



Large Trader Disclosure

大型交易者聲明

The Securities and Exchange Commission ("SEC") has adopted Rule 13h-1 requiring individuals and entities whose meet specific transaction thresholds, known as "identifying activity levels", to file Form 13H registering them as Large Traders. These individuals are assigned a Large Trader Identification Number ("LTID") by the SEC that they must disclose to their broker-dealers and identify the accounts to which it should apply.

A Large Trader is defined as a person (legal entity or individual) who, directly or indirectly, through the exercise of investment discretion, effects transaction in NMS securities that equal or exceed, in the aggregate:

- 2 million shares or \$20 million during any calendar day,
OR
- 20 million shares or \$200 million over any calendar month

For additional information on the Large Trader Reporting requirement, please visit:

- SEC: <http://www.sec.gov/divisions/marketreg/large-trader-faqs.htm>
- FINRA: <https://www.finra.org/filing-reporting/electronic-blue-sheets-ebs/faq>

Filing Form 13H

Form 13H must be filed through the EDGAR database. Details on how to file Form 13H electronically can be found at <http://www.sec.gov/info/edgar.shtml> and <https://www.edgarfiling.sec.gov/>. Please note that all information provided through Form 13H is confidential and not accessible to the public.

Important: Individuals or entities must monitor their own trading activity to determine whether it equals or exceeds the identifying activity level in aggregate, and then disclose their Large Trader status to both the SEC (by filing Form 13H) and their broker-dealers (by providing them their LTID).

Please note that filing Form 13H voluntarily is an option to avoid constantly monitoring trading activity. However, if Apex realizes a client's trading activity in their account(s) has reached the Large Trader threshold without possessing an LTID, the client will be notified via email and must proceed to file Form 13H to register as a Large Trader with the SEC. They are then required to inform Apex of their assigned LTID and the accounts to which it should apply by contacting us directly.

Details on how to file Form 13H electronically can be found at:

<http://www.sec.gov/info/edgar.shtml>
<https://www.edgarfiling.sec.gov/>

大型交易者声明

美国证券交易委员会 (“SEC”) 已采用规则 13h-1，要求满足特定交易门槛 (称为“识别活动水平”) 的个人和实体提交 13H 表格，将其注册为大型交易员。美国证券交易委员会为这些人分配了一个大型交易者识别号码 (“LTID”)，他们必须向其经纪自营商披露该号码并确定其应适用的账户。

大型交易者被定义为通过行使投资自由裁量权直接或间接影响 NMS 证券交易的人 (法人实体或个人)，总计等于或超过：

- 在任何一个日历日内有 200 万股价值 2000 万美元的股票，
或者
- 任何日历月内有 2000 万股或 2 亿美元

有关大型交易者报告要求的更多信息，请访问：

- SEC: <http://www.sec.gov/divisions/marketreg/large-trader-faqs.htm>
- FINRA: <https://www.finra.org/filing-reporting/electronic-blue-sheets-ebs/faq>

申请表格 13H

必须通过 EDGAR 数据库提交表格 13H。有关如何以电子方式提交 13H 表格的详细信息，请访问 <http://www.sec.gov/info/edgar.shtml> 和 <https://www.edgarfiling.sec.gov/>。请注意，通过 13H 表格提供的所有信息都是保密的，公众无法访问。

重要提示：个人或实体必须监控自己的交易活动，以确定其总体上是否等于或超过识别活动水平，然后向美国证券交易委员会 (通过提交表格 13H) 和他们的经纪自营商 (通过提供他们的 LTID)。

请注意，自愿提交 13H 表格是避免持续监控交易活动的一种选择。但是，如果 Apex 意识到客户在其账户中的交易活动已达到大型交易者门槛而没有 LTID，客户将通过电子邮件收到通知，并且必须继续提交表格 13H 以在美国证券交易委员会注册为大型交易者。然后，他们需要通过直接联系我们，将分配给他们的 LTID 及其应适用的账户告知 Apex。

有关如何以电子方式提交 13H 表格的详细信息，请访问：

<http://www.sec.gov/info/edgar.shtml>
<https://www.edgarfiling.sec.gov/>