SEC Form 4

**FORM 4**

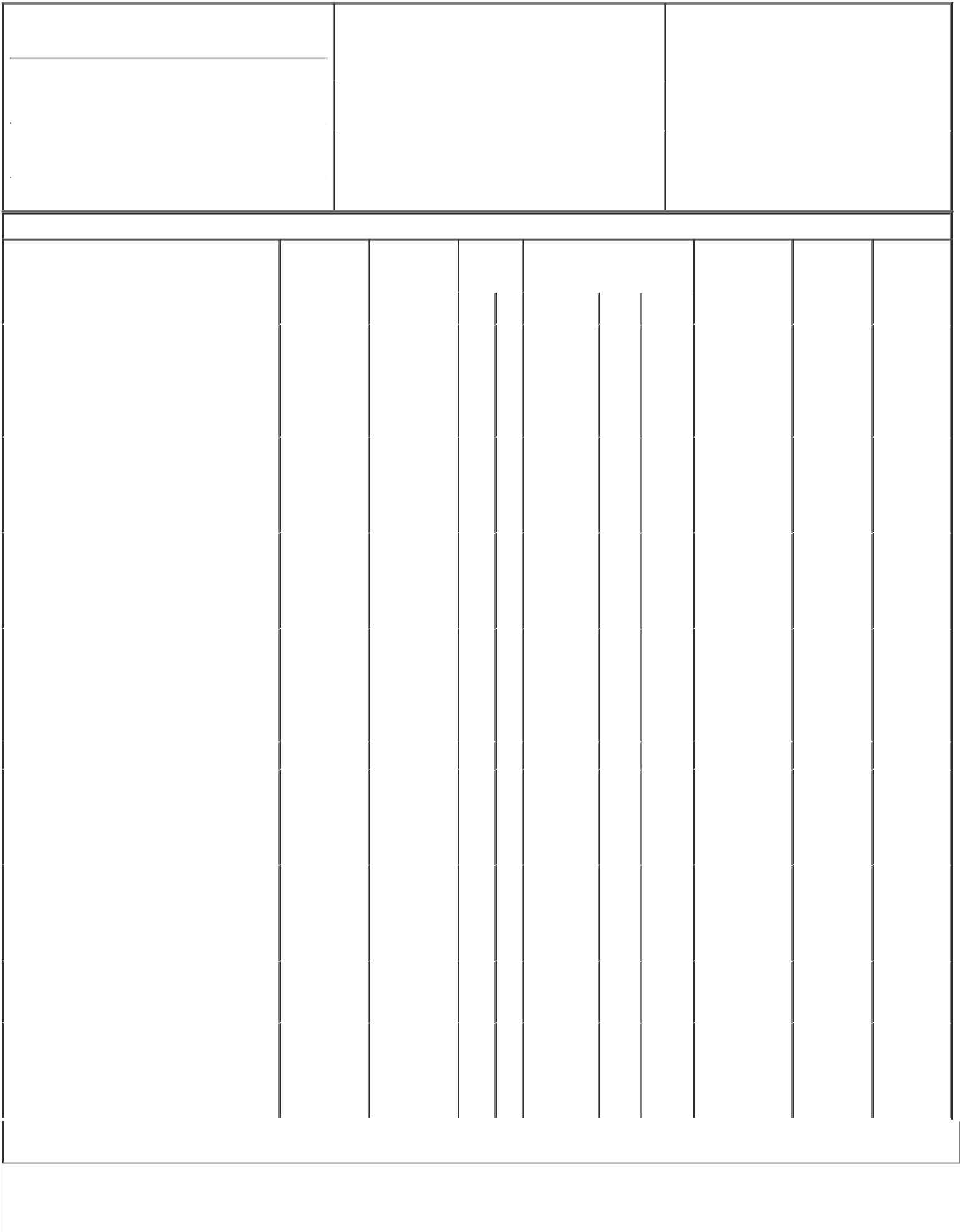
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).



|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** |  |  |  |  |  |
| Washington, D.C. 20549 |  |  |  |  |  |
|  | OMB APPROVAL | | |  |
|  |  |  |
| **STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP** |  |  |  |  |  |
|  | OMB Number: | 3235-0287 |  |  |
|  |  |  |  |
|  |  | Estimated average burden |  |  |  |
| Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 |  | hours per response: | 0.5 |  |  |
|  |  |  |  |  |
|  |  |  |  |  |



or Section 30(h) of the Investment Company Act of 1940



1. Name and Address of Reporting Person\*

[Feld Peter A](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001410600)

|  |  |  |  |
| --- | --- | --- | --- |
|  | (Last) | (First) | (Middle) |
|  | 777 THIRD AVENUE, 18TH FLOOR | | |
|  |  |  |  |
| (Street) | |  |  |
|  | NEW YORK | NY | 10017 |
|  |  |  |  |
|  | (City) | (State) | (Zip) |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 2. Issuer Name **and** Ticker or Trading Symbol | | | 5. Relationship of Reporting Person(s) to Issuer | | |  |
| [MARVELL TECHNOLOGY GROUP LTD](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001058057) [ | | | (Check all applicable) | |  |  |
|  |  |  |  |  |
|  | | | X | Director | 10% Owner |  |
|  | [MRVL ]](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001058057) |  |  |
|  |  |  |  |  |
|  |  |  |  | Officer (give title | Other (specify |  |
|  |  |  |  | below) | below) |  |
| 3. Date of Earliest Transaction (Month/Day/Year) | | |  |  |  |  |
| 09/13/2016 | |  |  |  |  |  |
|  |  |  |  | | |  |
| 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | 6. Individual or Joint/Group Filing (Check Applicable Line) | | |  |
|  |  |  | X Form filed by One Reporting Person | | |  |
|  |  |  |  | Form filed by More than One Reporting Person | |  |

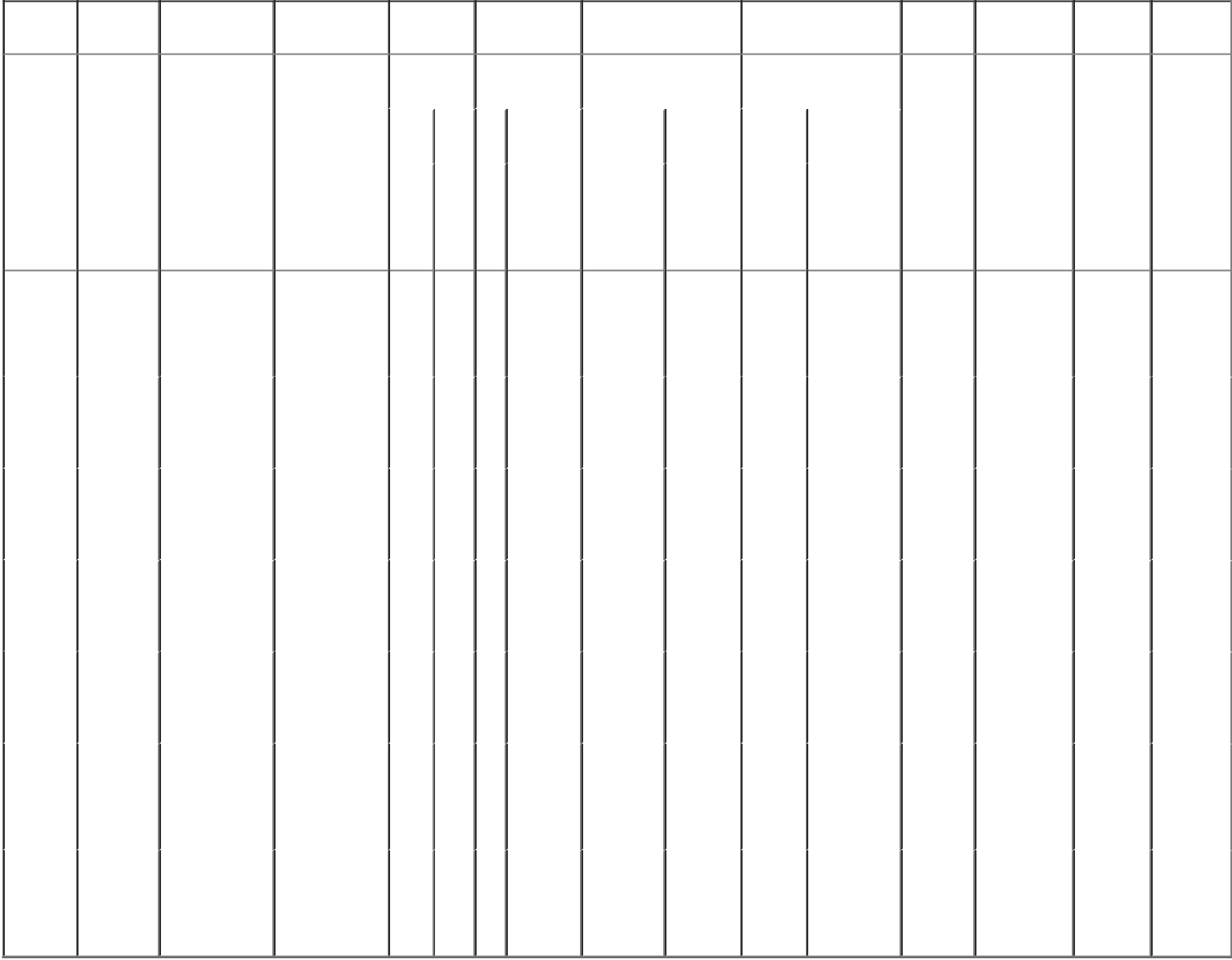
**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **1. Title of Security (Instr. 3)** | **2. Transaction** | **2A. Deemed** | **3.** | **4. Securities Acquired (A) or** | | | **5. Amount of** | **6. Ownership** | **7. Nature of** |  |  |
|  |  | **Date** | **Execution Date,** | **Transaction** | **Disposed Of (D) (Instr. 3, 4 and 5)** | | | **Securities** | **Form: Direct** | **Indirect** |  |  |
|  |  | **(Month/Day/Year)** | **if any** | **Code (Instr.** |  |  |  | **Beneficially Owned** | **(D) or Indirect** | **Beneficial** |  |  |
|  |  |  | **(Month/Day/Year)** | **8)** |  |  |  | **Following** | **(I) (Instr. 4)** | **Ownership** |  |  |
|  |  |  |  |  |  |  |  | **Reported** |  | **(Instr. 4)** |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  | **Code V** | **Amount** | **(A) or** | **Price** | **Transaction(s)** |  |  |  |  |
|  |  |  |  | **(D)** | **(Instr. 3 and 4)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value | 09/13/2016 |  | X(9) | 10,000,000 | A | $5 | 12,208,183 | I | Value and |  |  |
|  |  | Opportunity |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | Master |  |  |
|  |  |  |  |  |  |  |  |  |  | Fund Ltd(1) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value | 09/13/2016 |  | X(9) | 1,308,889 | A | $5 | 1,588,369 | I | Value and |  |  |
|  |  |  |  |  |  |  |  |  |  | Opportunity |  |  |
|  |  |  |  |  |  |  |  |  |  | S LLC(2) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value | 09/13/2016 |  | X(9) | 727,225 | A | $5 | 877,932 | I | Value and |  |  |
|  |  |  |  |  |  |  |  |  |  | Opportunity |  |  |
|  |  |  |  |  |  |  |  |  |  | C LP(3) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value | 09/14/2016 |  | X(9) | 1,287,308 | A | $5 | 13,495,491 | I | Value and |  |  |
|  |  | Opportunity |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | Master |  |  |
|  |  |  |  |  |  |  |  |  |  | Fund Ltd(1) |  |  |
|  | Common Stock, $0.002 Par Value |  |  |  |  |  |  | 3,246 | D |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value |  |  |  |  |  |  | 9,310,245 | I | Leaders |  |  |
|  |  |  |  |  |  |  |  |  |  | Juliet |  |  |
|  |  |  |  |  |  |  |  |  |  | LLC(4) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  | Common Stock, $0.002 Par Value |  |  |  |  |  |  | 3,792,301 | I | Leaders |  |  |
|  |  |  |  |  |  |  |  |  |  | Select II |  |  |
|  |  |  |  |  |  |  |  |  |  | LP(5) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  | Common Stock, $0.002 Par Value |  |  |  |  |  |  | 2,883,842 | I | Starboard T |  |  |
|  |  |  |  |  |  |  |  |  |  | Fund LP(6) |  |  |
|  |  |  |  |  |  |  |  |  |  | By |  |  |
|  |  |  |  |  |  |  |  |  |  | Managed |  |  |
|  | Common Stock, $0.002 Par Value |  |  |  |  |  |  | 1,772,606 | I | Account of |  |  |
|  |  |  |  |  |  |  |  |  |  | Starboard |  |  |
|  |  |  |  |  |  |  |  |  |  | Value LP(7) |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**

**(e.g., puts, calls, warrants, options, convertible securities)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Title of** | | **2.** | **3. Transaction** | **3A. Deem d** |  | **4.** |  | **5. Numb of** | | **6. Date Exercisable and** | | **7. Title** | | | | | **d Amount of** | **8. Price of** | **9. Number of** | **10.** | **11. Nature** | |  |
| **Derivative** | | **Conversion** | **Date** | **Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned** | | | | | | | | | | | | | | | **derivative** | **Ownership** | **of Indirect** | |  |
| **Execution Date,** | | **Transaction** | | **Derivative** | | **Expiration Date** | | **Securities Underlying** | | | | | | **Derivative** |  |
| **Security** | | **or Exercise** | **(Month/Day/Year)** | **if any** |  | **Code (Instr.** | | **Securities** | | **(M nth/Day/Year)** | | **Derivative Security** | | | | | | **Security** | **Securities** | **Form:** | **Beneficial** | |  |
| **(e.g., puts, calls, warrants, options, convertible securities)** | | | | | | | | | | | | |  |  |  |  |  |  |
| **(Instr. 3)** | | **Price of** |  | **(Month/Day/Year)** | | **8)** |  | **Acquired (A) or** | |  |  | **(Instr. 3 and 4)** | | | | | | **(Instr. 5)** | **Beneficially** | **Direct (D)** | **Ownership** | |  |
|  |  | **Derivative** |  |  |  |  |  | **Disposed of (D)** | |  |  |  |  |  |  |  |  |  | **Owned** | **or Indirect** | **(Instr. 4)** | |  |
|  |  | **Security** |  |  |  |  |  | **(Instr. 3, 4 and** | |  |  |  |  |  |  |  |  |  | **Following** | **(I) (Instr. 4)** |  |  |  |
|  |  |  |  |  |  |  |  | **5)** |  |  |  |  |  |  |  |  |  |  | **Reported** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Transaction(s)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Amount or** |  | **(Instr. 4)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **Date** | **Expiration** |  |  |  |  |  | **Number of** |  |  |  |  |  |  |
| **1. Title of** | | **2.** | **3. Transaction** | **3A. Deemed** |  | **Code** | **V** | **(A)** | **(D)** | **Exercisable** | **Date** | **Title** | | | | | **Shares** | **8. Price of** | **9. Number of** | **10.** | **11. Nature** | |  |
|  | **4.** |  | **5. Number of** | | **6. Date Exercisable and** | | **7. Title and Amount of** | | | | | |  |
| **Derivative** | | **Conversion** | **Date** | **Execution Date,** | | **Transaction** | | **Derivative** | | **Expiration Date** | | **Securities Underlying** | | | | | | **Derivative** | **derivative** | **Ownership** | **of Indirect** | |  |
| **Security** | | **or Exercise** | **(Month/Day/Year)** | **if any** |  | **Code (Instr.** | | **Securities** | | **(Month/Day/Year)** | | **Derivative Security** | | | | | | **Security** | **Securities** | **Form:** | By | |  |
|  | **Beneficial** | |  |
| Call | | **Price of** |  | **(Month/Day/Year)** | | **8)** |  | **Acquired (A) or** | |  |  | Common | | | | |  | **(Instr. 5)** | **Beneficially** | **Direct (D)** | Starboard | |  |
| **(Instr. 3)** | |  |  |  |  | **(Instr. 3 and 4)** | | | | | | **Ownership** | |  |
| Option | | **Derivative** |  |  |  |  |  | **Disposed of (D)** | |  |  |  | Stock, | | | |  |  | **Owned** | **or Indirect** | Value and | |  |
| 09/13/2016 |  |  | X(9) |  | (8) | 08/09/2017 | $0.002 | | | | | 10,000,000 | $0 | **(Instr. 4)** | |  |
| (right to | | $5 |  |  |  |  | 10,000,000 | 1,287,308 | I | Opportunity | |  |
| **Security** |  |  |  |  |  | **(Instr. 3, 4 and** | |  |  |  |  | Par | | |  |  | **Following** | **(I) (Instr. 4)** |  |
| buy) | |  |  |  |  |  |  | **5)** |  |  |  |  |  |  |  | **Reported** |  | Master | |  |
|  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Transaction(s)** |  | Fund Ltd(1) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | **Amount or** |  | **(Instr. 4)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **Date** | **Expiration** | **Title**Common | | | | | **Number of** |  |  |  | By | |  |
|  |  |  |  |  |  | **Code** | **V** | **(A)** | **(D)** | **Exercisable** | **Date** | **Shares** |  |  |  |  |
|  |  |  |  |  |  |  |  |  | Starboard | |  |
|  | Put Option |  |  |  |  |  |  |  |  |  |  |  | Stock, | | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  | E(9) |  |  |  |  |  |  |  | 10,000,000 |  |  |  | Value and | |  |
| (obligation | | $5 | 09/13/2016 |  |  |  |  | 10,000,000 | 08/09/2017 | 08/09/2017 | $0.002 | | | | | $0 | 1,287,308 | I |  |
|  |  |  |  | Opportunity | |  |
| to buy) | |  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Master | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Fund Ltd(1) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Call | |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
|  |  |  |  |  |  |  |  |  |  |  | Stock, | | | |  |  |  |  | Starboard | |  |
| Option | |  |  |  |  | X(9) |  |  |  |  |  |  | 1,308,889 |  |  |  |  |
| $5 | 09/13/2016 |  |  |  |  | 1,308,889 | (8) | 08/09/2017 | $0.002 | | | | | $0 | 0 | I | Value and | |  |
| (right to | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Opportunity | |  |
| buy) | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  | S LLC(2) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
| Put Option | |  |  |  |  | E(9) |  |  |  |  |  |  | Stock, | | | | 1,308,889 |  |  |  | Starboard | |  |
| (obligation | | $5 | 09/13/2016 |  |  |  |  | 1,308,889 | 08/09/2017 | 08/09/2017 | $0.002 | | | | | $0 | 0 | I | Value and | |  |
| to buy) | |  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Opportunity | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  | S LLC(2) | |  |
| Call | |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
|  |  |  |  |  |  |  |  |  |  |  | Stock, | | | |  |  |  |  | Starboard | |  |
| Option | |  |  |  |  | X(9) |  |  |  |  |  |  | 727,225 |  |  |  |  |
| $5 | 09/13/2016 |  |  |  |  | 727,225 | (8) | 08/09/2017 | $0.002 | | | | | $0 | 0 | I | Value and | |  |
| (right to | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Opportunity | |  |
| buy) | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  | C LP(3) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
| Put Option | |  |  |  |  | E(9) |  |  |  |  |  |  | Stock, | | | | 727,225 |  |  |  | Starboard | |  |
| (obligation | | $5 | 09/13/2016 |  |  |  |  | 727,225 | 08/09/2017 | 08/09/2017 | $0.002 | | | | | $0 | 0 | I | Value and | |  |
| to buy) | |  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Opportunity | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  | C LP(3) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
| Call | |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Starboard | |  |
|  |  |  |  |  |  |  |  |  |  |  | Stock, | | | |  |  |  |  |  |
| Option | |  |  |  |  | X(9) |  |  |  | (8) |  |  | 1,287,308 |  |  |  | Value and | |  |
| $5 | 09/14/2016 |  |  |  |  | 1,287,308 | 08/09/2017 | $0.002 | | | | | $0 | 0 | I |  |
| (right to | |  |  |  |  | Opportunity | |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  |  |
| buy) | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Master | |  |
|  |  |  |  |  |  |  |  |  |  |  | Value | | | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Fund Ltd(1) | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Common | | | | |  |  |  |  | By | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Starboard | |  |
| Put Option | |  |  |  |  |  |  |  |  |  |  |  | Stock, | | | |  |  |  |  |  |
|  |  |  |  | E(9) |  |  |  |  |  |  | 1,287,308 |  |  |  | Value and | |  |
| (obligation | | $5 | 09/14/2016 |  |  |  |  | 1,287,308 | 08/09/2017 | 08/09/2017 | $0.002 | | | | | $0 | 0 | I |  |
|  |  |  |  | Opportunity | |  |
| to buy) | |  |  |  |  |  |  |  |  |  |  |  |  | Par | | |  |  |  |  | Master | |  |



|  |  |  |
| --- | --- | --- |
| Value | Fund Ltd(1) |  |
|  |  |

**Explanation of Responses:**

1. Securities owned directly by Starboard Value and Opportunity Master Fund Ltd ("Starboard V&O Fund"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP LLC ("Starboard Value GP"), the general partner of the investment manager of Starboard V&O Fund, and as a member and member of the Management Committee of Starboard Principal Co GP LLC ("Principal GP"), the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard V&O Fund for purposes of Section 16 of the Securities Exchange Act of 1934, as amended ("Section 16"). The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
2. Securities owned directly by Starboard Value and Opportunity S LLC ("Starboard S LLC"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of the manager of Starboard S LLC, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard S LLC for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
3. Securities owned directly by Starboard Value and Opportunity C LP ("Starboard C LP"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of the investment manager of Starboard C LP, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard C LP for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
4. Securities owned directly by Starboard Leaders Juliet LLC ("Starboard Juliet LLC"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of the investment manager of Starboard Juliet LLC, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard Juliet LLC for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
5. Securities owned directly by Starboard Leaders Select II LP ("Starboard Select II LP"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of the investment manager of Starboard Select II LP, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard Select II LP for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
6. Securities owned directly by Starboard T Fund LP ("Starboard T LP"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of the investment manager of Starboard T LP, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities directly held by Starboard T LP for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
7. Securities held in an account managed by Starboard Value LP (the "Managed Account"). The Reporting Person, solely by virtue of his position as a member of the Management Committee of Starboard Value GP, the general partner of Starboard Value LP, and as a member and member of the Management Committee of Principal GP, the general partner of the member of Starboard Value GP, may be deemed to beneficially own the securities held in the Managed Account for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.
8. These options were exercisable at any time prior to their expiration.
9. On the date listed in Item 3 of Table II, each of Starboard V&O Fund, Starboard S LLC and Starboard C LP exercised those certain call options listed in Table II. Upon exercise of such call options, those certain call options terminated along with those certain put options in accordance with their terms.

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| --- | --- | --- | --- |
| /s/ Peter A. Feld |  |  | 09/15/2016 |
| \*\* Signature of Reporting Person | | Date | |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, *see* Instruction 4 (b)(v).

* Intentional misstatements or omissions of facts constitute Federal Criminal Violations *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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