



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/>

大型交易者聲明

美國證券交易委員會（“SEC”）已採用規則 13h-1，要求滿足特定交易門檻（稱為“識別活動水平”）的個人和實體提交 13H 表格，將其註冊為大型交易員。美國證券交易委員會為這些人分配了一個大型交易者識別號碼（“LTID”），他們必須向其經紀自營商披露該號碼並確定其應適用的賬戶。

大型交易者被定義為通過行使投資自由裁量權直接或間接影響 NMS 證券交易的人（法人實體或個人），總計等於或超過：

- 在任何一個日曆日內有 200 萬股價值 2000 萬美元的股票，
或者
- 任何日曆月內有 2000 萬股或 2 億美元

有關大型交易者報告要求的更多信息，請訪問：

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

申請表格 13H

必須通過 EDGAR 數據庫提交表格 13H。有關如何以電子方式提交 13H 表格的詳細信息，請訪問 <http://www.sec.gov/info/edgar.shtml> 和 <https://www.edgarfiling.sec.gov/>。請注意，通過 13H 表格提供的所有信息都是保密的，公眾無法訪問。

重要提示：個人或實體必須監控自己的交易活動，以確定其總體上是否等於或超過識別活動水平，然後向美國證券交易委員會（通過提交表格 13H）和他們的經紀自營商（通過提供他們的 LTID）。

請注意，自願提交 13H 表格是避免持續監控交易活動的一種選擇。但是，如果 Apex 意識到客戶在其賬戶中的交易活動已達到大型交易者門檻而沒有 LTID，客戶將通過電子郵件收到通知，並且必須繼續提交表格 13H 以在美國證券交易委員會註冊為大型交易者。然後，他們需要通過直接聯繫我們，將分配給他們的 LTID 及其應適用的賬戶告知 Apex。

有關如何以電子方式提交 13H 表格的詳細信息，請訪問：

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