

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). ▶ Complete all entries in accordance with the instructions to the Form 5500.	OMB Nos. 1210-0110 1210-0089 2021 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2021 or fiscal plan year beginning <u>01/01/2021</u> and ending <u>12/31/2021</u>	
A This return/report is for:	☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.) ☒ a single-employer plan ☐ a DFE (specify) _____
B This return/report is:	☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C If the plan is a collectively-bargained plan, check here.	☐
D Check box if filing under:	☒ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)
E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here.	☐

Part II	Basic Plan Information—enter all requested information				
1a Name of plan <u>TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1b Three-digit plan number (PN) ▶</td> <td style="width: 20%; text-align: center;"><u>001</u></td> </tr> <tr> <td colspan="2">1c Effective date of plan <u>04/01/1995</u></td> </tr> </table>	1b Three-digit plan number (PN) ▶	<u>001</u>	1c Effective date of plan <u>04/01/1995</u>	
1b Three-digit plan number (PN) ▶	<u>001</u>				
1c Effective date of plan <u>04/01/1995</u>					
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>TUDOR INVESTMENT CORPORATION</u> <u>200 ELM STREET</u> <u>STAMFORD, CT 06902</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>2b Employer Identification Number (EIN) <u>22-2514825</u></td> </tr> <tr> <td>2c Plan Sponsor's telephone number <u>203-863-6709</u></td> </tr> <tr> <td>2d Business code (see instructions) <u>523900</u></td> </tr> </table>	2b Employer Identification Number (EIN) <u>22-2514825</u>	2c Plan Sponsor's telephone number <u>203-863-6709</u>	2d Business code (see instructions) <u>523900</u>	
2b Employer Identification Number (EIN) <u>22-2514825</u>					
2c Plan Sponsor's telephone number <u>203-863-6709</u>					
2d Business code (see instructions) <u>523900</u>					

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/13/2022	BARBARA LENT
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/13/2022	BARBARA LENT
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Form 5500 (2021)
v. 210624

3a Plan administrator's name and address ☒ Same as Plan Sponsor		3b Administrator's EIN	
		3c Administrator's telephone number	
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name		4b EIN 4d PN	
5 Total number of participants at the beginning of the plan year		5	449
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d).			
a(1) Total number of active participants at the beginning of the plan year.....		6a(1)	229
a(2) Total number of active participants at the end of the plan year		6a(2)	229
b Retired or separated participants receiving benefits.....		6b	0
c Other retired or separated participants entitled to future benefits		6c	211
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d	440
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e	1
f Total. Add lines 6d and 6e		6f	441
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g	441
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h	3
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7	
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2F 2G 2J 2K 2T 3H 3D 2S 2E			
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:			
9a Plan funding arrangement (check all that apply) (1) ☒ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☒ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	
10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)			
a Pension Schedules (1) ☒ R (Retirement Plan Information) (2) ☐ MB (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary (3) ☐ SB (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary		b General Schedules (1) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☒ <u>1</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE A (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Insurance Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500. ▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2).	OMB No. 1210-0110 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021	
A Name of plan TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN	B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 TUDOR INVESTMENT CORPORATION	D Employer Identification Number (EIN) 22-2514825

Part I	Information Concerning Insurance Contract Coverage, Fees, and Commissions	Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A.
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1 Coverage Information:

(a) Name of insurance carrier
PRUDENTIAL RETIREMENT INSURANCE AND ANNUITY COMPANY

(b) EIN	(c) NAIC code	(d) Contract or identification number	(e) Approximate number of persons covered at end of policy or contract year	Policy or contract year	
				(f) From	(g) To
06-1050034	93629	075570	441	01/01/2021	12/31/2021

2 Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

(a) Total amount of commissions paid	(b) Total amount of fees paid
0	0

3 Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

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(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		(e) Organization code
	(c) Amount	(d) Purpose	

Part II Investment and Annuity Contract Information

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

4	Current value of plan's interest under this contract in the general account at year end	4	0
5	Current value of plan's interest under this contract in separate accounts at year end.....	5	5473197

6 Contracts With Allocated Funds:**a** State the basis of premium rates ▶

b	Premiums paid to carrier	6b	
c	Premiums due but unpaid at the end of the year	6c	
d	If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount. Specify nature of costs ▶	6d	

e Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity
(3) ☐ other (specify) ▶

f If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ☐**7** Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)

a Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee
(3) ☐ guaranteed investment (4) ☐ other ▶

b	Balance at the end of the previous year	7b	0
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c	Additions: (1) Contributions deposited during the year	7c(1)		
	(2) Dividends and credits.....	7c(2)		
	(3) Interest credited during the year.....	7c(3)		
	(4) Transferred from separate account.....	7c(4)		
	(5) Other (specify below)	7c(5)		
	▶			

(6) Total additions	7c(6)	0
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d Total of balance and additions (add lines 7b and 7c(6))	7d	0
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e Deductions:			
(1) Disbursed from fund to pay benefits or purchase annuities during year	7e(1)		
(2) Administration charge made by carrier.....	7e(2)		
(3) Transferred to separate account.....	7e(3)		
(4) Other (specify below)	7e(4)		
▶			

(5) Total deductions	7e(5)	0
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f Balance at the end of the current year (subtract line 7e(5) from line 7d)	7f	0
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Part III Welfare Benefit Contract Information

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

8 Benefit and contract type (check all applicable boxes)

- a** ☐ Health (other than dental or vision)
b ☐ Dental
c ☐ Vision
d ☐ Life insurance
e ☐ Temporary disability (accident and sickness)
f ☐ Long-term disability
g ☐ Supplemental unemployment
h ☐ Prescription drug
i ☐ Stop loss (large deductible)
j ☐ HMO contract
k ☐ PPO contract
l ☐ Indemnity contract
m ☐ Other (specify) ▶

9 Experience-rated contracts:

a Premiums: (1) Amount received	9a(1)		
(2) Increase (decrease) in amount due but unpaid	9a(2)		
(3) Increase (decrease) in unearned premium reserve	9a(3)		
(4) Earned ((1) + (2) - (3))		9a(4)	
b Benefit charges (1) Claims paid	9b(1)		
(2) Increase (decrease) in claim reserves	9b(2)		
(3) Incurred claims (add (1) and (2))		9b(3)	
(4) Claims charged		9b(4)	
c Remainder of premium: (1) Retention charges (on an accrual basis) --			
(A) Commissions	9c(1)(A)		
(B) Administrative service or other fees	9c(1)(B)		
(C) Other specific acquisition costs	9c(1)(C)		
(D) Other expenses	9c(1)(D)		
(E) Taxes	9c(1)(E)		
(F) Charges for risks or other contingencies	9c(1)(F)		
(G) Other retention charges	9c(1)(G)		
(H) Total retention		9c(1)(H)	
(2) Dividends or retroactive rate refunds. (These amounts were ☐ paid in cash, or ☐ credited.)		9c(2)	
d Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement		9d(1)	
(2) Claim reserves		9d(2)	
(3) Other reserves		9d(3)	
e Dividends or retroactive rate refunds due. (Do not include amount entered in line 9c(2).)		9e	

10 Nonexperience-rated contracts:

a Total premiums or subscription charges paid to carrier	10a	
b If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount. Specify nature of costs.	10b	

Part IV Provision of Information

11 Did the insurance company fail to provide any information necessary to complete Schedule A? ☐ Yes ☒ No

12 If the answer to line 11 is "Yes," specify the information not provided. ▶

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2021
		This Form is Open to Public Inspection.

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 TUDOR INVESTMENT CORPORATION	D Employer Identification Number (EIN) 22-2514825	

Part I	Service Provider Information (see instructions)
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You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

- a** Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions)..... ☒ Yes ☐ No
- b** If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
PRUDENTIAL RETIREMENT INSURANCE AND
06-1050034

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

PRUDENTIAL RETIREMENT INSURANCE AND

06-1050034

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
13 15 37 50 64	NONE	71965	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☒ No ☐

(a) Enter name and EIN or address (see instructions)

PROCYON INSTITUTIONAL PARTNERS LLC

82-1646066

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
16 50	CONSULTANT	65000	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

RSM US LLP

42-0714325

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	NONE	39249	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	
(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.	

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
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(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

SCHEDULE D (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan <u>TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN</u>	B Three-digit plan number (PN) <u>001</u>
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>TUDOR INVESTMENT CORPORATION</u>	D Employer Identification Number (EIN) <u>22-2514825</u>

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>AM CENT MID CAP VALUE</u>			
b Name of sponsor of entity listed in (a): <u>PRUDENTIAL RETIREMENT INS.</u>			
c EIN-PN <u>06-1050034-850</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>1579685</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRU TOTAL RETURN BONDSA</u>			
b Name of sponsor of entity listed in (a): <u>PRUDENTIAL RETIREMENT INS.</u>			
c EIN-PN <u>06-1050034-814</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>3893512</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>TROWE PRICE RET 2010 A</u>			
b Name of sponsor of entity listed in (a): <u>T. ROWE PRICE TRUST COMPANY</u>			
c EIN-PN <u>32-6199795-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>2897223</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>TROWE PRICE RET 2015 A</u>			
b Name of sponsor of entity listed in (a): <u>T. ROWE PRICE TRUST COMPANY</u>			
c EIN-PN <u>35-6941654-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>119474</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>TROWE PRICE RET 2020 A</u>			
b Name of sponsor of entity listed in (a): <u>T. ROWE PRICE TRUST COMPANY</u>			
c EIN-PN <u>36-7594871-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>3001920</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>TROWE PRICE RET 2025 A</u>			
b Name of sponsor of entity listed in (a): <u>T. ROWE PRICE TRUST COMPANY</u>			
c EIN-PN <u>37-6495447-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>2471225</u>	
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>TROWE PRICE RET 2030 A</u>			
b Name of sponsor of entity listed in (a): <u>T. ROWE PRICE TRUST COMPANY</u>			
c EIN-PN <u>38-7010946-001</u>	d Entity code <u>C</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>4615091</u>	

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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2035 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 36-7595013-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 2545392
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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2040 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 35-6941729-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 13345110
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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2045 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 32-6199848-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 2405341
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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2050 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 30-6303214-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 5009861
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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2055 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 35-6941728-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 193810
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a Name of MTIA, CCT, PSA, or 103-12 IE: TROWE PRICE RET 2060 A

b Name of sponsor of entity listed in (a): T. ROWE PRICE TRUST COMPANY

c EIN-PN 47-1088316-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 168545
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a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
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a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
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a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
-----------------	----------------------	---

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
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Part II Information on Participating Plans (to be completed by DFEs)

(Complete as many entries as needed to report all participating plans)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN	B Three-digit plan number (PN)	001
C Plan sponsor's name as shown on line 2a of Form 5500 TUDOR INVESTMENT CORPORATION	D Employer Identification Number (EIN) 22-2514825	

Part I	Asset and Liability Statement
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1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a	279	
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	1362414	1167608
(2) Participant contributions.....	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	0	9612454
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	392527	460877
(9) Value of interest in common/collective trusts.....	1c(9)	31203393	36772992
(10) Value of interest in pooled separate accounts	1c(10)	4398337	5473197
(11) Value of interest in master trust investment accounts.....	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	99794312	100179682
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)		
(15) Other.....	1c(15)		

		(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:		
(1)	Employer securities.....	1d(1)	
(2)	Employer real property.....	1d(2)	
e	Buildings and other property used in plan operation	1e	
f	Total assets (add all amounts in lines 1a through 1e)	1f	137151262 153666810
Liabilities			
g	Benefit claims payable	1g	
h	Operating payables	1h	
i	Acquisition indebtedness.....	1i	
j	Other liabilities.....	1j	
k	Total liabilities (add all amounts in lines 1g through 1j)	1k	0 0
Net Assets			
l	Net assets (subtract line 1k from line 1f).....	1l	137151262 153666810

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

		(a) Amount	(b) Total
Income			
a	Contributions:		
(1)	Received or receivable in cash from: (A) Employers	2a(1)(A)	1817189
	(B) Participants	2a(1)(B)	3783196
	(C) Others (including rollovers).....	2a(1)(C)	129006
(2)	Noncash contributions.....	2a(2)	
(3)	Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)	5729391
b	Earnings on investments:		
(1)	Interest:		
	(A) Interest-bearing cash (including money market accounts and certificates of deposit).....	2b(1)(A)	777
	(B) U.S. Government securities	2b(1)(B)	
	(C) Corporate debt instruments	2b(1)(C)	
	(D) Loans (other than to participants)	2b(1)(D)	
	(E) Participant loans.....	2b(1)(E)	23184
	(F) Other	2b(1)(F)	
	(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)	23961
(2)	Dividends: (A) Preferred stock.....	2b(2)(A)	
	(B) Common stock	2b(2)(B)	
	(C) Registered investment company shares (e.g. mutual funds).....	2b(2)(C)	1364869
	(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)	1364869
(3)	Rents	2b(3)	
(4)	Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	
	(B) Aggregate carrying amount (see instructions).....	2b(4)(B)	
	(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)	0
(5)	Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)	
	(B) Other	2b(5)(B)	
	(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)	0

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		4687094
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		-19384
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds).....	2b(10)		15322526
c Other income.....	2c		
d Total income. Add all income amounts in column (b) and enter total.....	2d		27108457
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	10413951	
(2) To insurance carriers for the provision of benefits.....	2e(2)		
(3) Other.....	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3).....	2e(4)		10413951
f Corrective distributions (see instructions).....	2f		2629
g Certain deemed distributions of participant loans (see instructions).....	2g		
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees.....	2i(1)		
(2) Contract administrator fees.....	2i(2)		
(3) Investment advisory and management fees.....	2i(3)		
(4) Other.....	2i(4)	176329	
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		176329
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		10592909
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d.....	2k		16515548
l Transfers of assets:			
(1) To this plan.....	2l(1)		
(2) From this plan.....	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☒ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☐ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: RSM US LLP

(2) EIN: 42-0714325

d The opinion of an independent qualified public accountant is **not attached** because:

(1) ☐ This form is filed for a CCT, PSA, or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.).....

	Yes	No	Amount
4a		X	

	Yes	No	Amount
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)			
4b		X	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)			
4c		X	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)			
4d		X	
e Was this plan covered by a fidelity bond?	X		5000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
4f		X	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4g		X	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?		X	
4h		X	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)		X	
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?		X	
4k		X	
l Has the plan failed to provide any benefit when due under the plan?		X	
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)		X	
4m		X	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan TUDOR INVESTMENT CORPORATION 401(K) SAVINGS AND PROFIT SHARING PLAN	B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 TUDOR INVESTMENT CORPORATION	D Employer Identification Number (EIN) 22-2514825

Part I	Distributions
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All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1	0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 22-1211670		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year	3	

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
----------------	---

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?	☐ Yes	☐ No	☐ N/A
If the plan is a defined benefit plan, go to line 8.			
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.			
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)	6a		
b Enter the amount contributed by the employer to the plan for this plan year	6b		
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)	6c		
If you completed line 6c, skip lines 8 and 9.			
7 Will the minimum funding amount reported on line 6c be met by the funding deadline?	☐ Yes	☐ No	☐ N/A
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?	☐ Yes	☐ No	☐ N/A

Part III	Amendments
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9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....	☐ Increase	☐ Decrease	☐ Both	☐ No
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Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
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10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?	☐ Yes	☐ No
11 a Does the ESOP hold any preferred stock?	☐ Yes	☐ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)	☐ Yes	☐ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?	☐ Yes	☐ No

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule R (Form 5500) 2021
v. 201209

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14c

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

b The corresponding number for the second preceding plan year.....

15b

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:

Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____

Tudor Investment Corporation 401 (k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

December 31, 2021 and 2020 and Year Ended December 31, 2021 with Independent Auditor's Report



Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

EIN #22-2514825

Plan# 001

December 31, 2021 and 2020
and Year Ended December 31, 2021

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Independent Auditor's Report

The Plan Trustees
Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan

Opinion

We have audited the financial statements of Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan (the Plan), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of December 31, 2021 and 2020, the related statement of changes in net assets available for benefits for the year ended December 31, 2021, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2021 and 2020, and the changes in its net assets available for benefits the year ended December 31, 2021, in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments, administering the Plan, and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if, there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedule Required by ERISA

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2020, is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's (DOL's) Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, including its form and content, is presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying schedule is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

RSM VS LLP

Stamford, Connecticut
October 3, 2022

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statements of Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

	December 31	
	2021	2020
Assets		
Investments	\$ 152,038,325	\$ 135,396,042
Cash	-	279
Receivables:		
Employer contributions	1,167,608	1,362,414
Notes receivable from participants	460,877	392,527
	<u>1,628,485</u>	<u>1,754,941</u>
Net assets available for benefits	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statement of Changes in Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

Year Ended December 31, 2021

Additions

Contributions:

Employees	\$ 3,783,196
Employee rollovers	129,006
Employer	<u>1,817,189</u>
	5,729,391

Investment Gain:

Net realized and unrealized appreciation in fair value of investments	21,355,882
---	------------

Interest on notes receivable from participants	<u>23,184</u>
Total additions	<u>27,108,457</u>

Deductions

Rollover distributions	9,996,130
Benefits paid to participants	420,450
Administrative expenses	<u>176,329</u>
Total deductions	<u>10,592,909</u>

Net increase in net assets available for benefits	16,515,548
---	------------

Net assets available for benefits at the beginning of the year	<u>137,151,262</u>
Net assets available for benefits at the end of the year	<u><u>\$ 153,666,810</u></u>

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements

December 31, 2021

1. Description of the Plan

The following description of the Tudor Investment Corporation (the “Company”) 401(k) Savings and Profit Sharing Plan (the “Plan”) provides only general information. Participants should refer to the Plan document for a more comprehensive description of the Plan’s provisions. The Plan year commences on January 1 and ends on December 31 (the “Plan Year”).

General

The Plan is a defined contribution plan covering all employees of the Company and certain of its affiliates who are at least 21 years of age. Full-time employees are eligible to participate immediately upon date of hire and may enroll during the first payroll period of employment. Part-time employees are eligible to participate if they have completed 1,000 hours of service during an eligibility period. The first eligibility period is the 12-month period beginning at the date of hire. Subsequent eligibility periods are based on the Plan Year. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (“ERISA”), as amended.

Plan Administration

The Plan is administered by an Employee Benefits Committee (the “Committee”), as defined by the Plan, which is appointed by the Company’s Board of Directors, and is comprised of three or more members, each of whom is an employee of the Company. The Committee assigns all operating and bookkeeping responsibilities of the Plan to a third party that acts as the Plan’s administrator. Effective July 1, 2020, Prudential Retirement Insurance and Annuity Company (“Prudential”) served as the Plan’s administrator and investment manager. On July 21, 2021, it was announced that Empower Retirement (“Empower”) would acquire Prudential. Empower’s acquisition of Prudential closed during the first quarter of 2022. The acquisition did not have a material impact on the financial statements of the Plan.

Any expenses relating to the administration of the Plan not paid by the Plan are paid by the Company.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Contributions

Each year, participants may contribute a percentage of pre-tax or after-tax annual compensation up to the maximum amount permitted by law, as described below. Participants may also contribute amounts representing distributions from rollovers of other qualified defined benefit or contribution plans as allowed by the Plan documents. Prior to the beginning of each Plan Year, the Company determines, on a discretionary basis, the amount of matching contributions, if any, to be made for that year.

Employees are automatically enrolled in the Plan after meeting the eligibility requirements of the Plan. Participants have the right at any time to elect not to make any salary deferral contributions to the Plan, or elect to have such contributions made at a different percentage from the Plan's default automatic deferral percentage. Notice is provided to eligible participants describing how to opt-out or make a different election at least 30 days prior to the date of automatic enrollment.

The Plan has elected 4% of a participant's salary as the Plan's default automatic deferral percentage, with an annual 1% contribution increase until the Plan's maximum automatic deferral percentage of 6% is reached or changed by the participant.

For the Plan Year ended December 31, 2021, the maximum employer matching amount was determined to be \$3,000 per participant. Additional amounts may be contributed at the option of the Company's Board of Directors. These amounts, determined on a discretionary basis, may include profit-sharing contributions, which may be made on behalf of participants for any Plan Year. For the Plan Year ended December 31, 2021, profit-sharing contributions were set at 10% of the participants' annual compensation up to \$50,000, for a maximum contribution of \$5,000. Any unpaid profit-sharing contributions at December 31, 2021 and 2020 are recorded as employer contributions receivable on the financial statements. Subsequent to year-end, this amount is allocated to each of the Plan's investment options based upon each participant's investment elections. Employee contributions were limited to a maximum of \$19,500 for 2021 and 2020 as permitted by the Internal Revenue Service ("IRS"). For employees age 50 or older, the IRS allowed an additional contribution of up to \$6,500 for 2021 and 2020.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Participant Accounts

Participants direct their elective contributions into various investment options offered by the Plan and can change their investment options on a daily basis. Each participant's account is credited with the participant's elective contribution and allocations of: (a) the Company's contribution and (b) Plan earnings related to the investment options chosen by such participant. The Company's contributions are allocated in the same manner as that of the participant's elective contributions.

Forfeited balances of terminated participants' non-vested accounts are maintained with the investment manager until a decision is made to use the funds to either reduce future Company contributions or to reduce the Company's Plan-related administrative expenses. Participants are entitled to their vested account balance available for distribution.

Vesting

Participants are immediately vested in their own contributions plus actual earnings thereon. A participant is 100% vested immediately in all matching contributions received from the Company. Profit-sharing contributions vest over three years based on full years of continuous service as defined by the Plan, or 34% after one full year, 67% after two full years and 100% after three full years.

Notes Receivable from Participants

Participants may borrow from their accounts a minimum of \$1,000 and a maximum equal to the lesser of \$50,000 or 50% of their vested account balance. Loan terms range from one to five years or a period of time deemed reasonable by the Committee. A participant may not have more than one loan outstanding at any point in time. The loans are secured by the balance in the participant's account and bear interest at a rate commensurate with local prevailing rates (prime rate plus 1%), as determined on the first day of the month by the Plan Administrator for loans granted during that month. The interest rate, once fixed, remains in effect for the duration of the loan. Principal and interest are paid ratably through semi-monthly payroll deductions, unless otherwise agreed to by the Committee. Interest income on loan balances is reinvested into the investment election determined by the Plan participants. The total amount of interest earned on participant loans during 2021 was \$23,184 and is included in interest on notes receivable from participants on the accompanying statement of changes in net assets available for plan benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Notes Receivable from Participants (continued)

If a participant terminates employment with the Company, and has an outstanding loan against their account, the participant will no longer have the option to make loan repayments via payroll deduction. The participant has the following options to address their outstanding loan balance by contacting the Administrator: (1) pay off the loan balance in full or (2) continue to make loan repayments via Automatic Clearing House (ACH) deduction only if the participant maintains a balance in their account. Loans will automatically be treated as a distribution to the participant after three months from the date of termination if the loan balance is not addressed with the Administrator.

Payment of Benefits

On termination of service for reasons other than death or financial hardship, a participant shall receive a distribution notice, with options to remain in the Plan, rollover or receive a lump-sum distribution of the vested value of his or her account. On termination of service due to death, a participant's beneficiary or beneficiaries shall be entitled to receive a lump-sum distribution of the vested value of the participant's account.

In the event of financial hardship, a participant shall be entitled to receive a distribution from his or her account up to an amount not to exceed the participant's pre-tax or after-tax contributions to the Plan. A hardship withdrawal is a withdrawal made for an immediate and heavy financial need, such as, unreimbursed medical expenses, purchase of a participant's principal residence, and unreimbursed burial or funeral expenses. Hardship withdrawals are strictly regulated by the IRS and a participant must exhaust all available loan options and available distributions prior to requesting a hardship withdrawal. For the year ended December 31, 2021, the Plan did not make any distributions to participants relating to financial hardship.

No more than twice in any Plan Year shall a participant, who has attained the age of 59½, be entitled to receive a distribution of all or part of the vested value of his or her account. Once a year, a participant may elect to withdraw all or part of amounts rolled-over from other qualified defined benefit or contribution plans and any earnings thereon.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies

Administrative Expenses

Administrative expenses include fees to the Administrator, accountants, legal counsel and investment manager, which are generally paid by the Plan. Any expenses not paid by the Plan are paid by the Company.

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States ("US GAAP").

Use of Estimates

The preparation of financial statements in accordance with US GAAP requires management to make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes therein. Actual results could differ from these estimates.

Investment Valuation, Income Recognition and Participant Unit Valuation

The Plan's investments in mutual funds are stated at fair value. Mutual funds offered for investment within the Plan are valued at quoted market prices, which represent the net asset value per unit of units held by the Plan. The mutual funds held by the Plan are deemed actively traded. The underlying investments of each mutual fund are accounted for at fair value as described in the mutual funds' financial statements.

Purchases and sales of securities and related gains and losses are recorded on a trade-date basis. Interest and dividends are included in the daily unit value of each mutual fund assigned to each participant's Plan balance. Interest is recorded on the accrual basis and dividends are recorded on the ex-dividend date. Net appreciation or depreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year. The Plan Administrator revalues the daily unit value of each mutual fund at the close of each business day based on the fluctuation of the market prices of the investments. Accordingly, changes to investments for each participant will be reflected in each participant's account on a daily basis.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Notes Receivable from Participants

Notes receivable from participants represent participant loans that are recorded at their unpaid principal balance plus any accrued but unpaid interest. Interest income on notes receivable from participants is recorded when earned. Related fees are recorded as administrative expenses and are expensed when incurred. If a participant ceases to make loan repayments and the Plan Administrator deems the participant loan to be a distribution, the participant loan balance is reduced and a benefit payment is recorded.

Payment of Benefits

Benefits are recorded when paid.

Fair Value Measurement

The Plan's investments are carried at fair value in the accompanying statements of net assets available for benefits.

US GAAP defines fair value as the price that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date. US GAAP also establishes a framework for measuring fair value and a valuation hierarchy based on the inputs used in the valuation of an asset or liability along with consideration for the level of activity in its respective market. The three levels of the fair value hierarchy are as follows:

Level 1 – active markets, where inputs to valuation are based on widely observable quoted prices for identical financial instruments.

Level 2 – active markets or less active markets, where inputs to valuation may include observable quoted prices for similar financial instruments and other market corroborated inputs.

Level 3 – less active or inactive markets, where inputs to valuation may include observable quoted prices for similar financial instruments and include at least one unobservable inputs.

The levels reflected above are not necessarily an indication of the risk or liquidity associated with the financial instruments.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement (continued)

All of the Plan's investments held as of December 31, 2021 and 2020 are considered to be Level 1 investments in accordance with the valuation hierarchy.

	<u>2021</u>	<u>2020</u>
Investments:		
Mutual Funds	\$ 152,038,325	\$ 135,396,042

The Committee is responsible for determining the Plan's valuation policies and analyzing information provided by the investment custodians and issuers that is used to determine the fair value of the Plan's investments. The Committee is responsible for managing the investment process as well as the operation and administration of the Plan. The Committee meets periodically to review investment performance and carry out its functions.

3. Forfeitures

Forfeitures represent non-vested amounts forfeited by participants. During the year ended December 31, 2021, forfeited non-vested amounts totaled \$46,402. Employer contributions were reduced by \$59,439 and \$14,250 in 2021 and 2020, respectively.

At December 31, 2021 and 2020, \$131,926 and \$144,963, respectively, was available to reduce future Company contributions or to reduce the Company's Plan-related administrative expenses.

4. Plan Termination

Although it has not expressed any intention to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

5. Risks and Uncertainties

The Plan invests in various investments. These investments may be exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investments, it is possible that changes in the values of investments may occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

6. Tax Status

The IRS has determined and informed the Company by a letter dated February 16, 2017, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan Administrator and the Plan's legal counsel believe that the Plan is designed, and is currently being operated in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan, as amended, is qualified, and the related trust is tax-exempt.

US GAAP requires Plan management to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more likely than not, based on the technical merits, to be sustained upon examination by the IRS. The Plan Administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021, there are no uncertain positions taken or expected to be taken. The Plan has recognized no interest or penalties related to uncertain tax positions which would be classified as tax expense on the statement of changes in net assets available for benefits. The Plan may be subject to audits by taxing jurisdictions; however, there are currently no audits being conducted.

7. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to Form 5500 as of December 31, 2021 and 2020:

	<u>2021</u>	<u>2020</u>
Net assets available for benefits per the financial statements	\$ 153,666,810	\$ 137,151,262
Differences in:		
Investments	460,877	392,527
Receivables – notes receivable from participants	(460,877)	(392,527)
Net assets available for benefits per Form 5500	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

8. Subsequent Events

These financial statements were approved by management and became available for issuance on October 3, 2022. Subsequent events have been evaluated by management through this date and no adjustment is necessary to the financial statements.

Supplemental Schedule

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Cash:</u>	
Prudential Bank & Trust, FSB: *	
Cash Reserve Account	\$ -
<u>Investments:</u>	
Alliance:	
Global Bond Adv	306,382
Large Cap Growth Fund	7,495,948
Allspring:	
Precious Metals Fund	2,974,595
American Funds:	
New World R6	714,630
New Perspect R6	4,900,991
Columbia:	
Small Cap Value II Fund	1,120,367
Contrarian Core Fund	6,101,874
Federated:	
U.S. Treasury Cash Reserves	9,612,454
Fidelity:	
International Capital Appreciation	2,606,389
500 Index Fund	23,526,523
Invesco:	
Developing Markets Fund	795,514
JPMorgan:	
Total Return A	2,649,997
PGIM:	
High Yield R6	1,321,252
Pimco:	
Commodity Real Return Strategy Fund	780,715
Prudential:	
Total Return Bonds	3,893,512
American Century Mid Cap Value	1,579,685
T. Rowe Price:	
T. Rowe Price Retirement 2010 Fund	2,897,223
T. Rowe Price Retirement 2015 Fund	119,474
T. Rowe Price Retirement 2020 Fund	3,001,920
T. Rowe Price Retirement 2025 Fund	2,471,225
T. Rowe Price Retirement 2030 Fund	4,615,091
T. Rowe Price Retirement 2035 Fund	2,545,392
T. Rowe Price Retirement 2040 Fund	13,345,110
T. Rowe Price Retirement 2045 Fund	2,405,341
T. Rowe Price Retirement 2050 Fund	5,009,861
T. Rowe Price Retirement 2055 Fund	193,810
T. Rowe Price Retirement 2060 Fund	168,545
TIAA-CREF:	
International Equity Index	1,818,288

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year) (continued)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Investments (continued):</u>	
Vanguard:	
Vanguard Inflation-Protected Secs	\$ 3,426,719
Vanguard Total Bond Market Index Signal	2,273,731
Vanguard Equity Income	8,727,837
Vanguard Emerging Markets Stock Index Signal	2,038,007
Vanguard Information Technology Index	7,436,844
Vanguard Intermediate Term US Treasury	1,115,464
Vanguard REIT Index Signal	3,205,217
Vanguard Mid Cap Index	3,383,392
Vanguard Mid Cap Growth Index	5,221,457
Vanguard Mid Cap Value Index	1,876,256
Vanguard Small Cap Index Signal	3,588,326
Vanguard High-Yield Corporate	772,967
Investments, at fair value	152,038,325
Notes receivable from participants * - Interest rates range from 4.25% to 6.50%, with maturity dates through 2029	460,877
Total	<u>\$ 152,499,202</u>

* Represents a party-in-interest to the Plan.

Tudor Investment Corporation 401 (k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

December 31, 2021 and 2020 and Year Ended December 31, 2021 with Independent Auditor's Report



Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

EIN #22-2514825

Plan# 001

December 31, 2021 and 2020
and Year Ended December 31, 2021

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Independent Auditor's Report

The Plan Trustees
Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan

Opinion

We have audited the financial statements of Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan (the Plan), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of December 31, 2021 and 2020, the related statement of changes in net assets available for benefits for the year ended December 31, 2021, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2021 and 2020, and the changes in its net assets available for benefits the year ended December 31, 2021, in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments, administering the Plan, and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if, there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedule Required by ERISA

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2020, is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's (DOL's) Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, including its form and content, is presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying schedule is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

RSM VS LLP

Stamford, Connecticut
October 3, 2022

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statements of Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

	December 31	
	2021	2020
Assets		
Investments	\$ 152,038,325	\$ 135,396,042
Cash	-	279
Receivables:		
Employer contributions	1,167,608	1,362,414
Notes receivable from participants	460,877	392,527
	<u>1,628,485</u>	<u>1,754,941</u>
Net assets available for benefits	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statement of Changes in Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

Year Ended December 31, 2021

Additions

Contributions:

Employees	\$ 3,783,196
Employee rollovers	129,006
Employer	<u>1,817,189</u>
	5,729,391

Investment Gain:

Net realized and unrealized appreciation in fair value of investments	21,355,882
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Interest on notes receivable from participants	<u>23,184</u>
Total additions	<u>27,108,457</u>

Deductions

Rollover distributions	9,996,130
Benefits paid to participants	420,450
Administrative expenses	<u>176,329</u>
Total deductions	<u>10,592,909</u>

Net increase in net assets available for benefits	16,515,548
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Net assets available for benefits at the beginning of the year	<u>137,151,262</u>
Net assets available for benefits at the end of the year	<u>\$ 153,666,810</u>

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements

December 31, 2021

1. Description of the Plan

The following description of the Tudor Investment Corporation (the “Company”) 401(k) Savings and Profit Sharing Plan (the “Plan”) provides only general information. Participants should refer to the Plan document for a more comprehensive description of the Plan’s provisions. The Plan year commences on January 1 and ends on December 31 (the “Plan Year”).

General

The Plan is a defined contribution plan covering all employees of the Company and certain of its affiliates who are at least 21 years of age. Full-time employees are eligible to participate immediately upon date of hire and may enroll during the first payroll period of employment. Part-time employees are eligible to participate if they have completed 1,000 hours of service during an eligibility period. The first eligibility period is the 12-month period beginning at the date of hire. Subsequent eligibility periods are based on the Plan Year. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (“ERISA”), as amended.

Plan Administration

The Plan is administered by an Employee Benefits Committee (the “Committee”), as defined by the Plan, which is appointed by the Company’s Board of Directors, and is comprised of three or more members, each of whom is an employee of the Company. The Committee assigns all operating and bookkeeping responsibilities of the Plan to a third party that acts as the Plan’s administrator. Effective July 1, 2020, Prudential Retirement Insurance and Annuity Company (“Prudential”) served as the Plan’s administrator and investment manager. On July 21, 2021, it was announced that Empower Retirement (“Empower”) would acquire Prudential. Empower’s acquisition of Prudential closed during the first quarter of 2022. The acquisition did not have a material impact on the financial statements of the Plan.

Any expenses relating to the administration of the Plan not paid by the Plan are paid by the Company.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Contributions

Each year, participants may contribute a percentage of pre-tax or after-tax annual compensation up to the maximum amount permitted by law, as described below. Participants may also contribute amounts representing distributions from rollovers of other qualified defined benefit or contribution plans as allowed by the Plan documents. Prior to the beginning of each Plan Year, the Company determines, on a discretionary basis, the amount of matching contributions, if any, to be made for that year.

Employees are automatically enrolled in the Plan after meeting the eligibility requirements of the Plan. Participants have the right at any time to elect not to make any salary deferral contributions to the Plan, or elect to have such contributions made at a different percentage from the Plan's default automatic deferral percentage. Notice is provided to eligible participants describing how to opt-out or make a different election at least 30 days prior to the date of automatic enrollment.

The Plan has elected 4% of a participant's salary as the Plan's default automatic deferral percentage, with an annual 1% contribution increase until the Plan's maximum automatic deferral percentage of 6% is reached or changed by the participant.

For the Plan Year ended December 31, 2021, the maximum employer matching amount was determined to be \$3,000 per participant. Additional amounts may be contributed at the option of the Company's Board of Directors. These amounts, determined on a discretionary basis, may include profit-sharing contributions, which may be made on behalf of participants for any Plan Year. For the Plan Year ended December 31, 2021, profit-sharing contributions were set at 10% of the participants' annual compensation up to \$50,000, for a maximum contribution of \$5,000. Any unpaid profit-sharing contributions at December 31, 2021 and 2020 are recorded as employer contributions receivable on the financial statements. Subsequent to year-end, this amount is allocated to each of the Plan's investment options based upon each participant's investment elections. Employee contributions were limited to a maximum of \$19,500 for 2021 and 2020 as permitted by the Internal Revenue Service ("IRS"). For employees age 50 or older, the IRS allowed an additional contribution of up to \$6,500 for 2021 and 2020.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Participant Accounts

Participants direct their elective contributions into various investment options offered by the Plan and can change their investment options on a daily basis. Each participant's account is credited with the participant's elective contribution and allocations of: (a) the Company's contribution and (b) Plan earnings related to the investment options chosen by such participant. The Company's contributions are allocated in the same manner as that of the participant's elective contributions.

Forfeited balances of terminated participants' non-vested accounts are maintained with the investment manager until a decision is made to use the funds to either reduce future Company contributions or to reduce the Company's Plan-related administrative expenses. Participants are entitled to their vested account balance available for distribution.

Vesting

Participants are immediately vested in their own contributions plus actual earnings thereon. A participant is 100% vested immediately in all matching contributions received from the Company. Profit-sharing contributions vest over three years based on full years of continuous service as defined by the Plan, or 34% after one full year, 67% after two full years and 100% after three full years.

Notes Receivable from Participants

Participants may borrow from their accounts a minimum of \$1,000 and a maximum equal to the lesser of \$50,000 or 50% of their vested account balance. Loan terms range from one to five years or a period of time deemed reasonable by the Committee. A participant may not have more than one loan outstanding at any point in time. The loans are secured by the balance in the participant's account and bear interest at a rate commensurate with local prevailing rates (prime rate plus 1%), as determined on the first day of the month by the Plan Administrator for loans granted during that month. The interest rate, once fixed, remains in effect for the duration of the loan. Principal and interest are paid ratably through semi-monthly payroll deductions, unless otherwise agreed to by the Committee. Interest income on loan balances is reinvested into the investment election determined by the Plan participants. The total amount of interest earned on participant loans during 2021 was \$23,184 and is included in interest on notes receivable from participants on the accompanying statement of changes in net assets available for plan benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Notes Receivable from Participants (continued)

If a participant terminates employment with the Company, and has an outstanding loan against their account, the participant will no longer have the option to make loan repayments via payroll deduction. The participant has the following options to address their outstanding loan balance by contacting the Administrator: (1) pay off the loan balance in full or (2) continue to make loan repayments via Automatic Clearing House (ACH) deduction only if the participant maintains a balance in their account. Loans will automatically be treated as a distribution to the participant after three months from the date of termination if the loan balance is not addressed with the Administrator.

Payment of Benefits

On termination of service for reasons other than death or financial hardship, a participant shall receive a distribution notice, with options to remain in the Plan, rollover or receive a lump-sum distribution of the vested value of his or her account. On termination of service due to death, a participant's beneficiary or beneficiaries shall be entitled to receive a lump-sum distribution of the vested value of the participant's account.

In the event of financial hardship, a participant shall be entitled to receive a distribution from his or her account up to an amount not to exceed the participant's pre-tax or after-tax contributions to the Plan. A hardship withdrawal is a withdrawal made for an immediate and heavy financial need, such as, unreimbursed medical expenses, purchase of a participant's principal residence, and unreimbursed burial or funeral expenses. Hardship withdrawals are strictly regulated by the IRS and a participant must exhaust all available loan options and available distributions prior to requesting a hardship withdrawal. For the year ended December 31, 2021, the Plan did not make any distributions to participants relating to financial hardship.

No more than twice in any Plan Year shall a participant, who has attained the age of 59½, be entitled to receive a distribution of all or part of the vested value of his or her account. Once a year, a participant may elect to withdraw all or part of amounts rolled-over from other qualified defined benefit or contribution plans and any earnings thereon.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies

Administrative Expenses

Administrative expenses include fees to the Administrator, accountants, legal counsel and investment manager, which are generally paid by the Plan. Any expenses not paid by the Plan are paid by the Company.

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States ("US GAAP").

Use of Estimates

The preparation of financial statements in accordance with US GAAP requires management to make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes therein. Actual results could differ from these estimates.

Investment Valuation, Income Recognition and Participant Unit Valuation

The Plan's investments in mutual funds are stated at fair value. Mutual funds offered for investment within the Plan are valued at quoted market prices, which represent the net asset value per unit of units held by the Plan. The mutual funds held by the Plan are deemed actively traded. The underlying investments of each mutual fund are accounted for at fair value as described in the mutual funds' financial statements.

Purchases and sales of securities and related gains and losses are recorded on a trade-date basis. Interest and dividends are included in the daily unit value of each mutual fund assigned to each participant's Plan balance. Interest is recorded on the accrual basis and dividends are recorded on the ex-dividend date. Net appreciation or depreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year. The Plan Administrator revalues the daily unit value of each mutual fund at the close of each business day based on the fluctuation of the market prices of the investments. Accordingly, changes to investments for each participant will be reflected in each participant's account on a daily basis.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Notes Receivable from Participants

Notes receivable from participants represent participant loans that are recorded at their unpaid principal balance plus any accrued but unpaid interest. Interest income on notes receivable from participants is recorded when earned. Related fees are recorded as administrative expenses and are expensed when incurred. If a participant ceases to make loan repayments and the Plan Administrator deems the participant loan to be a distribution, the participant loan balance is reduced and a benefit payment is recorded.

Payment of Benefits

Benefits are recorded when paid.

Fair Value Measurement

The Plan's investments are carried at fair value in the accompanying statements of net assets available for benefits.

US GAAP defines fair value as the price that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date. US GAAP also establishes a framework for measuring fair value and a valuation hierarchy based on the inputs used in the valuation of an asset or liability along with consideration for the level of activity in its respective market. The three levels of the fair value hierarchy are as follows:

Level 1 – active markets, where inputs to valuation are based on widely observable quoted prices for identical financial instruments.

Level 2 – active markets or less active markets, where inputs to valuation may include observable quoted prices for similar financial instruments and other market corroborated inputs.

Level 3 – less active or inactive markets, where inputs to valuation may include observable quoted prices for similar financial instruments and include at least one unobservable inputs.

The levels reflected above are not necessarily an indication of the risk or liquidity associated with the financial instruments.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement (continued)

All of the Plan's investments held as of December 31, 2021 and 2020 are considered to be Level 1 investments in accordance with the valuation hierarchy.

	<u>2021</u>	<u>2020</u>
Investments:		
Mutual Funds	\$ 152,038,325	\$ 135,396,042

The Committee is responsible for determining the Plan's valuation policies and analyzing information provided by the investment custodians and issuers that is used to determine the fair value of the Plan's investments. The Committee is responsible for managing the investment process as well as the operation and administration of the Plan. The Committee meets periodically to review investment performance and carry out its functions.

3. Forfeitures

Forfeitures represent non-vested amounts forfeited by participants. During the year ended December 31, 2021, forfeited non-vested amounts totaled \$46,402. Employer contributions were reduced by \$59,439 and \$14,250 in 2021 and 2020, respectively.

At December 31, 2021 and 2020, \$131,926 and \$144,963, respectively, was available to reduce future Company contributions or to reduce the Company's Plan-related administrative expenses.

4. Plan Termination

Although it has not expressed any intention to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

5. Risks and Uncertainties

The Plan invests in various investments. These investments may be exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investments, it is possible that changes in the values of investments may occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

6. Tax Status

The IRS has determined and informed the Company by a letter dated February 16, 2017, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan Administrator and the Plan's legal counsel believe that the Plan is designed, and is currently being operated in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan, as amended, is qualified, and the related trust is tax-exempt.

US GAAP requires Plan management to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more likely than not, based on the technical merits, to be sustained upon examination by the IRS. The Plan Administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021, there are no uncertain positions taken or expected to be taken. The Plan has recognized no interest or penalties related to uncertain tax positions which would be classified as tax expense on the statement of changes in net assets available for benefits. The Plan may be subject to audits by taxing jurisdictions; however, there are currently no audits being conducted.

7. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to Form 5500 as of December 31, 2021 and 2020:

	<u>2021</u>	<u>2020</u>
Net assets available for benefits per the financial statements	\$ 153,666,810	\$ 137,151,262
Differences in:		
Investments	460,877	392,527
Receivables – notes receivable from participants	(460,877)	(392,527)
Net assets available for benefits per Form 5500	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

8. Subsequent Events

These financial statements were approved by management and became available for issuance on October 3, 2022. Subsequent events have been evaluated by management through this date and no adjustment is necessary to the financial statements.

Supplemental Schedule

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Cash:</u>	
Prudential Bank & Trust, FSB: *	
Cash Reserve Account	\$ -
<u>Investments:</u>	
Alliance:	
Global Bond Adv	306,382
Large Cap Growth Fund	7,495,948
Allspring:	
Precious Metals Fund	2,974,595
American Funds:	
New World R6	714,630
New Perspect R6	4,900,991
Columbia:	
Small Cap Value II Fund	1,120,367
Contrarian Core Fund	6,101,874
Federated:	
U.S. Treasury Cash Reserves	9,612,454
Fidelity:	
International Capital Appreciation	2,606,389
500 Index Fund	23,526,523
Invesco:	
Developing Markets Fund	795,514
JPMorgan:	
Total Return A	2,649,997
PGIM:	
High Yield R6	1,321,252
Pimco:	
Commodity Real Return Strategy Fund	780,715
Prudential:	
Total Return Bonds	3,893,512
American Century Mid Cap Value	1,579,685
T. Rowe Price:	
T. Rowe Price Retirement 2010 Fund	2,897,223
T. Rowe Price Retirement 2015 Fund	119,474
T. Rowe Price Retirement 2020 Fund	3,001,920
T. Rowe Price Retirement 2025 Fund	2,471,225
T. Rowe Price Retirement 2030 Fund	4,615,091
T. Rowe Price Retirement 2035 Fund	2,545,392
T. Rowe Price Retirement 2040 Fund	13,345,110
T. Rowe Price Retirement 2045 Fund	2,405,341
T. Rowe Price Retirement 2050 Fund	5,009,861
T. Rowe Price Retirement 2055 Fund	193,810
T. Rowe Price Retirement 2060 Fund	168,545
TIAA-CREF:	
International Equity Index	1,818,288

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year) (continued)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Investments (continued):</u>	
Vanguard:	
Vanguard Inflation-Protected Secs	\$ 3,426,719
Vanguard Total Bond Market Index Signal	2,273,731
Vanguard Equity Income	8,727,837
Vanguard Emerging Markets Stock Index Signal	2,038,007
Vanguard Information Technology Index	7,436,844
Vanguard Intermediate Term US Treasury	1,115,464
Vanguard REIT Index Signal	3,205,217
Vanguard Mid Cap Index	3,383,392
Vanguard Mid Cap Growth Index	5,221,457
Vanguard Mid Cap Value Index	1,876,256
Vanguard Small Cap Index Signal	3,588,326
Vanguard High-Yield Corporate	772,967
Investments, at fair value	152,038,325
Notes receivable from participants * - Interest rates range from 4.25% to 6.50%, with maturity dates through 2029	460,877
Total	<u>\$ 152,499,202</u>

* Represents a party-in-interest to the Plan.

Tudor Investment Corporation 401 (k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

December 31, 2021 and 2020 and Year Ended December 31, 2021 with Independent Auditor's Report



Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Financial Statements and Supplemental Schedule

EIN #22-2514825

Plan# 001

December 31, 2021 and 2020
and Year Ended December 31, 2021

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Independent Auditor's Report

The Plan Trustees
Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan

Opinion

We have audited the financial statements of Tudor Investment Corporation 401(k) Savings and Profit Sharing Plan (the Plan), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of December 31, 2021 and 2020, the related statement of changes in net assets available for benefits for the year ended December 31, 2021, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2021 and 2020, and the changes in its net assets available for benefits the year ended December 31, 2021, in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments, administering the Plan, and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if, there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedule Required by ERISA

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of assets (held at end of year) as of December 31, 2020, is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's (DOL's) Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with GAAS.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, including its form and content, is presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying schedule is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

RSM VS LLP

Stamford, Connecticut
October 3, 2022

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statements of Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

	December 31	
	2021	2020
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Investments	\$ 152,038,325	\$ 135,396,042
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	<u>1,628,485</u>	<u>1,754,941</u>
Net assets available for benefits	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Statement of Changes in Net Assets Available for Benefits

EIN #22-2514825 Plan# 001

Year Ended December 31, 2021

Additions

Contributions:

Employees	\$ 3,783,196
Employee rollovers	129,006
Employer	<u>1,817,189</u>
	5,729,391

Investment Gain:

Net realized and unrealized appreciation in fair value of investments	21,355,882
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Interest on notes receivable from participants

23,184

Total additions

27,108,457

Deductions

Rollover distributions	9,996,130
Benefits paid to participants	420,450
Administrative expenses	<u>176,329</u>
Total deductions	<u>10,592,909</u>

Net increase in net assets available for benefits

16,515,548

Net assets available for benefits at the beginning of the year

137,151,262

Net assets available for benefits at the end of the year

\$ 153,666,810

See accompanying notes to financial statements.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements

December 31, 2021

1. Description of the Plan

The following description of the Tudor Investment Corporation (the “Company”) 401(k) Savings and Profit Sharing Plan (the “Plan”) provides only general information. Participants should refer to the Plan document for a more comprehensive description of the Plan’s provisions. The Plan year commences on January 1 and ends on December 31 (the “Plan Year”).

General

The Plan is a defined contribution plan covering all employees of the Company and certain of its affiliates who are at least 21 years of age. Full-time employees are eligible to participate immediately upon date of hire and may enroll during the first payroll period of employment. Part-time employees are eligible to participate if they have completed 1,000 hours of service during an eligibility period. The first eligibility period is the 12-month period beginning at the date of hire. Subsequent eligibility periods are based on the Plan Year. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (“ERISA”), as amended.

Plan Administration

The Plan is administered by an Employee Benefits Committee (the “Committee”), as defined by the Plan, which is appointed by the Company’s Board of Directors, and is comprised of three or more members, each of whom is an employee of the Company. The Committee assigns all operating and bookkeeping responsibilities of the Plan to a third party that acts as the Plan’s administrator. Effective July 1, 2020, Prudential Retirement Insurance and Annuity Company (“Prudential”) served as the Plan’s administrator and investment manager. On July 21, 2021, it was announced that Empower Retirement (“Empower”) would acquire Prudential. Empower’s acquisition of Prudential closed during the first quarter of 2022. The acquisition did not have a material impact on the financial statements of the Plan.

Any expenses relating to the administration of the Plan not paid by the Plan are paid by the Company.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Contributions

Each year, participants may contribute a percentage of pre-tax or after-tax annual compensation up to the maximum amount permitted by law, as described below. Participants may also contribute amounts representing distributions from rollovers of other qualified defined benefit or contribution plans as allowed by the Plan documents. Prior to the beginning of each Plan Year, the Company determines, on a discretionary basis, the amount of matching contributions, if any, to be made for that year.

Employees are automatically enrolled in the Plan after meeting the eligibility requirements of the Plan. Participants have the right at any time to elect not to make any salary deferral contributions to the Plan, or elect to have such contributions made at a different percentage from the Plan's default automatic deferral percentage. Notice is provided to eligible participants describing how to opt-out or make a different election at least 30 days prior to the date of automatic enrollment.

The Plan has elected 4% of a participant's salary as the Plan's default automatic deferral percentage, with an annual 1% contribution increase until the Plan's maximum automatic deferral percentage of 6% is reached or changed by the participant.

For the Plan Year ended December 31, 2021, the maximum employer matching amount was determined to be \$3,000 per participant. Additional amounts may be contributed at the option of the Company's Board of Directors. These amounts, determined on a discretionary basis, may include profit-sharing contributions, which may be made on behalf of participants for any Plan Year. For the Plan Year ended December 31, 2021, profit-sharing contributions were set at 10% of the participants' annual compensation up to \$50,000, for a maximum contribution of \$5,000. Any unpaid profit-sharing contributions at December 31, 2021 and 2020 are recorded as employer contributions receivable on the financial statements. Subsequent to year-end, this amount is allocated to each of the Plan's investment options based upon each participant's investment elections. Employee contributions were limited to a maximum of \$19,500 for 2021 and 2020 as permitted by the Internal Revenue Service ("IRS"). For employees age 50 or older, the IRS allowed an additional contribution of up to \$6,500 for 2021 and 2020.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Participant Accounts

Participants direct their elective contributions into various investment options offered by the Plan and can change their investment options on a daily basis. Each participant's account is credited with the participant's elective contribution and allocations of: (a) the Company's contribution and (b) Plan earnings related to the investment options chosen by such participant. The Company's contributions are allocated in the same manner as that of the participant's elective contributions.

Forfeited balances of terminated participants' non-vested accounts are maintained with the investment manager until a decision is made to use the funds to either reduce future Company contributions or to reduce the Company's Plan-related administrative expenses. Participants are entitled to their vested account balance available for distribution.

Vesting

Participants are immediately vested in their own contributions plus actual earnings thereon. A participant is 100% vested immediately in all matching contributions received from the Company. Profit-sharing contributions vest over three years based on full years of continuous service as defined by the Plan, or 34% after one full year, 67% after two full years and 100% after three full years.

Notes Receivable from Participants

Participants may borrow from their accounts a minimum of \$1,000 and a maximum equal to the lesser of \$50,000 or 50% of their vested account balance. Loan terms range from one to five years or a period of time deemed reasonable by the Committee. A participant may not have more than one loan outstanding at any point in time. The loans are secured by the balance in the participant's account and bear interest at a rate commensurate with local prevailing rates (prime rate plus 1%), as determined on the first day of the month by the Plan Administrator for loans granted during that month. The interest rate, once fixed, remains in effect for the duration of the loan. Principal and interest are paid ratably through semi-monthly payroll deductions, unless otherwise agreed to by the Committee. Interest income on loan balances is reinvested into the investment election determined by the Plan participants. The total amount of interest earned on participant loans during 2021 was \$23,184 and is included in interest on notes receivable from participants on the accompanying statement of changes in net assets available for plan benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

1. Description of the Plan (continued)

Notes Receivable from Participants (continued)

If a participant terminates employment with the Company, and has an outstanding loan against their account, the participant will no longer have the option to make loan repayments via payroll deduction. The participant has the following options to address their outstanding loan balance by contacting the Administrator: (1) pay off the loan balance in full or (2) continue to make loan repayments via Automatic Clearing House (ACH) deduction only if the participant maintains a balance in their account. Loans will automatically be treated as a distribution to the participant after three months from the date of termination if the loan balance is not addressed with the Administrator.

Payment of Benefits

On termination of service for reasons other than death or financial hardship, a participant shall receive a distribution notice, with options to remain in the Plan, rollover or receive a lump-sum distribution of the vested value of his or her account. On termination of service due to death, a participant's beneficiary or beneficiaries shall be entitled to receive a lump-sum distribution of the vested value of the participant's account.

In the event of financial hardship, a participant shall be entitled to receive a distribution from his or her account up to an amount not to exceed the participant's pre-tax or after-tax contributions to the Plan. A hardship withdrawal is a withdrawal made for an immediate and heavy financial need, such as, unreimbursed medical expenses, purchase of a participant's principal residence, and unreimbursed burial or funeral expenses. Hardship withdrawals are strictly regulated by the IRS and a participant must exhaust all available loan options and available distributions prior to requesting a hardship withdrawal. For the year ended December 31, 2021, the Plan did not make any distributions to participants relating to financial hardship.

No more than twice in any Plan Year shall a participant, who has attained the age of 59½, be entitled to receive a distribution of all or part of the vested value of his or her account. Once a year, a participant may elect to withdraw all or part of amounts rolled-over from other qualified defined benefit or contribution plans and any earnings thereon.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies

Administrative Expenses

Administrative expenses include fees to the Administrator, accountants, legal counsel and investment manager, which are generally paid by the Plan. Any expenses not paid by the Plan are paid by the Company.

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States ("US GAAP").

Use of Estimates

The preparation of financial statements in accordance with US GAAP requires management to make estimates and assumptions that affect the reported amounts of net assets available for benefits and changes therein. Actual results could differ from these estimates.

Investment Valuation, Income Recognition and Participant Unit Valuation

The Plan's investments in mutual funds are stated at fair value. Mutual funds offered for investment within the Plan are valued at quoted market prices, which represent the net asset value per unit of units held by the Plan. The mutual funds held by the Plan are deemed actively traded. The underlying investments of each mutual fund are accounted for at fair value as described in the mutual funds' financial statements.

Purchases and sales of securities and related gains and losses are recorded on a trade-date basis. Interest and dividends are included in the daily unit value of each mutual fund assigned to each participant's Plan balance. Interest is recorded on the accrual basis and dividends are recorded on the ex-dividend date. Net appreciation or depreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year. The Plan Administrator revalues the daily unit value of each mutual fund at the close of each business day based on the fluctuation of the market prices of the investments. Accordingly, changes to investments for each participant will be reflected in each participant's account on a daily basis.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Notes Receivable from Participants

Notes receivable from participants represent participant loans that are recorded at their unpaid principal balance plus any accrued but unpaid interest. Interest income on notes receivable from participants is recorded when earned. Related fees are recorded as administrative expenses and are expensed when incurred. If a participant ceases to make loan repayments and the Plan Administrator deems the participant loan to be a distribution, the participant loan balance is reduced and a benefit payment is recorded.

Payment of Benefits

Benefits are recorded when paid.

Fair Value Measurement

The Plan's investments are carried at fair value in the accompanying statements of net assets available for benefits.

US GAAP defines fair value as the price that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date. US GAAP also establishes a framework for measuring fair value and a valuation hierarchy based on the inputs used in the valuation of an asset or liability along with consideration for the level of activity in its respective market. The three levels of the fair value hierarchy are as follows:

Level 1 – active markets, where inputs to valuation are based on widely observable quoted prices for identical financial instruments.

Level 2 – active markets or less active markets, where inputs to valuation may include observable quoted prices for similar financial instruments and other market corroborated inputs.

Level 3 – less active or inactive markets, where inputs to valuation may include observable quoted prices for similar financial instruments and include at least one unobservable inputs.

The levels reflected above are not necessarily an indication of the risk or liquidity associated with the financial instruments.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement (continued)

All of the Plan's investments held as of December 31, 2021 and 2020 are considered to be Level 1 investments in accordance with the valuation hierarchy.

	<u>2021</u>	<u>2020</u>
Investments:		
Mutual Funds	\$ 152,038,325	\$ 135,396,042

The Committee is responsible for determining the Plan's valuation policies and analyzing information provided by the investment custodians and issuers that is used to determine the fair value of the Plan's investments. The Committee is responsible for managing the investment process as well as the operation and administration of the Plan. The Committee meets periodically to review investment performance and carry out its functions.

3. Forfeitures

Forfeitures represent non-vested amounts forfeited by participants. During the year ended December 31, 2021, forfeited non-vested amounts totaled \$46,402. Employer contributions were reduced by \$59,439 and \$14,250 in 2021 and 2020, respectively.

At December 31, 2021 and 2020, \$131,926 and \$144,963, respectively, was available to reduce future Company contributions or to reduce the Company's Plan-related administrative expenses.

4. Plan Termination

Although it has not expressed any intention to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

5. Risks and Uncertainties

The Plan invests in various investments. These investments may be exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investments, it is possible that changes in the values of investments may occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Notes to Financial Statements (continued)

6. Tax Status

The IRS has determined and informed the Company by a letter dated February 16, 2017, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan Administrator and the Plan's legal counsel believe that the Plan is designed, and is currently being operated in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan, as amended, is qualified, and the related trust is tax-exempt.

US GAAP requires Plan management to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more likely than not, based on the technical merits, to be sustained upon examination by the IRS. The Plan Administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021, there are no uncertain positions taken or expected to be taken. The Plan has recognized no interest or penalties related to uncertain tax positions which would be classified as tax expense on the statement of changes in net assets available for benefits. The Plan may be subject to audits by taxing jurisdictions; however, there are currently no audits being conducted.

7. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to Form 5500 as of December 31, 2021 and 2020:

	<u>2021</u>	<u>2020</u>
Net assets available for benefits per the financial statements	\$ 153,666,810	\$ 137,151,262
Differences in:		
Investments	460,877	392,527
Receivables – notes receivable from participants	(460,877)	(392,527)
Net assets available for benefits per Form 5500	<u>\$ 153,666,810</u>	<u>\$ 137,151,262</u>

8. Subsequent Events

These financial statements were approved by management and became available for issuance on October 3, 2022. Subsequent events have been evaluated by management through this date and no adjustment is necessary to the financial statements.

Supplemental Schedule

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Cash:</u>	
Prudential Bank & Trust, FSB: *	
Cash Reserve Account	\$ -
<u>Investments:</u>	
Alliance:	
Global Bond Adv	306,382
Large Cap Growth Fund	7,495,948
Allspring:	
Precious Metals Fund	2,974,595
American Funds:	
New World R6	714,630
New Perspect R6	4,900,991
Columbia:	
Small Cap Value II Fund	1,120,367
Contrarian Core Fund	6,101,874
Federated:	
U.S. Treasury Cash Reserves	9,612,454
Fidelity:	
International Capital Appreciation	2,606,389
500 Index Fund	23,526,523
Invesco:	
Developing Markets Fund	795,514
JPMorgan:	
Total Return A	2,649,997
PGIM:	
High Yield R6	1,321,252
Pimco:	
Commodity Real Return Strategy Fund	780,715
Prudential:	
Total Return Bonds	3,893,512
American Century Mid Cap Value	1,579,685
T. Rowe Price:	
T. Rowe Price Retirement 2010 Fund	2,897,223
T. Rowe Price Retirement 2015 Fund	119,474
T. Rowe Price Retirement 2020 Fund	3,001,920
T. Rowe Price Retirement 2025 Fund	2,471,225
T. Rowe Price Retirement 2030 Fund	4,615,091
T. Rowe Price Retirement 2035 Fund	2,545,392
T. Rowe Price Retirement 2040 Fund	13,345,110
T. Rowe Price Retirement 2045 Fund	2,405,341
T. Rowe Price Retirement 2050 Fund	5,009,861
T. Rowe Price Retirement 2055 Fund	193,810
T. Rowe Price Retirement 2060 Fund	168,545
TIAA-CREF:	
International Equity Index	1,818,288

Tudor Investment Corporation
401(k) Savings and Profit Sharing Plan

Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year) (continued)

EIN #42-0714325 Plan# 001

December 31, 2021

Identity of Issuer	Fair Value
<u>Investments (continued):</u>	
Vanguard:	
Vanguard Inflation-Protected Secs	\$ 3,426,719
Vanguard Total Bond Market Index Signal	2,273,731
Vanguard Equity Income	8,727,837
Vanguard Emerging Markets Stock Index Signal	2,038,007
Vanguard Information Technology Index	7,436,844
Vanguard Intermediate Term US Treasury	1,115,464
Vanguard REIT Index Signal	3,205,217
Vanguard Mid Cap Index	3,383,392
Vanguard Mid Cap Growth Index	5,221,457
Vanguard Mid Cap Value Index	1,876,256
Vanguard Small Cap Index Signal	3,588,326
Vanguard High-Yield Corporate	772,967
Investments, at fair value	152,038,325
Notes receivable from participants * - Interest rates range from 4.25% to 6.50%, with maturity dates through 2029	460,877
Total	<u>\$ 152,499,202</u>

* Represents a party-in-interest to the Plan.