# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

#### **SCHEDULE 13D**

(Rule 13d-101)

INFORMATION TO BE INCLUDED IN STATEMENTS FILED PURSUANT TO § 240.13d-1(a) AND AMENDMENTS THERETO FILED PURSUANT TO § 240.13d-2(a)

(Amendment No. 16)1

<u>L.B. Foster Company</u> (Name of Issuer)

Common Stock, Par Value \$0.01 (Title of Class of Securities)

350060109 (CUSIP Number)

CHRISTOPHER S. KIPER
LEGION PARTNERS ASSET MANAGEMENT, LLC
12121 Wilshire Blvd, Suite 1240
Los Angeles, CA 90025
(424) 253-1773
(Name, Address and Telephone Number of Person

<u>December 2, 2020</u> (Date of Event Which Requires Filing of This Statement)

Authorized to Receive Notices and Communications)

If the filing person has previously filed a statement on Schedule 13G to report the acquisition that is the subject of this Schedule 13D, and is filing this schedule because of §§ 240.13d-1(e), 240.13d-1(f) or 240.13d-1(g), check the following box  $\Box$ .

*Note:* Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. *See* § 240.13d-7 for other parties to whom copies are to be sent.

The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.

The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, *see* the *Notes*).

1	NAME OF DEPORT	INC DEDCON		
1	NAME OF REPORTING PERSON			
	Logion Daytneys, I. D. I.			
	Legion Partners, L.P. I			
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a)   (a)			
	(b) 🗆			
3	SEC USE ONLY			
4	SOURCE OF FUNDS			
	WC			
5		CLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR		
	2(e)			
6	CITIZENSHIP OR P	LACE OF ORGANIZATION		
	Delaware	<del>_</del>		
NUMBER OF	7	SOLE VOTING POWER		
SHARES				
BENEFICIALLY		- 0 -		
OWNED BY	8	SHARED VOTING POWER		
EACH				
REPORTING		610,733		
PERSON WITH	9	SOLE DISPOSITIVE POWER		
		- 0 -		
	10	SHARED DISPOSITIVE POWER		
		610,733		
11	AGGREGATE AMO	UNT BENEFICIALLY OWNED BY EACH REPORTING PERSON		
	610,733			
12	CHECK BOX IF TH	E AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES		
13	PERCENT OF CLAS	S REPRESENTED BY AMOUNT IN ROW (11)		
	5.68%			
14	TYPE OF REPORTIN	NG PERSON		
	PN			

1	NAME OF REPORTING PERSON		
	Legion Partners	s, L.P. II	
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □		
			(b) □
2	SEC USE ONLY		_
3	SEC USE ONLY		
4	SOURCE OF FUND	S	
	1110		
5	CHECK BOX IE DIS	SCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR	
3	2(e)	OCCUPANT OF LEGILL I ROCCEDINGS IS REQUIRED FOR SOME TO THEM 2(a) OR	. ⊔
	CITIZENCIUD OD D	I ACE OF ODG ANIZATION	
6	CITIZENSHIP OR P	LACE OF ORGANIZATION	
	Delaware		
NUMBER OF	7	SOLE VOTING POWER	
SHARES			
BENEFICIALLY OWNED BY	8	- 0 - SHARED VOTING POWER	_
EACH	, o	SIERCED VOINGTOWER	
REPORTING		105,757	
PERSON WITH	9	SOLE DISPOSITIVE POWER	
		- 0 -	
	10	SHARED DISPOSITIVE POWER	
11	ACCDECATE AMO	105,757 UNT BENEFICIALLY OWNED BY EACH REPORTING PERSON	
11	AGGREGATE AMO	UNI BENEFICIALLY OWNED BY EACH REPORTING PERSON	
	105,757		
12	CHECK BOX IF TH	E AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES	
13	PERCENT OF CLAS	SS REPRESENTED BY AMOUNT IN ROW (11)	
	Less than 1%		
14	TYPE OF REPORTI	NG PERSON	
	DN		

1	NAME OF REPORTING PERSON		
	Legion Partners Special Opportunities, L.P. II		
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □  (b) □		
3	SEC USE ONLY		
4	SOURCE OF FUNDS  WC		
5	CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e) □		
6	CITIZENSHIP OR P	LACE OF ORGANIZATION	
	Delaware		
NUMBER OF	7	SOLE VOTING POWER	
SHARES			
BENEFICIALLY OWNED BY	0	- 0 - SHARED VOTING POWER	
EACH	8	SHARED VOTING POWER	
REPORTING		318,213	
PERSON WITH	9	SOLE DISPOSITIVE POWER	
		- 0 -	
	10	SHARED DISPOSITIVE POWER	
		318,213	
11	AGGREGATE AMO	OUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON	
12	318,213		
12	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES		
13	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)		
	2.96%		
14	TYPE OF REPORTI	NG PERSON	
	PN		

1	NAME OF REPORTING PERSON			
	Loring Dates at LLC			
2	Legion Partners, LLC  CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □			
2	(a) $\Box$ (b) $\Box$			
	(0)			
3	SEC USE ONLY			
4	SOURCE OF FUND	S		
	AF	COLOGUED OF LEGAL PROCEEDINGS IS PROLUBED BY BUILDING TO WELL AND TO		
5	2(e)	SCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR		
	2(6)			
6	CITIZENSHIP OR P	LACE OF ORGANIZATION		
	Delaware			
NUMBER OF	7	SOLE VOTING POWER		
SHARES				
BENEFICIALLY OWNED BY	0	- 0 - SHARED VOTING POWER		
EACH	8	SHARED VOTING POWER		
REPORTING		1,034,703		
PERSON WITH	9	SOLE DISPOSITIVE POWER		
		- 0 -		
	10	SHARED DISPOSITIVE POWER		
		1,034,703		
11	AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON			
	1,034,703			
12	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES			
13	PERCENT OF CLAS	SS REPRESENTED BY AMOUNT IN ROW (11)	_	
15	1 LIGHT OF CLAR	STEELEDENTED DI IMMONTINION (II)		
	9.63%			
14	TYPE OF REPORTI	NG PERSON		
	00			

1	NAME OF REPORTING PERSON				
	Legion Partners Asset Management, LLC				
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (a) $\Box$ (b) $\Box$				
3	SEC USE ONLY				
4	SOURCE OF FUNDS  AF, OO				
5	CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e) □				
6	CITIZENSHIP OR P	LACE OF ORGANIZATION			
	Delaware				
NUMBER OF	7	SOLE VOTING POWER			
SHARES					
BENEFICIALLY OWNED BY	- 0 - 8 SHARED VOTING POWER				
EACH	o o	SIMILED VOINGTOWER			
REPORTING		1,046,101			
PERSON WITH	9	SOLE DISPOSITIVE POWER			
		- 0 -			
	10	SHARED DISPOSITIVE POWER			
		1,046,101			
11	AGGREGATE AMC	DUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON			
10	1,046,101				
12	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES				
13	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)				
	9.73%				
14	TYPE OF REPORTI	NG PERSON			
	00				
	00				

1	NAME OF REPORTING PERSON			
	Loring Dates of Hallian LLC			
2	Legion Partners Holdings, LLC  CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □			
2	(a) $\Box$ (b) $\Box$			
	(0)			
3	SEC USE ONLY			
4	SOURCE OF FUND	S		
	AF, OO			
5	CHECK BOX IF DIS	SCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR		
	2(e)			
6	CITIZENSHIP OR P	LACE OF ORGANIZATION		
	Delaware			
NUMBER OF	7	SOLE VOTING POWER		
SHARES	·			
BENEFICIALLY		- 0 -		
OWNED BY EACH	8	SHARED VOTING POWER		
REPORTING		1,046,101		
PERSON WITH	9	SOLE DISPOSITIVE POWER		
	10	- 0 - SHARED DISPOSITIVE POWER		
	10	SHARED DISPOSITIVE POWER		
		1,046,101		
11	AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON			
	1.046.101			
12	1,046,101  CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES			
± <b>-</b>		2.1.001.20.1.21.1.1.001.1 1.1.1.01.000000 ODIMINIOUNIE	]	
13	PERCENT OF CLAS	SS REPRESENTED BY AMOUNT IN ROW (11)		
	9.73%			
14	TYPE OF REPORTI	NG PERSON		
	00			

1	NAME OF REPORTING PERSON		
	Christopher S. Kiper		
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □  (b) □		
3	SEC USE ONLY		
4	SOURCE OF FUNDS  AF, OO		
5	CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e) □		
6	CITIZENSHIP OR PLACE OF ORGANIZATION		
	USA		
NUMBER OF SHARES	7	SOLE VOTING POWER	
BENEFICIALLY OWNED BY	0	- 0 - SHARED VOTING POWER	
EACH	8	SHARED VOTING POWER	
REPORTING		1,046,101	
PERSON WITH	9	SOLE DISPOSITIVE POWER	
		- 0 -	
	10	SHARED DISPOSITIVE POWER	
		1,046,101	
11	AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON		
	1,046,101		
12	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES		
13	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)		
	9.73%		
14	TYPE OF REPORTI	NG PERSON	-
	IN		

1	NAME OF REPORTING PERSON				
	Raymond White				
2	CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (a) $\Box$ (b) $\Box$				
3	SEC USE ONLY				
4	SOURCE OF FUNDS  AF, OO				
5	CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e) □				
6	CITIZENSHIP OR PLACE OF ORGANIZATION				
	USA				
NUMBER OF SHARES	7	SOLE VOTING POWER			
BENEFICIALLY		- 0 -			
OWNED BY	8 SHARED VOTING POWER				
EACH		4.040.404			
REPORTING PERSON WITH	9	1,046,101 SOLE DISPOSITIVE POWER			
FERSON WIIII	9	SOLE DISPOSITIVE POWER			
		- 0 -			
	10	SHARED DISPOSITIVE POWER			
		1,046,101			
11	AGGREGATE AMO	DUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON			
	1,046,101				
12	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES □				
13	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)				
	0.7207				
14	9.73% TYPE OF REPORTI	NG PERSON			
1.					
	IN				

The following constitutes Amendment No. 16 to the Schedule 13D filed by the undersigned ("Amendment No. 16"). This Amendment No. 16 amends the Schedule 13D as specifically set forth herein.

#### Item 5. <u>Interest in Securities of the Issuer.</u>

Items 5 (a)-(c) are hereby amended and restated in its entirety as follows:

The aggregate percentage of Shares reported owned by each person named herein is based upon 10,745,856 Shares outstanding as of October 29, 2020, as reported on the Issuer's Quarterly Report on Form 10-Q filed with the SEC on November 5, 2020.

#### A. Legion Partners I

(a) As of the close of business on December 4, 2020, Legion Partners I beneficially owned 610,733 Shares.

Percentage: Approximately 5.68%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 610,733
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 610,733
- (c) The transactions in the Shares by Legion Partners I since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

#### B. Legion Partners II

(a) As of the close of business on December 4, 2020, Legion Partners II beneficially owned 105,757 Shares.

Percentage: Less than 1%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 105,757
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 105,757
- (c) The transactions in the Shares by Legion Partners II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

## C. Legion Partners Special II

(a) As of the close of business on December 4, 2020, Legion Partners Special II beneficially owned 318,213 Shares.

Percentage: Approximately 2.96%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 318,213
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 318,213
- (c) The transactions in the Shares by Legion Partners Special II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

## D. Legion Partners, LLC

(a) As the general partner of each of Legion Partners I, Legion Partners II and Legion Partners Special II, Legion Partners, LLC may be deemed the beneficial owner of the (i) 610,733 Shares owned by Legion Partners I, (ii) 105,757 Shares owned by Legion Partners II, and (iii) 318,213 Shares owned by Legion Partners Special II.

Percentage: Approximately 9.63%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 1,034,703
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 1,034,703
- (c) Legion Partners, LLC has not entered into any transactions in the Shares since the filing of the last 13D. The transactions in the Shares on behalf of each of Legion Partners I, Legion Partners II and Legion Partners Special II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

#### E. Legion Partners Asset Management

(a) As of the close of business on December 4, 2020, Legion Partners Asset Management beneficially owned 11,398 Shares. Legion Partners Asset Management, as the investment advisor of each of Legion Partners I, Legion Partners II and Legion Partners Special II, may also be deemed the beneficial owner of the (i) 610,733 Shares owned by Legion Partners I, (ii) 105,757 Shares owned by Legion Partners II, and (iii) 318,213 Shares owned by Legion Partners Special II.

Percentage: Approximately 9.73%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 1,046,101
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 1,046,101
- (c) Legion Partners Asset Management has not entered into any transactions since the filing of the last 13D. The transactions in the Shares on behalf of each of Legion Partners I, Legion Partners II and Legion Partners Special II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

#### F. Legion Partners Holdings

(a) Legion Partners Holdings, as the sole member of Legion Partners Asset Management and managing member of Legion Partners, LLC, may be deemed the beneficial owner of the (i) 610,733 Shares owned by Legion Partners I, (ii) 105,757 Shares owned by Legion Partners II, (iii) 318,213 Shares owned by Legion Partners Special II, and (iv) 11,398 Shares beneficially owned by Legion Partners Asset Management.

Percentage: Approximately 9.73%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 1,046,101
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 1,046,101
- (c) Legion Partners Holdings has not entered into any transactions in the Shares since the filing of the last 13D. The transactions in the Shares on behalf of each of Legion Partners I, Legion Partners II and Legion Partners Special II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

## G. Messrs. Kiper and White

(a) Each of Messrs. Kiper and White, as a managing director of Legion Partners Asset Management and a managing member of Legion Partners Holdings, may be deemed the beneficial owner of the (i) 610,733 Shares owned by Legion Partners I, (ii) 105,757 Shares owned by Legion Partners II, (iii) 318,213 Shares owned by Legion Partners Special II, and (iv) 11,398 Shares beneficially owned by Legion Partners Asset Management.

Percentage: Approximately 9.73%

- (b) 1. Sole power to vote or direct vote: 0
  - 2. Shared power to vote or direct vote: 1,046,101
  - 3. Sole power to dispose or direct the disposition: 0
  - 4. Shared power to dispose or direct the disposition: 1,046,101
- (c) Neither Mr. Kiper nor Mr. White has entered into any transactions in the Shares since the filing of the last 13D. The transactions in the Shares on behalf of each of Legion Partners I, Legion Partners II and Legion Partners Special II since the filing of the last 13D are set forth in Schedule A and are incorporated herein by reference.

The filing of this Amendment No. 16 shall not be deemed an admission that the Reporting Persons are, for purposes of Section 13(d) of the Securities Exchange Act of 1934, as amended, the beneficial owners of any securities of the Issuer that he or it does not directly own. Each of the Reporting Persons specifically disclaims beneficial ownership of the securities reported herein that he or it does not directly own.

Item 6. <u>Contracts, Arrangements, Understandings or Relationships With Respect to Securities of the Issuer.</u>

Item 6 is hereby amended and restated to read as follows:

Legion Partners I has sold short in over the counter market American-style call options referencing an aggregate of 48,900 Shares, which have an exercise price of \$15.00 and expire on December 18, 2020. Legion Partners I has also sold short in over the counter market American-style call options referencing an aggregate of 329,800 Shares, which have an exercise price of \$15.00 and expire on January 15, 2020.

Legion Partners II has sold short in over the counter market American-style call options referencing an aggregate of 8,500 Shares, which have an exercise price of \$15.00 and expire on December 18, 2020. Legion Partners II has also sold short in over the counter market American-style call options referencing an aggregate of 57,100 Shares, which have an exercise price of \$15.00 and expire on January 15, 2020.

Legion Partners Special II has sold short in over the counter market American-style call options referencing an aggregate of 25,400 Shares, which have an exercise price of \$15.00 and expire on December 18, 2020. Legion Partners Special II has also sold short in over the counter market American-style call options referencing an aggregate of 171,900 Shares, which have an exercise price of \$15.00 and expire on January 15, 2020.

## **SIGNATURES**

After reasonable inquiry and to the best of his knowledge and belief, each of the undersigned certifies that the information set forth in this statement is true, complete and correct.

Dated: December 4, 2020

Legion Partners, L.P. I

By: Legion Partners Asset Management, LLC

Investment Advisor

By: /s/ Christopher S. Kiper

Name: Christopher S. Kiper Title: Managing Director

Legion Partners, L.P. II

By: Legion Partners Asset Management, LLC

Investment Advisor

By: /s/ Christopher S. Kiper

Name: Christopher S. Kiper Title: Managing Director

Legion Partners Special Opportunities, L.P. II

By: Legion Partners Asset Management, LLC

Investment Advisor

By: /s/ Christopher S. Kiper

Name: Christopher S. Kiper Title: Managing Director

Legion Partners, LLC

By: Legion Partners Holdings, LLC

Managing Member

By: /s/ Christopher S. Kiper

Name: Christopher S. Kiper Title: Managing Member

Legion Partners Asset Management, LLC

By: /s/ Christopher S. Kiper

Name: Christopher S. Kiper Title: Managing Director

Legion Partners Holdings, LLC

By: /s/ Christopher S. Kiper

Christopher S. Kiper Managing Member Name: Title:

/s/ Christopher S. Kiper Christopher S. Kiper

/s/ Raymond White Raymond White

## **SCHEDULE A**

 $\underline{\text{Transactions in the Shares Since the Filing of the Last 13D}}$ 

Nature of the Transaction	Amount of Securities <a href="Purchased/(Sold">Purchased/(Sold)</a>	Price Per <u>Share(\$)</u>	Date of <u>Purchase / Sale</u>		
	<u>LEGION PART</u>	<u>TNERS, L.P. I</u>			
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(365)	\$0.9602	12/01/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(68)	\$0.9500	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(1,180)	\$0.9000	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(140)	\$0.9500	12/04/2020		
LEGION PARTNERS, L.P. II					
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(63)	\$0.9602	12/01/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(12)	\$0.9500	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(205)	\$0.9000	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(24)	\$0.9500	12/04/2020		
LEGION PARTNERS SPECIAL OPPORTUNITIES, L.P. II					
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(190)	\$0.9602	12/01/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(36)	\$0.9500	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(615)	\$0.9000	12/02/2020		
Short Sale of January 2021 Call Option (\$15.00 Strike Price) <sup>1</sup>	(73)	\$0.9500	12/04/2020		

<sup>&</sup>lt;sup>1</sup> Represents American-style call options sold short in the over-the-counter market with an expiration date of January 15, 2020.