the custodian is not a bro	oker-dealer, or is a brok		gal entity
	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any)	oker-dealer, or is a brok		gal entity
(g) If tl	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572	oker-dealer, or is a brok) is "yes," respond to qu		
(g) If th	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25.(a d uses more than one custod	oker-dealer, or is a brok) is "yes," respond to qu	ker-dealer but does not have an SEC registration number, provide its <i>le</i>	
(g) If th	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete	ker-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian.	
(g) If ti fund (b)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25.(a d uses more than one custodian:	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H	
(g) If tl fund (b) (c)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25. (a d uses more than one custod Legal name of custodian: THE BANK OF NEW YORK MI Primary business name of c THE BANK OF NEW YORK MI	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH sustodian: ELLON, LONDON BRANCH	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H	
(g) If th fund (b) (c)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25. (a d uses more than one custod Legal name of custodian: THE BANK OF NEW YORK MI Primary business name of c THE BANK OF NEW YORK MI The location of the custodia City:	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH sustodian: ELLON, LONDON BRANCH	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H H Country:	
(g) If tl fund (b) (c)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25. (a d uses more than one custod Legal name of custodian: THE BANK OF NEW YORK MI Primary business name of c THE BANK OF NEW YORK MI The location of the custodia	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH sustodian: ELLON, LONDON BRANCH	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H H	If the <i>private</i>
(g) If tl fund (b) (c) (d)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25. (a d uses more than one custod Legal name of custodian: THE BANK OF NEW YORK MI Primary business name of c THE BANK OF NEW YORK MI The location of the custodia City:	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH sustodian: ELLON, LONDON BRANCH an's office responsible for State:	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H H Country:	
(g) If tl <i>fund</i> (b) (c) (d) (e)	- CRD Number (if any): If the custodian is not a bro <i>identifier</i> (if any) 571474TGEMMWANRLN572 The answer to question 25. (a d uses more than one custod Legal name of custodian: THE BANK OF NEW YORK MI Primary business name of c THE BANK OF NEW YORK MI The location of the custodia City: LONDON Is the custodian a <i>related p</i>	oker-dealer, or is a brok) is "yes," respond to qu dian, you must complete ELLON, LONDON BRANCH sustodian: ELLON, LONDON BRANCH an's office responsible for State: erson of your firm?	xer-dealer but does not have an SEC registration number, provide its <i>le</i> uestions (b) through g) below for each custodian the <i>private fund</i> uses. e questions (b) through (g) separately for each custodian. H H Country:	If the <i>private</i>

(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)

	n one custodian, you must complete quest	s (b) through g) below for each custodian the <i>private fund</i> uses. I ions (b) through (g) separately for each custodian.
(b) Legal name of c UBS AG (LONDC		
(c) Primary busines UBS AG (LONDC	ss name of custodian: DN BRANCH)	
(d) The location of City:	the custodian's office responsible for <i>custo</i> State:	dy of the <i>private fund's</i> assets (city, state and country): Country:
LONDON		United Kingdom
(e) Is the custodiar	n a related person of your firm?	
(f) If the custodian	n is a broker-dealer, provide its SEC registra	ation number (if any):
- CRD Number (if	any):	
(g) If the custodian <i>identifier</i> (if any)		er but does not have an SEC registration number, provide its <i>lega</i>
BFM8T61CT2L1	QCEMIK50	
fund uses more that	n one custodian, you must complete quest custodian:	s (b) through g) below for each custodian the <i>private fund</i> uses. I ions (b) through (g) separately for each custodian.
fund uses more than (b) Legal name of c WELLS FARGO E (c) Primary busines WELLS FARGO E	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A.	ions (b) through (g) separately for each custodian.
fund uses more than (b) Legal name of c WELLS FARGO E (c) Primary busines WELLS FARGO E	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A.	
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 fund uses more that (b) Legal name of c WELLS FARGO E (c) Primary busines WELLS FARGO E (d) The location of City: NEW YORK 	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A. the custodian's office responsible for <i>custo</i> State:	ions (b) through (g) separately for each custodian. dy of the <i>private fund's</i> assets (city, state and country): Country:
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 fund uses more than (b) Legal name of c WELLS FARGO E (c) Primary busines WELLS FARGO E (d) The location of City: NEW YORK (e) Is the custodiar 	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A. the custodian's office responsible for <i>custo</i> State: New York n a <i>related person</i> of your firm?	ions (b) through (g) separately for each custodian. dy of the <i>private fund's</i> assets (city, state and country): Country: United States
 fund uses more than (b) Legal name of control WELLS FARGO E (c) Primary business WELLS FARGO E (d) The location of City: NEW YORK (e) Is the custodian - CRD Number (if 	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A. the custodian's office responsible for <i>custo</i> State: New York n a <i>related person</i> of your firm? n is a broker-dealer, provide its SEC registration any):	ions (b) through (g) separately for each custodian. dy of the <i>private fund's</i> assets (city, state and country): Country: United States
 fund uses more than (b) Legal name of control WELLS FARGO E (c) Primary business WELLS FARGO E (d) The location of City: NEW YORK (e) Is the custodian (f) If the custodian CRD Number (if (g) If the custodian identifier (if any) 	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A. the custodian's office responsible for <i>custo</i> State: New York n a <i>related person</i> of your firm? n is a broker-dealer, provide its SEC registration any):	ions (b) through (g) separately for each custodian. dy of the <i>private fund's</i> assets (city, state and country): Country: United States
 fund uses more than (b) Legal name of conversion of conversion of conversion of conversion of city: NEW YORK (c) Is the custodian - CRD Number (if cRD Number (if car)) 	n one custodian, you must complete quest custodian: BANK N.A. ss name of custodian: BANK N.A. the custodian's office responsible for <i>custo</i> State: New York n a <i>related person</i> of your firm? n is a broker-dealer, provide its SEC registration any):	ions (b) through (g) separately for each custodian. dy of the private fund's assets (city, state and country): Country: United States ation number (if any): ler but does not have an SEC registration number, provide its <i>legi</i>

If the answer to question 26.(a) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one

. (a)) Does the <i>private fund</i> use the services of s You must answer "yes" whether the <i>perso</i> similar <i>person</i> . If the answer to question 28	on acts as a placement agent 8.(a) is "yes," respond to qu ne marketer you must compl	our <i>employees</i> for marketing purposes? , consultant, finder, introducer, municipal advisor or d estions (b) through (g) below for each such markete ete questions (b) through (g) separately for each ma mation Filed Total Funds: 3	r the <i>private fund</i>
) Does the <i>private fund</i> use the services of s You must answer "yes" whether the <i>perso</i> similar <i>person</i> . If the answer to question 28	on acts as a placement agent 8.(a) is "yes," respond to qu ne marketer you must compl	, consultant, finder, introducer, municipal advisor or d estions (b) through (g) below for each such markete ete questions (b) through (g) separately for each ma	O other solicitor, or r the <i>private fund</i>
) Does the <i>private fund</i> use the services of s You must answer "yes" whether the <i>perso</i> similar <i>person</i> . If the answer to question 28	on acts as a placement agent 8.(a) is "yes," respond to qu ne marketer you must compl	, consultant, finder, introducer, municipal advisor or d estions (b) through (g) below for each such markete ete questions (b) through (g) separately for each ma	O other solicitor, or r the <i>private fund</i>
) Does the <i>private fund</i> use the services of s You must answer "yes" whether the <i>perso</i> similar <i>person</i> . If the answer to question 28	on acts as a placement agent 8.(a) is "yes," respond to qu	, consultant, finder, introducer, municipal advisor or o estions (b) through (g) below for each such markete	O other solicitor, or r the <i>private fund</i>
) Does the <i>private fund</i> use the services of s			o
arket	<u>iters</u>			Yes
yo 10 Ind rel	our <i>related person</i> ? 00% Include only those assets where (i) such <i>perso</i> Indevant quotes, and (ii) the valuation used fo Incations) was the valuation determined by s	on carried out the valuation p r purposes of investor subsc	y value) was valued by a <i>person</i> , such as an adminis procedure established for that asset, if any, including riptions, redemptions or distributions, and fee calcula	obtaining any
	· · · · · · · · · · · · · · · · · · ·		ne investor account statements to the (rest of the) <i>p</i> est of the) <i>private fund's</i> investors, respond "not appli	
	• Yes (provided to all investors)	Some (provided to some but	not all investors) ${igcar_{igcar{O}}}$ No (provided to no investors)	
	(e) Does the administrator prepare and	send investor account state	ments to the private fund's investors?	
	(d) Is the administrator a <i>related person</i>	of your firm?		0 0
	(c) Location of administrator (city, state City: GRAND CAYMAN	State:	Country: United Kingdom	Yes No
	(c) Location of administrator (city state	and country)		

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

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

Pro	oprietary	y Interest in Client Transactions		
Α.	Do you	or any related person:	Yes	No
	(1) bu	ly securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)?	0	\odot
	(2) bu	ay or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?	0	\odot
		commend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary wnership) interest (other than those mentioned in Items 8.A.(1) or (2))?	0	۲
Sa	es Inter	rest in <i>Client</i> Transactions		
В.	Do you	or any related person:	Yes	No
		a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory ient securities are sold to or bought from the brokerage customer (agency cross transactions)?	0	\odot
	(2) rea	commend to advisory <i>clients</i> , or act as a purchaser representative for advisory <i>clients</i> with respect to, the purchase of securities for	0	\odot

which you or any related person serves as underwriter or general or managing partner?

(3) recommend purchase or sale of securities to advisory *clients* for which you or any *related person* has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?

١n	vestment or Brokerage Discretion		
C.	Do you or any related person have discretionary authority to determine the:	Yes	No
	(1) securities to be bought or sold for a <i>client's</i> account?	\odot	0
	(2) amount of securities to be bought or sold for a <i>client's</i> account?	\odot	0
	(3) broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account?	\odot	0
	(4) commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	\odot	0
D.	If you answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	0	o
E.	Do you or any related person recommend brokers or dealers to clients?	\odot	0
F.	If you answer "yes" to E. above, are any of the brokers or dealers related persons?	0	o
G.	(1) Do you or any related person receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	0	\odot
	(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	0	0
Н.	(1) Do you or any related person, directly or indirectly, compensate any person that is not an employee for client referrals?	0	\odot
	(2) Do you or any <i>related person</i> , directly or indirectly, provide any <i>employee</i> compensation that is specifically related to obtaining <i>clients</i> for the firm (cash or non-cash compensation in addition to the <i>employee's</i> regular salary)?	0	o
Ι.	Do you or any related person, including any employee, directly or indirectly, receive compensation from any person (other than you or any related person) for client referrals?	0	o
	In your response to Item 8.1., do not include the regular salary you pay to an employee.		

In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or received from (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.

Item 9 Custody

В.

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

Α.	(1)	Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	N	o
		(a) cash or bank accounts?	\odot	C	>
		(b) securities?	\odot	¢	5

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

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

U.S. Dollar Amount	Total Number of Clients
(a) \$ 148,504,748,094	(b) 6

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

(1)	In connection with advisory services you provide to clients, do any of your related persons have custody of any of your advisory clients':	Yes	No
	(a) cash or bank accounts?	\odot	0
	(b) securities?	0	~

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

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

U.S. Dollar Amount	Total Number of Clients
(a) \$ 148,504,748,094	(b) 6

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

- (2) An independent public accountant audits annually the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the pools.
- (3) An independent public accountant conducts an annual surprise examination of *client* funds and securities.
- (4) An independent public accountant prepares an internal control report with respect to custodial services when you or your related persons are qualified custodians for *client* funds and securities.

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

 \mathbf{O} \odot

Yes No

 \odot

0

- D. Do you or your related person(s) act as qualified custodians for your clients in connection with advisory services you provide to clients? Yes No (1) you act as a qualified custodian \odot O
 - (2) your *related person(s)* act as qualified custodian(s)

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

- E. If you are filing your annual updating amendment and you were subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date (MM/YYYY) the examination commenced:
- If you or your related persons have custody of client funds or securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*? 17

SECTION 9.C. Independent Public Accountant

No Information Filed

Item 10 Control Persons

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

If you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C.

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

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

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

SECTION 10.A. Control Persons

No Information Filed

SECTION 10.B. Control Person Public Reporting Companies

No Information Filed

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your *advisory affiliates*. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the *filing adviser* and all *relying advisers* under an *umbrella registration*.

Your *advisory affiliates* are: (1) all of your current *employees* (other than *employees* performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any *person* performing similar functions); and (3) all *persons* directly or indirectly *controlling* you or *controlled* by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your *advisory affiliates* are.

If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

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

De	any of the events below involve you or any of your supervised persons?	_	No
		0	\odot
	"yes" answers to the following questions, complete a Criminal Action DRP:	Vac	Na
Α.	In the past ten years, have you or any <i>advisory affiliate</i> : (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	Yes	-
		0	o
	(2) been <i>charged</i> with any <i>felony</i> ?	0	O
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) charges that are currently pending.	to	
	In the past ten years, have you or any advisory affiliate:		
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	0	0
	(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	0	\odot
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) charges that are currently pending.	to	
or	"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?	\circ	C
	(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?	0	C
	(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	C
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	\circ	\odot
	(5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?	0	0
	Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:		
	(1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?	0	o
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	\odot	0
	(3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	o
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	0	$\overline{\mathbf{O}}$
	(5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity?	0	0
	Has any self-regulatory organization or commodities exchange ever:		
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	\odot
	(2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)?	0	C
	(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?	0	C
	(4) disciplined you or any <i>advisory affiliate</i> by expelling or suspending you or the <i>advisory affiliate</i> from membership, barring or suspending you or the <i>advisory affiliate</i> from association with other members, or otherwise restricting your or the <i>advisory affiliate's</i> activities?	0	C
	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or	0	o

suspended?

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.,	0	\odot
	11.D., or 11.E.?		

Yes No

For "ye	es" answers	to the follo	wing questions	complete a	Civil Judicial Action DR	P:
<u>101 y</u>			wing questions		CIVIL JUDICIAL ACTION DI	<u>.</u>

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

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

Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another person is presumed to control the other person.

		Yes	s No	
А.	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	
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0	

Schedule A

Direct Owners and Executive Officers

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:
 - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions:

(b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act); Direct owners include any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-inlaw, 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 Schedule B? <a>S Yes <a>No No
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%
 - A 5% but less than 10% C 25% but less than 50% E 75% or more
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last	DE/FE/I	Title or Status	Date Title or Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of
Name, First Name, Middle Name)			Acquired MM/YYYY	Code	Person		Birth, IRS Tax No. or Employer ID No.
LMR MANAGEMENT SERVICES LIMITED	FE	MEMBER	10/2023	E	Y	Ν	
BYMAN, MARTIN, RICHARD	I	HEAD OF US OFFICE	11/2020	NA	Y	Ν	2914057
ZELDIN, BORIS, NMN	I	CHIEF COMPLIANCE OFFICER	04/2024	NA	Y	N	7708839

Schedule B

Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
 - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, 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.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned		Date Status Acquired MM/YYYY		Control Person		<i>CRD</i> No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
LEVINE, BEN, LESLIE	I	LGI INVESTMENTS AG	SHAREHOLDER	01/2010	E	Y	N	2931507
LMR PARTNERS LP	FE	LMR PARTNERS (OFFSHORE) LTD	SHAREHOLDER	06/2014	E	Y	N	
LMR PARTNERS MANAGEMENT LIMITED	FE	LMR PARTNERS LP	GENERAL PARTNER	09/2009	F	Y	N	
RENOLD, STEFAN, ANDREAS	I	LMR PARTNERS LP	PARTNER	09/2024	С	Y	N	6046756
LGI INVESTMENTS AG	FE	LMR PARTNERS LP	PARTNER	02/2020	С	Y	N	
LMR PARTNERS (OFFSHORE) LTD	FE	LMR MANAGEMENT SERVICES LIMITED	SHAREHOLDER	02/2009	E	Y	N	

Schedule D - Miscellaneous

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

ched	lule R				
SEC	TION	1 Identifying Information			
Res	ponse	es to this Section tell us who	you (the <i>relying advis</i>	er) are, where you are doing bus	siness, and how we can contact you.
A.		full legal name: CIPHER LP			
В.	1A.	ne under which you primarily CIPHER LP	conduct your advisory	business, if different from Sectio	n 1.A. above or Item 1.A. of the <i>filing adviser's</i> Form ADV Part
C.	List a	any other business names a	his question for each other business name.		
				No Information Filed	
	You	do not have to include the na	mes or jurisdictions of	the filing adviser or other relying a	dviser(s) in response to this Section 1.C.
D.	-	ser's CRD number), your CRD		mber") assigned by the FINRA's (CRD system or by the IARD system (other than the filing
				No Information Filed	
E.	advis Princ (1)	 <i>cipal Office and Place of Busine</i> Address (do not use a P.O. Same as the <i>filing advise</i> Number and Street 1: 412 WEST 15TH STREET City: NEW YORK 	Box):	Number and Street 2: 9TH FLOOR Country: United States	ZIP+4/Postal Code: 10011
		If this address is a private	residence, check this	box: 🗖	
	(2)	Days of week that you nor Monday - Friday Other Normal business hours at the 9AM-5.30PM	r:	as at your <i>principal office and place</i>	e of business:
	(3)	Telephone number at this 6468915738	location:		
	(4)	Facsimile number at this lo	cation, if any:		
F.	Maili	ing address, if different from	your principal office an	d place of business address:	
	₽ S	Same as the <i>filing adviser</i> .			
	Nun	mber and Street 1:		Number and Street 2:	
	City	r: State	::	Country:	ZIP+4/Postal Code:
	lf th	his address is a private reside	ence, check this box:		

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*.

H. If you have Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers: No Information Filed

SECTION 2 SEC Registration

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

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), below. 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) 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 *controls*, is *controlled* by, or is under common *control* with, an investment adviser that is registered with the SEC, and your *principal office and place of business* is the same as the registered adviser;
- (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 Order:

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

SECTION 3 Form of Organization

- How are you organized?
- O Corporation

Α.

O Sole Proprietorship

- C Limited Liability Partnership (LLP)
- O Partnership
- C Limited Liability Company (LLC)
- Limited Partnership (LP)
- O 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 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? 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.

FULL LEGAL NAME	DE/FE/I	Title or Status	Date Title or	Ownership	Control	PR	CRD No.
(Individuals: Last Name, First			Status Acquired	Code	Person		If None: S.S. No. and Date of Birth, IRS
Name, Middle Name)			ΜΜ/ΥΥΥΥ				Tax No. or Employer ID No.
BYMAN, MARTIN, RICHARD	I	HEAD OF US	11/2020	NA	Y	N	2914057
		OFFICE					
LMR CIPHER MANAGEMENT LLC	DE	GENERAL	04/2024	NA	Y	N	
		PARTNER					
WEISHAR, MATTHEW, IRA	1	LIMITED PARTNER	04/2024	E	Y	N	3068882
ZELDIN, BORIS, NMN	1	CHIEF	04/2024	NA	Y	N	7708839
		COMPLIANCE					
		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	PR	CRD No. If None: S.S. No.
Last Name, First Name, Middle Name)		Interest is Owned		Acquired MM/YYYY	Code	Person		and Date of Birth, IRS Tax No. or Employer ID No.
LEVINE, BEN, LESLIE	I	LGI INVESTMENTS AG	SHAREHOLDER	01/2010	С	Y	N	2931507
LGI INVESTMENTS AG	FE	LMR PARTNERS LP	PARTNER	02/2020	С	Y	Ν	
LMR MANAGEMENT SERVICES LIMITED	FE	LMR PARTNERS	MEMBER	03/2024	E	Y	N	
LMR PARTNERS (OFFSHORE) LTD	FE	LMR MANAGEMENT SERVICES LIMITED	SHAREHOLDER	02/2009	E	Y	N	
LMR PARTNERS LLC	DE	LMR CIPHER MANAGEMENT LLC	SHAREHOLDER	03/2024	E	Y	N	
LMR PARTNERS LP	FE	LMR PARTNERS (OFFSHORE) LTD	SHAREHOLDER	06/2014	E	Y	N	
LMR PARTNERS MANAGEMENT LIMITED	FE	LMR PARTNERS LP	GENERAL PARTNER	09/2009	E	Y	N	
RENOLD, STEFAN, ANDREAS	1	LMR PARTNERS LP	PARTNER	09/2024	С	Y	Ν	6046756

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?

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

- Yes No
- 0 0

DRP Pages

CRIMINAL D	SCLOSURE REPORTING PAGE (AD	V)		
No Informatio	n Filed			
REGULATOR	ACTION DISCLOSURE REPORTIN	IG PAGE (ADV)		
		GENERAL INSTRU	CTIONS	
This Disclosu	re Reporting Page (DRP ADV) is an 🤇	NITIAL OR • AMENDED respon	se used to report details for af	firmative responses to Items 11.C., 11.D
11.E., 11.F. o	r 11.G. of Form ADV.			
		Regulatory Ac	ion	
Check item(s) being responded to:	Regulatory Ac	.011	
[11.C(1)	□ 11.C(2)	🗖 11.C(3)	1 1.C(4)	🗖 11.C(5)
🗖 11.D(1)	☑ 11.D(2)	1 1.D(3)	🗖 11.D(4)	11.D(5)
🗖 11.E(1)	🗖 11.E(2)	🗖 11.E(3)	🗖 11.E(4)	
🗖 11.F.	🗖 11.G.			
with a comple	eted Execution Page.			ne <i>person</i> or entity using one DRP. File ne DRP to report details related to the
	If an event gives rise to actions by n			
PART I				
	son(s) or entity(ies) for whom this DF	RP is being filed is (are):		
O You	(the advisory firm)			
O You	and one or more of your <i>advisory affi</i>	liates		
	or more of your <i>advisory affiliates</i>			
ADV DR <i>CRD</i> Numbe	P - ADVISORY AFFILIATE 159639	This <i>advisory affiliate</i> is o a Firm	O an Individual	
	ered: 💿 Yes 🗢 No			
Name:	EXTENSION LMR PARTNERS LLP (For individuals, Last, First, Middle)			
This regis advis If you a 11.D(4)	tered or applying for registration wisser's or <i>advisory affiliate's</i> favor. The registered or registering with a <i>s</i>	V record because: (1) the event o th the SEC or reporting as an <i>exer</i> tate securities authority, you may re than ten years ago. If you are r	<i>proceeding</i> occurred more than <i>npt reporting adviser</i> with the S remove a DRP for an event you	n ten years ago or (2) the adviser is EC and the event was resolved in the
🗖 This	DRP should be removed from the AD mstances:		ror, such as due to a clerical or	data-entry mistake. Explain the
the IAR	<i>lvisory affiliate</i> is registered through t O or <i>CRD</i> for the event? If the answe No			ed a DRP (with Form ADV, BD or U-4) to
NOTE: T	he completion of this form does not	relieve the <i>advisory affiliate</i> of its o	bligation to update its IARD or	CRD records.
PART II				
0	bry Action initiated by:	- [!		
	O Other Federal O State O SRC			
(Full nar	me of regulator, <i>foreign financial regu</i>	latory authority, federal, state, or S	SRO)	

2. Principal Sanction:	
Other Sanctions:	
3. Date Initiated (MM/DD/YYYY):	
O Exact O Explanation	
If not exact, provide explanation:	
4. Docket/Case Number:	
5. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):	
6. Principal Product Type:	
Other Product Types:	
7. Describe the allegations related to this regulatory action (your response must fit within the space provided):	
8. Current Status? O Pending O On Appeal O Final	
9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.	
10. How was matter resolved:	
11. Resolution Date (MM/DD/YYYY):	
O Exact O Explanation	
If not exact, provide explanation:	
12. Resolution Detail:	
A. Were any of the following Sanctions Ordered (check all appropriate items)?	
Monetary/Fine Amount: \$	
Revocation/Expulsion/Denial Disgorgement/Restitution	
Censure Cease and Desist/Injunction	
□ Bar □ Suspension	
B. Other Sanctions Ordered:	
Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Princ Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> , date paid and if any of penalty was waived:)
13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your remust fit within the space provided).	sponse
GENERAL INSTRUCTIONS	C 11 D
This Disclosure Reporting Page (DRP ADV) is an 👩 INITIAL OR 💿 AMENDED response used to report details for affirmative responses to Items 11 11.E., 11.F. or 11.G. of Form ADV.	.c., it.d.,
Regulatory Action	

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

Use a separate DRP for each event or *proceeding*. The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

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

PART I

- A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):
 - O 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 full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name). If the *advisory affiliate* has a *CRD* number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

<i>CRD</i> Number:	159639	This advisory affiliate is 💿 a Firm 🗢 an Individual
Registered:	⊙ Yes ○ No	
Name:	LMR PARTNERS LLP (For individuals, Last, First, Middle)	

- This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser.
- This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

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

- This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
- B. If the *advisory affiliate* is registered through the IARD system or *CRD* system, has the *advisory affiliate* submitted a DRP (with Form ADV, BD or U-4) to the IARD or *CRD* for the event? If the answer is "Yes," no other information on this DRP must be provided.

🖸 Yes 🔘 No

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

PART II

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

Other Sanctions:

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

• Exact • Explanation If not exact, provide explanation:

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

Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

	8. Current Status? O Pending O On Appeal O Final								
9.	9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:								
lf Fir	If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.								
10.	How was matter res	olved:							
	Resolution Date (MM/								
	O Exact O Expla	ination							
	If not exact, provide	explanation:							
12.	Resolution Detail:								
	A. Were any of the	e following Sanctions Order	red (check all appropriate items))?					
	Monetary/F	ine Amount: \$							
	Revocation.	/Expulsion/Denial	1	Disgorgement/Restitution					
	🗖 Censure		1	Cease and Desist/Injunctio	n				
	🗖 Bar		1	Suspension					
	B. Other Sanction	s Ordered:							
	Financial Opera requalify/retrain disgorgement c of penalty was Provide a brief sumn	tions Principal, etc.). If requ n, type of exam required an or monetary compensation, waived: nary of details related to th	ualification by exam/retraining and whether condition has been a provide total amount, portion	was a condition of the sanction satisfied. If disposition resulte levied against you or an <i>advise</i>	ffected (General Securities Principal, n, provide length of time given to d in a fine, penalty, restitution, ory affiliate, date paid and if any portion as, conditions and dates (your response				
	must fit within the sp	bace provided).							
			GENERAL INSTRU	^TIONS					
This D	Disclosure Reporting	Page (DRP ADV) is an 👝 II			ffirmative responses to Items 11.C., 11.D.,				
	, 11.F. or 11.G. of For								
Check	(item(s) being resp	nded to:	Regulatory Ac	tion					
	<pre>k item(s) being response</pre>				[] 11 C(5)				
[] 11	.C(1)	□ 11.C(2)	1 1.C(3)	□ 11.C(4)	□ 11.C(5)				
[] 11	I.C(1) I.D(1)	☐ 11.C(2) ☑ 11.D(2)	□ 11.C(3) □ 11.D(3)	☐ 11.C(4) ☐ 11.D(4)	☐ 11.C(5) ☐ 11.D(5)				
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Number: Registered: • Yes • No This *advisory affiliate* is ^(C) a Firm ^(C) an Individual

Name: LMR PARTNERS LIMITED (For individuals, Last, First, Middle)

This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser.
 This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

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

- This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:
- B. If the *advisory affiliate* is registered through the IARD system or *CRD* system, has the *advisory affiliate* submitted a DRP (with Form ADV, BD or U-4) to the IARD or *CRD* for the event? If the answer is "Yes," no other information on this DRP must be provided.

• Yes • No

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

PART II

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

Other Sanctions:

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

• Exact • Explanation If not exact, provide explanation:

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

Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):

8. Current Status? ^O Pending ^O On Appeal ^O Final

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

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

10. How was matter resolved:

11. Resolution Date (MM/DD/YYYY):

• Exact • Explanation If not exact, provide explanation:

12. Resolution Detail:

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

- Disgorgement/Restitution
- Cease and Desist/Injunction

	🗖 Bar 🗖 Suspe	ension
B.	Other Sanctions Ordered:	
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start Financial Operations Principal, etc.). If requalification by exam/retraining was a co requalify/retrain, type of exam required and whether condition has been satisfied disgorgement or monetary compensation, provide total amount, portion levied ag of penalty was waived:	ndition of the sanction, provide length of time given to If disposition resulted in a fine, penalty, restitution,
	vide a brief summary of details related to the action status and (or) disposition and st fit within the space provided).	include relevant terms, conditions and dates (your response
CIVIL JU	DICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)	
No Inforn	nation Filed	

Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

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

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

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)
287138	PART 2A BROCHURE - 2024	Private funds or pools

Yes No

0 0

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

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

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

Appointment of Agent for Service of Process

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

Signature

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

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

Signature:

Date: MM/DD/YYYY

BORIS ZELDIN Printed Name: BORIS ZELDIN Adviser *CRD* Number: 292183 11/19/2024 Title: CHIEF COMPLIANCE OFFICER

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

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

1. Appointment of Agent for Service of Process

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

2. Appointment and Consent: Effect on Partnerships

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

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

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

Signature

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

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

Signature: Printed Name: Adviser *CRD* Number: 292183 Date: MM/DD/YYYY Title: