

[§ 240.10B-101](#)

**Schedule 10B—Information to be included in statements filed pursuant to § 240.10B-1(a) and amendments thereto filed pursuant to § 240.10B-1(c).**

Securities and Exchange Commission, Washington, DC 20549 Schedule 10B Under the Securities Exchange Act of 1934 (Amendment No.   ) \* (Name, Address, Email Address and Telephone Number of Person Authorized To Receive Notices and Communications) (Date of Event Which Requires Filing of This Statement or Any Amendment Thereto As Required by Rule 10B-1(c))

- (1) State the name of the reporting person (or names of reporting persons if making a joint filing as a group). State if the reporting person is a member of a group. If the reporting person is a member of a group and the members of the group are satisfying the group's Rule 10B-1(a)(1) (§ 240.10B-1(a)(1)) filing obligation by making individual filings, identify all members of the group.
- (2) State the residency or place of organization of the reporting person(s).
- (3) State the type of reporting person(s) (see instructions).
- (4) For reporting persons that are legal entities, state the Legal Entity Identifier (LEI) of the reporting person(s), if such person(s) has an LEI.
- (5) State the notional amount of the applicable security-based swap position(s), as defined in Rule 10B-1(b)(3) (§ 240.10B-1(b)(3)), of the reporting person(s), along with summary information about the composition of the position as it relates to the direction (*i.e.*, long or short) and the tenor/expiration of the underlying security-based swap transactions and the product ID ([17 CFR 242.900\(bb\)](#)) of the security-based swap(s) included in the security-based swap position, if applicable.
- (6) In the case of a security-based swap position based on debt securities (including credit default swaps), state the ownership of: (i) All debt securities underlying a security-based swap included in the security-based swap position, including the Financial Instrument Global Identifier (FIGI) of each underlying debt security, if applicable, and the LEI of the issuer of each underlying debt security, if the issuer has an LEI; and (ii) all security-based swaps based on equity securities issued by the same reference entity, including the FIGI of each underlying equity security, if applicable. In addition to the FIGI, other unique security identifier(s) may be included at the filer's option.
- (7) In the case of a security-based swap position based on equity securities, state the ownership of: (i) All equity securities underlying a security-based swap included in the security-based swap position, including the FIGI of each underlying equity security, if applicable, and the LEI of the issuer of each underlying equity security, if the issuer has an LEI; and (ii) all security-based swaps based on debt securities issued by the same reference entity (including credit default

swaps), including the FIGI of each underlying debt security, if applicable. In addition to the FIGI, other unique security identifier(s) may be included at the filer's option.

(8) State the ownership of any other instrument relating to the security-based swap position and/or any underlying security or loan or group or index of securities or loans, or any security or group or index of securities, the price, yield, value, or volatility of which, or of which any interest therein, is the basis for a material term of a security-based swap included in the security-based swap position, if not otherwise disclosed pursuant to Items 6 or 7 of this statement. For any underlying security disclosed pursuant to this Item, disclose the FIGI of the security, if applicable, and the LEI of the issuer of the security, if the issuer has an LEI. In addition to the FIGI, other unique security identifier(s) may be included at the filer's option.

(9) To the extent that the reporting threshold amount, as defined in Rule 10B-1(b)(1) (§ 240.10B-1(b)(1)), is based on the number of shares corresponding to a security-based swap position based on equity securities, state the number of shares attributable to the security-based swap position, along with the closing price used in the calculation and the date of such closing price.

### **Instructions to Schedule 10B**

(1) *Type of Reporting Person* —Please classify each “reporting person” according to the following breakdown and place the appropriate symbol (or symbols, *i.e.*, if more than one is applicable, insert all applicable symbols) on the form:

<b>Category</b>	<b>Symbol</b>
Broker Dealer	BD
Security-Based Swap Dealer or Major Security-Based Swap Participant	SBSE
Bank	BK
Insurance Company	IC
Investment Company	IV
Investment Adviser	IA
Employee Benefit Plan or Endowment Fund	EP
Parent Holding Company/Control Person	HC
Savings Association	SA
Church Plan	CP
Corporation	CO
Partnership	PN
Individual	IN
Other	OO

(2) *Incorporation by Reference* —Rule 10B-1(e) (§ 240.10B-1(e)) provides that if some or all of the information required to be disclosed on Schedule 10B is publicly available on EDGAR at the time the Schedule 10B is required to be filed, such information may be incorporated by reference in answer, or partial answer, to any item of Schedule 10B. Include an express statement clearly describing the specific location of the information you are incorporating by reference. You must include an active hyperlink to information incorporated into Schedule 10B to the applicable link to EDGAR). The information must not be incorporated by reference in any case where such incorporation would render the disclosure incomplete, unclear, or confusing. For example, disclosure must not be incorporated by reference from a second document if that second document incorporates information pertinent to such disclosure by reference to a third document.

*Signature.* After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Date

Signature

Name/Title

The original statement shall be signed by each person on whose behalf the statement is filed or their authorized representative. If the statement is signed on behalf of a person by their authorized representative (other than an executive officer or general partner of the reporting person), evidence of the representative's authority to sign on behalf of such person shall be filed with the statement, provided however, that a power of attorney for this purpose which is already on file with the Commission may be incorporated by reference.

Attention—Intentional misstatements or omissions of fact constitute Federal criminal violations (See [18 U.S.C. 1001](#)).