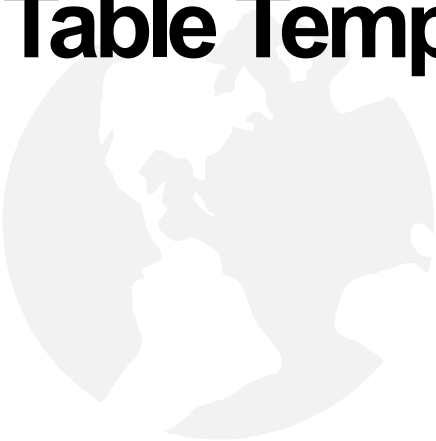


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SEC Form SHO Filing (Short Position/Activity) Table Templates



Filing SEC Form SHO

When filing SEC Form SHO, Short Positions and Activity information is typically prepared as an Excel table listing (1) the details of each Issuer and Security; (2) Short Position in each Security at the end of the month; and (3) Net Short Activity in each Security on each trading day during the month. In the Excel workbook *ShoTemplates.xlsx* accompanying this document, we provide example tables which you can also use as templates to prepare your filings. You can separate your data into separate sheets and/or files, as long as you preserve the column names in the templates.

Three sample templates are provided:

1. **Combined** – Positions and Activity are included in one single table.
2. **!Table1** – mirrors the layout of Form SHO Table 1 (End-of-month Positions Table)
3. **!Table2** – mirrors the layout of Form SHO Table 2 (Daily Activity Table)

You can select whichever template(s) best fit your workflow. The end result is the same.

General Considerations

1. In every table, row 1 must be column headings, named exactly as in the templates (upper/lower case does not matter).
2. Columns may be in any order. Extra columns (headings not matching any headings in the templates) are ignored, so you don't need to delete them.
3. In any table, data starts in row 2, and there should be no extraneous data after the last record. Data rows may be in any order – the platform automatically sorts them as needed.
4. Rows with *Shares* and *Value* data represent Positions (SHO table 1). Rows with *Change* data represent Activity (SHO table 2). A row may include both (Activity and Position on the last trading day of the month).

Column Descriptions

Date: Date of Position (typically last day of the month), or Settlement Date of Activity.

Issuer: Name of the Issuer or Security.

LEI: Legal Entity Identifier, a 20-character alphanumeric code that uniquely identifies the Issuer.

Title: Title of Security.

CUSIP: CUSIP of Security. It is an 8-character alphanumeric code.

FIGI: FIGI of Security. It is a 12-character alphanumeric code.

Shares: Net Short Position at end of month, in shares.

Value: Net Short Position at end of month, in US dollars.

Change: Change in number of shares resulting from Short Activity. Leave blank if no Activity.

Notes

Details of each Issuer and Security (*Issuer*, *LEI*, *Title*, *CUSIP* and *FIGI*) need be entered only once. When blank, the Issuer and Security in the above row is assumed. So in the example templates, entries in gray are optional.