**FORM 13F-CTR COVER PAGE**

**THIS IS A CONFIDENTIAL FILING AND IT WILL NOT BE DISSEMINATED.**Form 13F-CTR requires a Confidential Treatment Request Letter in PDF format.  
For a public filing, please see our [Form 13F Client Worksheet](https://go.toppanmerrill.com/form-13f-cover-page).

See our [Form 13F-HR Information Table Worksheet](https://go.toppanmerrill.com/form-13-f-information-table-worksheet)

|  |  |
| --- | --- |
| Report for the Calendar Year or Quarter Ended: |  |
|  | MM-DD-YYYY Valid MM-DD are:  03-31, 06-30, 09-30, 12-31 |

**For amended filings only:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Check here if Amendment: |  | Amendment Number: | | |  |
|  | | | (2-character limit) | | |
|  | | |  | | |
| Check the box for a de novo request. | | |  | (Form 13F-CTR/A only) | |
|  | | |  | | |
| This Amendment (Check only one.): | | |  | is a restatement. | |
|  | | |  | adds new holdings entries. | |

**Institutional Investment Manager Filing this Report:**

|  |  |  |  |
| --- | --- | --- | --- |
| Name: \* |  | | |
|  | (150-character limit) | | |
| Address: \* |  | | |
|  | Street 1 (40-character limit) | | |
|  |  | | |
|  | Street 2 (40-character limit) | | |
|  |  |  |  |
|  | City | [State](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm)\*\* | Zip/Foreign Postal Code |
|  | (30-character limit) |  | (10-character limit) |
| CRD Number: \*\*\* |  | | |
|  | (9-character limit) | | |
| Managers File Number: \*\*\* |  | | |
|  | (e.g., file number prefix 801-, 8-, 866-, 802-) | | |

\* Name and entire Address must exactly match the name and address associated with the filer’s CIK on the SEC EDGAR database (includes spelling and punctuation, but not casing).  
Ask your Customer Service Representative for a copy of your SEC EDGAR profile, as needed.

\*\* “State” must use the [SEC list of predefined State/Country Codes](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm) (Ctrl+Click on link).

\*\*\* Optional.

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, lists, and tables, are considered integral parts of this form.

**Person Signing this Report on Behalf of Reporting Manager:**

|  |  |
| --- | --- |
| Name: |  |
|  | (150-character limit) |
| Title: |  |
|  | (60-character limit) |
| Phone: |  |
|  | (20-character limit) Hyphens may be included to improve readability. |

**Signature, Place, and Date of Signing:**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| Signature (150-character limit) | City (30-character limit for city) | [State](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm)\* | Date MM-DD-YYYY |

\* “State” must use the SEC list of predefined State/Country Codes.

**Report Type (Check only one.):**

|  |  |
| --- | --- |
|  | **13F HOLDINGS REPORT**. (Check here if all holdings of this reporting manager are reported in this report.) |
|  | **13F COMBINATION REPORT**. (Check here if a portion of the holdings for this reporting manager are reported in this report and a portion are reported by other reporting manager(s).) |

**List of Other Managers Reporting for this Manager:**

(If there are no entries in this list, ignore this section.) Required for 13F Combination Report.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| CIK\* (10-character limit) | Name\*\*\* (150-character limit) | Form 13F File Number\*\* | CRD No.\* (9-character limit) | Managers File Number\*\*\*\* |
|  |  |  |  |  |
|  |  |  |  |  |

(Add additional rows as needed, up to 100 may be added.)

\* Optional.

\*\* Optional. Must begin with **028-**.

\*\*\* Required. If CIK is entered, the Name must exactly match the name associated with the CIK on the SEC EDGAR database (includes spelling, punctuation and casing).   
You may use the [Company Filings search](http://www.sec.gov/edgar/searchedgar/companysearch.html) on SEC website to view the company name associated with a CIK (Ctrl+Click on link).

\*\*\*\* Optional. May begin with **801-, 8-, 866-, 802-**.

**Information relevant to Special Instruction 5:**

|  |  |  |
| --- | --- | --- |
| Do you wish to provide information pursuant to Special Instruction 5? (check) |  |  |
| **Additional Information:** | | |
|  | | |

(The box for Special Instruction 5 must be checked to enter text in this field. 4000-character limit.)

**FORM 13F-CTR SUMMARY PAGE**

**Report Summary:**

|  |  |
| --- | --- |
| Number of Other Included Managers: |  |
| (if none, enter number zero (“0”)) | (3-digit limit, matches number of rows in List of Other Included Managers below) |
| Form 13F Information Table Entry Total: |  |
|  | (6-digit limit, omit commas) |
| Form 13F Information Table Value Total: |  |
|  | (To the nearest $) (13-digit limit, omit commas) |

**List of Other Included Managers:**

Provide a numbered list of the name(s) and Form 13F number(s) of all institutional investment managers with respect to which this report is filed, other than the manager filing this report.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No.(1) | Name(2) (150-character limit) | CIK(3) (10-character limit) | Form 13F File Number(4) | CRD No.(3) (9-character limit) | Managers File Number(5) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

(Add additional rows as needed, 999 row limit. If table is blank, the word NONE will appear.)

(1) Required. Numbers must be integers only and each row numbered in order, but may not be numbered sequentially (*e.g.*, 1, 2, 5, 9, 12, …999, maximum of 999).

(2) Required. If CIK is entered, the Name must exactly match the name associated with the CIK on the SEC EDGAR database (includes spelling, punctuation and casing).  
You may use the [Company Filings search](http://www.sec.gov/edgar/searchedgar/companysearch.html) on SEC website to view the company name associated with a CIK (Ctrl+Click on link).

(3) Optional.

(4) Optional. Must begin with **028-**.

(5) Optional. May begin with **801-, 8-, 866-, 802-**.