



## Large Trader LTID Disclosure Form

The U.S. Securities and Exchange Commission's (SEC) Rule 13h-1 requires U.S. and non-U.S. market participants who meet the definition of "Large Trader" to identify themselves to the SEC by filing an electronic Form 13H via EDGAR. Upon receipt of the Form 13H, the SEC will assign each Large Trader a unique identification number (known as an "LTID"). Large Traders must then disclose their assigned LTIDs to each U.S. registered broker-dealer executing trades or carrying accounts on their behalf, along with their account(s) associated with the executing or carrying firm, to which the LTIDs apply.

A Large Trader is defined as a person (legal entity or natural person) who, directly or indirectly, through the exercise of investment discretion, effects transactions in U.S. 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

If you are a Large Trader who holds and/or has trading authority over a tastyworks account, please submit your LTID and associated tastyworks account number(s). To do so, simply complete the fields below and send this form to [accounts@tastyworks.com](mailto:accounts@tastyworks.com).

Large Trader's Full Name: \_\_\_\_\_

LTIDs (separated by commas): \_\_\_\_\_

Please list each tastyworks account number associated with the LTID(s) above.

- |    |    |    |     |
|----|----|----|-----|
| 1. | 4. | 7. | 10. |
| 2. | 5. | 8. | 11. |
| 3. | 6. | 9. | 12. |

Customer Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Please note, this mailbox is dedicated to LTID submissions for tastyworks accounts only. If you have accounts or relationships with other broker-dealers, it is still necessary for you to inform those introducing and/or executing brokers of your LTID.