

BrokerCheck Report

SUPERFUND USA, LLC

CRD# 147069

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**SUPERFUND USA, LLC**

CRD# 147069

SEC# 8-67874

Main Office Location

325 WEST HURON STREET
SUITE 408
CHICAGO, IL 60654

Mailing Address

325 WEST HURON STREET
SUITE 408
CHICAGO, IL 60654

Business Telephone Number

312-239-2200

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 12/08/2011.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/15/2016

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 12/08/2011.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

SUPERFUND USA, LLC

Doing business as SUPERFUND USA, LLC

CRD# 147069

SEC# 8-67874

Main Office Location

325 WEST HURON STREET
SUITE 408
CHICAGO, IL 60654

Mailing Address

325 WEST HURON STREET
SUITE 408
CHICAGO, IL 60654

Business Telephone Number

312-239-2200



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	SUPERFUND USA HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	04/2012
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DOOLEY, BRADFORD R 4308078
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP/CFO
Position Start Date	10/2010
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KELLY, HEATHER CUNNINGHAM MS 4698978
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/CCO/MANAGER
Position Start Date	02/2011

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	Yes
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Is this a public reporting company?	No
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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): BAHA, CHRISTIAN JOSEF
4380980

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established SUPERFUND HOLDING B.V.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 04/2012

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SUPERFUND GROUP COOPERATIEF U.A.

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established SUPERFUND USA HOLDINGS, INC.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 07/2013

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SUPERFUND HOLDING B.V.

Is this a domestic or foreign Foreign Entity

Firm Profile



Indirect Owners (continued)
entity or an individual?

Company through which indirect ownership is established	SUPERFUND GROUP COOPERATIEF U.A.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	07/2013
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

This firm was previously:	SUPERFUND USA, INC.
Date of Succession:	06/01/2012
Predecessor CRD#:	147069
Predecessor SEC#:	8-67874
Description	PLAN OF REORGANIZATION APPROVED BY FINRA ON 11/29/2011, SUPERFUND USA, LLC, ASSUMED ALL OF THE ASSETS AND LIABILITIES OF SUPERFUND USA, INC. IN EXCHANGE FOR 100% OF THE OWNERSHIP UNITS IN SUPERFUND USA, LLC. TRANSFER HAS BEEN EFFECTED PURSUANT TO AN ASSET CONTRIBUTION AGREEMENT WHICH SETS FORTH THE ESSENTIAL TERMS OF THIS TRANSACTION. CONDITION OF AGREEMENT IS THAT ALL MATERIAL CONTRACTS, LEASES, EMPLOYEES OR OTHER AGREEMENTS OF SUPERFUND USA, INC. ARE ASSIGNED ARE TO BE TRANSFERRED TO SUPERFUND USA, LLC.
This firm was previously:	SUPERFUND USA, INC.
Date of Succession:	06/01/2012
Predecessor CRD#:	147069
Predecessor SEC#:	8-67874
Description	PLAN OF REORGANIZATION APPROVED BY FINRA ON 11/29/2011, SUPERFUND USA, LLC, ASSUMED ALL OF THE ASSETS AND LIABILITIES OF SUPERFUND USA, INC. IN EXCHANGE FOR 100% OF THE OWNERSHIP UNITS IN SUPERFUND USA, LLC. CONDITION OF AGREEMENT IS THAT ALL MATERIAL CONTRACTS, LEASES, EMPLOYEES OR OTHER AGREEMENTS OF SUPERFUND USA, INC. ARE ASSIGNED ARE TO BE TRANSFERRED TO SUPERFUND USA, LLC. CHRISTIAN BAHAW OWNS SUPERFUND USA, INC. THERE IS NO SUBSTANTIAL CHANGES IN CONTROL OR OWNERSHIP OF THE BROKER-DEALER.

Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 10/03/2008 to 02/14/2017.

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Mutual fund retailer

Private placements of securities

Other - APPLICANT INTENDS TO ENGAGE IN THE DISTRIBUTION OF MUTUAL FUNDS AND DIRECT PARTICIPATION PROGRAMS ON A BEST EFFORT BASIS TO RETAIL AND INSTITUTIONAL CUSTOMERS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

TELETRADER SOFTWARE GMBH is under common control with the firm.

Business Address:	MARC AUREL STRASSE 10-12 VIENNA, AUSTRIA 1010
Effective Date:	05/15/1995
Foreign Entity:	Yes
Country:	AUSTRIA
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND FINANCIAL INDIA PVT, LTD is under common control with the firm.

Business Address:	53-B, 5TH FLOOR, 3 NORTH AVENUE MAKER MAXITY, BANDRA-KURLA COMPLEX, BANDRA MUMBAI, INDIA 400051
Effective Date:	03/23/2010
Foreign Entity:	Yes
Country:	INDIA
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

Firm Operations



Organization Affiliates (continued)

SUPERFUND ASSET MANAGEMENT, LLC is under common control with the firm.

Business Address:	850 WEST JACKSON BLVD SUITE 600 CHICAGO, IL 60607
Effective Date:	06/01/2012
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND USA HOLDINGS, INC. is under common control with the firm.

Business Address:	489 FIFTH AVENUE NEW YORK, NY 10017
Effective Date:	11/01/2008
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND GOLD, L.P. is under common control with the firm.

Business Address:	1220 NORTH MARKET STREET SUITE 806 WILMINGTON, DE 19801
Effective Date:	04/01/2009
Foreign Entity:	No
Country:	

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND GREEN, L.P. is under common control with the firm.

Business Address:	1220 NORTH MARKET STREET SUITE 806 WILMINGTON, DE 19801
Effective Date:	11/01/2002
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND BROKERAGE SERVICES, INC. is under common control with the firm.

Business Address:	SUPERFUND OFFICE BUILDING GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	01/03/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

Firm Operations



Organization Affiliates (continued)

SUPERFUND ADVISORS, INC. is under common control with the firm.

Business Address:	PO BOX 1568 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	11/18/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND TRADING MANAGEMENT, INC. is under common control with the firm.

Business Address:	SUPERFUND OFFICE BUILDING GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	05/25/2001
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SF HOLDINGS, INC. is under common control with the firm.

Business Address:	SUPERFUND OFFICE BUILDING GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	09/06/2010
Foreign Entity:	Yes

Firm Operations



Organization Affiliates (continued)

Country:	GRENADA
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND A HOLDINGS, INC is under common control with the firm.

Business Address:	PO BOX 1687 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	04/07/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND HOLDING BV is under common control with the firm.

Business Address:	VONDELSTRAAT 47 AMSTERDAM, NETHERLANDS 1054GJ
Effective Date:	10/10/2011
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

Firm Operations



Organization Affiliates (continued)

SUPERFUND GROUP COOPERATIVE U.A. is under common control with the firm.

Business Address:	VONDELSTRAAT 47 AMSTERDAM, NETHERLANDS 1054
Effective Date:	11/19/2010
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	No
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND FUND MANAGEMENT, INC. is under common control with the firm.

Business Address:	PO BOX 1191 GRAND ANSE ST.GEORGE, GRENADA W.I.
Effective Date:	11/11/1999
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND CAPITAL MANAGEMENT, INC. is under common control with the firm.

Business Address:	PO BOX 1479 GRAND ANSE ST. GEORGE, GRENADA
Effective Date:	03/27/2001
Foreign Entity:	Yes
Country:	GRENADA, W.I.

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND C HOLDINGS, INC. is under common control with the firm.

Business Address:	PO BOX 1688 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	04/07/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND B HOLDINGS, INC. is under common control with the firm.

Business Address:	PO BOX 1687 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	04/07/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

Firm Operations



Organization Affiliates (continued)

QUADRIGA HOLDINGS, INC. is under common control with the firm.

Business Address:	PO BOX 1686 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	04/07/2003
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

QUADRIGA PROSPERITY HOLDINGS, INC. is under common control with the firm.

Business Address:	PO BOX 1680 GRAND ANSE ST. GEORGES, GRENADA, W.I.
Effective Date:	09/04/2001
Foreign Entity:	Yes
Country:	GRENADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND ASSET MANAGEMENT AG is under common control with the firm.

Business Address:	BAHNHOFSTRASSE 24 ZURICH, SWITZERLAND CH-8001
Effective Date:	05/01/2001
Foreign Entity:	Yes
Country:	SWITZERLAND

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND FINANCIAL (HONG KONG) LIMITED is under common control with the firm.

Business Address:	SUITE 3914-9316 39/F, TOWER TWO, TIME SQUARE CAUSEWAY BAY, HONG KONG
Effective Date:	07/12/2005
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND FINANCIAL (URUGUAY) S.A. is under common control with the firm.

Business Address:	ZONAMERICA BUSINESS & TECHNOLOGY PARK RUTA 8, KM 17500 CP 91600, EDIFICIO BETA 3 LOCAL 22, MONTE, URUGUAY
Effective Date:	03/10/2004
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

Firm Operations



Organization Affiliates (continued)

SUPERFUND INVEST, INC. is under common control with the firm.

Business Address:	P.O. BOX 1700 GRAND ANSE ST. GEORGES, GRENADA
Effective Date:	11/18/2003
Foreign Entity:	Yes
Country:	GRENADA, W.I.
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND TOWARZYSTWO FUNDUSZY INWESTYCYJNYCH SA is under common control with the firm.

Business Address:	PLAC TRZECH KRZYZY 18 WARSZAWA, POLAND PI-00-499
Effective Date:	04/14/2005
Foreign Entity:	Yes
Country:	POLAND
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND SECURITIES JAPAN CO., LTD is under common control with the firm.

Business Address:	IMPERIAL TOWER 10F 1-1-1 UCHISAIWAI-CHO, CHIYODA-KU TOKYO, JAPAN 100-0011
Effective Date:	11/01/2005
Foreign Entity:	Yes
Country:	JAPAN

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT – 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAH.

SUPERFUND UNTERNEHMENSBETEILIGUNGS AG is under common control with the firm.

Business Address: MARC-AUREL STRASSE 10-12
VIENNA, AUSTRIA 1010

Effective Date: 01/26/1996

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT – 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAH.

SUPERFUND VERMOGENSVERANLAGUNGS AG is under common control with the firm.

Business Address: MARC-AUREL STRASSE 10-12
VIENNA, AUSTRIA 1010

Effective Date: 03/26/2003

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT – 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAH.

SUPERFUND DISTRIBUTION AND INVESTMENT, INC. is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: P.O. BOX 3564
GRAND ANSE
ST. GEORGE'S GRENADA, W.I.

Effective Date: 09/04/2001

Foreign Entity: Yes

Country: GRENADA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND ASSET MANAGEMENT GMBH is under common control with the firm.

Business Address: MARC-AUREL STRASSE 10-12
VIENNA, AUSTRIA A-1010

Effective Date: 04/05/2000

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT – 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND JAPAN TRADING (CAYMANS) LIMITED is under common control with the firm.

Business Address: P.O. BOX 1348
GEORGE TOWN, CAYMAN ISLANDS

Effective Date: 10/08/2004

Foreign Entity: Yes

Country: CAYMAN

Securities Activities: Yes

Investment Advisory Yes

Firm Operations



Organization Affiliates (continued)

Activities:

Description: UNDER COMMON CONTROL WITH APPLICANT - 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

SUPERFUND ASSET MANAGEMENT INC. is under common control with the firm.

CRD #: 112246

Business Address: 850 WEST JACKSON BLVD.
SUITE 600
CHICAGO, IL 60607

Effective Date: 09/27/1996

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: 50% OR GREATER OF THE DIRECT OR BENEFICIAL OWNERSHIP OF BOTH ENTITIES RESTS WITH CHRISTIAN BAHA.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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