

## BrokerCheck Report

### BAIN CAPITAL MARKETS, LLC

CRD# 175456

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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:
  - 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
  - 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.

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**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)



## BAIN CAPITAL MARKETS, LLC

CRD# 175456

SEC# 8-69599

### Main Office Location

200 CLARENDON STREET  
BOSTON, MA 02116  
Regulated by FINRA Boston Office

### Mailing Address

200 CLARENDON STREET  
BOSTON, MA 02116

### Business Telephone Number

617-516-2318

## 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 02/03/2015.

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 firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### 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**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 02/03/2015.

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.

### **BAIN CAPITAL MARKETS, LLC**

**Doing business as BAIN CAPITAL MARKETS, LLC**

**CRD#** 175456

**SEC#** 8-69599

### **Main Office Location**

200 CLARENDON STREET  
BOSTON, MA 02116

**Regulated by FINRA Boston Office**

### **Mailing Address**

200 CLARENDON STREET  
BOSTON, MA 02116

### **Business Telephone Number**

617-516-2318



## Firm Profile

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

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	BCFD, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	SOLE MEMBER
<b>Position Start Date</b>	02/2015
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	DOHERTY, JAMES HUGH 4197747
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL OPERATIONS OFFICER
<b>Position Start Date</b>	07/2019
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	FORTINO, ROBERT ANTHONY 1905741
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL FINANCIAL OFFICER
<b>Position Start Date</b>	10/2018

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** GAGE, CHRISTINE HOGAN  
6469017

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

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 10/2015

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** GLICK, STEVEN  
2911274

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

**Position** CO-PRESIDENT

**Position Start Date** 07/2025

**Percentage of Ownership** Less than 5%

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** MCARDLE, MICHAEL PATRICK

Firm Profile



Direct Owners and Executive Officers (continued)

	6466234
Is this a domestic or foreign entity or an individual?	Individual
Position	CO-PRESIDENT
Position Start Date	10/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

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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):	BAIN CAPITAL HOLDINGS, LP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BCFD, LLC
Relationship to Direct Owner	SOLE MEMBER
Relationship Established	11/2015
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

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## Firm History

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

No information reported.





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 currently registered with the SEC, 1 SRO and 53 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	08/05/2016

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	08/05/2016



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	09/26/2016
Alaska	Approved	09/14/2016
Arizona	Approved	09/09/2016
Arkansas	Approved	09/08/2016
California	Approved	08/30/2016
Colorado	Approved	08/30/2016
Connecticut	Approved	09/15/2016
Delaware	Approved	10/10/2016
District of Columbia	Approved	08/15/2016
Florida	Approved	09/15/2016
Georgia	Approved	10/31/2016
Hawaii	Approved	09/14/2016
Idaho	Approved	08/30/2016
Illinois	Approved	09/22/2016
Indiana	Approved	10/12/2016
Iowa	Approved	08/17/2016
Kansas	Approved	10/06/2016
Kentucky	Approved	08/29/2016
Louisiana	Approved	08/29/2016
Maine	Approved	10/07/2016
Maryland	Approved	09/14/2016
Massachusetts	Approved	08/26/2016
Michigan	Approved	09/01/2016
Minnesota	Approved	11/16/2016
Mississippi	Approved	08/30/2016
Missouri	Approved	11/07/2016
Montana	Approved	09/01/2016
Nebraska	Approved	09/19/2016
Nevada	Approved	09/01/2016
New Hampshire	Approved	11/01/2016
New Jersey	Approved	10/06/2016
New Mexico	Approved	09/15/2016
New York	Approved	10/11/2016

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	08/26/2016
North Dakota	Approved	09/21/2016
Ohio	Approved	09/09/2016
Oklahoma	Approved	08/31/2016
Oregon	Approved	09/12/2016
Pennsylvania	Approved	08/31/2016
Puerto Rico	Approved	09/29/2016
Rhode Island	Approved	08/15/2016
South Carolina	Approved	09/08/2016
South Dakota	Approved	08/29/2016
Tennessee	Approved	09/30/2016
Texas	Approved	09/23/2016
Utah	Approved	08/18/2016
Vermont	Approved	10/04/2016
Virgin Islands	Approved	10/14/2016
Virginia	Approved	09/12/2016
Washington	Approved	09/12/2016
West Virginia	Approved	09/21/2016
Wisconsin	Approved	09/01/2016
Wyoming	Approved	09/30/2016



## 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

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - CORPORATE FINANCE ADVISORY SERVICES.

#### 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 have books or records maintained by a third party.**

<b>Name:</b>	BAIN CAPITAL, LP
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	02/03/2015
<b>Description:</b>	ALTHOUGH BAIN CAPITAL DISTRIBUTORS, LLC HAS ACCESS TO ALL RECORDS, MAINTENANCE OF ELECTRONIC FILES IS PROVIDED BY AN AFFILIATED ENTITY, BAIN CAPITAL, LP. THESE RECORD KEEPING SERVICES ARE PROVIDED UNDER AN AGREEMENT AND ARE CONSISTENT WITH THE SAME SERVICES PROVIDED BY BAIN CAPITAL, LP TO OTHER REGISTERED AFFILIATES, INCLUDING AFFILIATED REGISTERED INVESTMENT ADVISERS AND INTERNATIONAL AFFILIATES.

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**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.

**BAIN CAPITAL CREDIT CLO MANAGEMENT III (DE), LP is under common control with the firm.**

<b>CRD #:</b>	337224
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	05/27/2025
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT CLO MANAGEMENT III (DE), LP. BAIN CAPITAL CREDIT CLO MANAGEMENT III (DE), LP IS A RELYING ADVISER TO BAIN CAPITAL CREDIT, LP (CRD #: 134852).

**BAIN CAPITAL SPECIAL SITUATIONS, LP. is under common control with the firm.**

<b>CRD #:</b>	334804
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	02/14/2025
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL SPECIAL SITUATIONS, LP. BAIN CAPITAL SPECIAL SITUATIONS, LP IS A RELYING ADVISER TO BAIN CAPITAL CREDIT, LP (CRD #: 134852).

**BAIN CAPITAL ASSET MANAGER MAURITIUS is under common control with the firm.**

**Business Address:** 34 EBENE CYBERCITY, SUITE 110  
10TH FLOOR, EBENE HEIGHTS BUILDING  
EBENE, MAURITIUS

**Effective Date:** 04/29/2020

**Foreign Entity:** Yes

**Country:** MAURITIUS

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL ASSET MANAGER MAURITIUS.

**BCPC ADVISORS, LP is under common control with the firm.**

**CRD #:** 327851

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 09/08/2023

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BCPC ADVISORS, LP.

**BAIN CAPITAL (UK) LIMITED is under common control with the firm.**

**Business Address:** DEVONSHIRE HOUSE  
MAYFAIR PLACE  
LONDON, UK W1J 8AJ



## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 01/09/2023  
**Foreign Entity:** Yes  
**Country:** UNITED KINGDOM  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL (UK) LIMITED.

#### BAIN CAPITAL CRYPTO, LP is under common control with the firm.

**CRD #:** 321835  
**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116  
**Effective Date:** 05/10/2022  
**Foreign Entity:** No  
**Country:**  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CRYPTO, LP. BAIN CAPITAL CRYPTO, LP IS A RELYING ADVISER TO BAIN CAPITAL VENTURES, LP (CRD #: 145652).

#### BAIN CAPITAL INVESTMENTS (LUXEMBOURG) S.A.R.L. is under common control with the firm.

**Business Address:** 4, RUE LOU HEMMER L-1748  
SENNINGERBERG, LUXEMBOURG  
**Effective Date:** 11/05/2020  
**Foreign Entity:** Yes  
**Country:** LUXEMBOURG  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE

## Firm Operations



### Organization Affiliates (continued)

APPLICANT AND BAIN CAPITAL INVESTMENTS (LUXEMBOURG) S.A.R.L.

**BAIN CAPITAL CREDIT U.S. CLO MANAGER II, LP is under common control with the firm.**

<b>CRD #:</b>	317877
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	12/01/2021
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT U.S. CLO MANAGER II, LP. BAIN CAPITAL CREDIT U.S. CLO MANAGER II, LP IS A RELYING ADVISER TO BAIN CAPITAL CREDIT, LP (CRD #: 134852).

**INDIA RESURGENCE ASSET MANAGEMENT BUSINESS PRIVATE LIMITED is under common control with the firm.**

<b>Business Address:</b>	3RD FLOOR, PIRAMAL TOWER, PENINSULA CORPORATE PA LOWER PAREL MUMBAI, INDIA
<b>Effective Date:</b>	07/14/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	INDIA
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND INDIA RESURGENCE ASSET MANAGEMENT BUSINESS PRIVATE LIMITED.

**ASSET RESURGENCE MAURITIUS MANAGER is under common control with the firm.**

<b>Business Address:</b>	SUITE 110, 10TH FLOOR EBENE HEIGHTS BUILDING 34 EBENE CYBERCITY
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## Firm Operations



### Organization Affiliates (continued)

	EBENE, MAURITIUS 72201
<b>Effective Date:</b>	07/14/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	MAURITIUS
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND ASSET RESURGENCE MAURITIUS MANAGER.

#### BAIN CAPITAL ADVISORS (INDIA) PVT LTD is under common control with the firm.

<b>Business Address:</b>	UNIT 2201, 22ND FLOOR, EXPRESS TOWERS NARIMAN POINT MUMBAI, MAHARASHTRA 400 021, INDIA
<b>Effective Date:</b>	08/27/2021
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	INDIA
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL ADVISORS (INDIA) PVT LTD.

#### BAIN CAPITAL (SINGAPORE) PTE LTD is under common control with the firm.

<b>Business Address:</b>	8 MARINA BOULEVARD #11-27 MARINA BAY FINANCIAL CTR TOWER 1 018981 SINGAPORE, SINGAPORE
<b>Effective Date:</b>	04/29/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	SINGAPORE
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL (SINGAPORE) PTE LTD.

**BAIN CAPITAL INSURANCE SOLUTIONS, LP is under common control with the firm.**

**CRD #:** 305575

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 03/02/2021

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL INSURANCE SOLUTIONS, LP.

**BAIN CAPITAL INVESTMENTS (IRELAND) LIMITED is under common control with the firm.**

**Business Address:** 45 MESPIL ROAD  
4TH FLOOR  
DUBLIN 4, IRELAND D04 W2F1

**Effective Date:** 03/07/2019

**Foreign Entity:** Yes

**Country:** IRELAND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL INVESTMENTS (IRELAND) LIMITED.

**BAIN CAPITAL TECH OPPORTUNITIES, LP is under common control with the firm.**

**CRD #:** 305879

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 10/04/2019

## Firm Operations



### Organization Affiliates (continued)

<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL TECH OPPORTUNITIES, LP. BAIN CAPITAL TECH OPPORTUNITIES, LP IS A RELYING ADVISER TO BAIN CAPITAL PRIVATE EQUITY, LP (CRD #: 145653).

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#### BAIN CAPITAL (JAPAN), LLC is under common control with the firm.

<b>Business Address:</b>	5F, PALACE BUILDING 1-1-1 MARUNOUCHI CHIYODA-KU TOKYO, JAPAN
<b>Effective Date:</b>	12/11/2017
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	JAPAN
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL (JAPAN), LLC.

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#### BAIN CAPITAL PRIVATE EQUITY (ASIA) LIMITED is under common control with the firm.

<b>Business Address:</b>	SUITE 2501, LEVEL 25, ONE PACIFIC PLACE 88 QUEENSWAY, ADMIRALTY HONG KONG, HONG KONG
<b>Effective Date:</b>	05/18/2018
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	HONG KONG
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE

## Firm Operations



### Organization Affiliates (continued)

APPLICANT AND BAIN CAPITAL PRIVATE EQUITY (ASIA) LIMITED.

#### BAIN CAPITAL CREDIT (ASIA) LIMITED is under common control with the firm.

**Business Address:** SUITE 2501, LEVEL 25, ONE PACIFIC PLACE  
88 QUEENSWAY, ADMIRALTY  
HONG KONG, HONG KONG

**Effective Date:** 07/03/2018

**Foreign Entity:** Yes

**Country:** HONG KONG

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT (ASIA) LIMITED.

#### BAIN CAPITAL CREDIT U.S. CLO MANAGER, LLC is under common control with the firm.

**CRD #:** 298188

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 08/07/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT U.S. CLO MANAGER, LLC. BAIN CAPITAL CREDIT U.S. CLO MANAGER LLC IS A RELYING ADVISER TO BAIN CAPITAL CREDIT, LP (CRD #: 134852).

#### BAIN CAPITAL LIFE SCIENCES, LP is under common control with the firm.

**CRD #:** 294139

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 12/06/2016

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL LIFE SCIENCES, LP. BAIN CAPITAL LIFE SCIENCES, LP IS A RELYING ADVISER TO BAIN CAPITAL PRIVATE EQUITY, LP (CRD #: 145653).

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#### BAIN CAPITAL DOUBLE IMPACT, LP is under common control with the firm.

**CRD #:** 294191

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 08/12/2016

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL DOUBLE IMPACT, LP. BAIN CAPITAL DOUBLE IMPACT, LP IS A RELYING ADVISER TO BAIN CAPITAL PRIVATE EQUITY, LP (CRD #: 145653).

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#### BAIN CAPITAL CREDIT (AUSTRALIA) PTY. LIMITED is under common control with the firm.

**Business Address:** 101 COLLINS STREET  
LEVEL 20  
MELBOURNE, AUSTRALIA VIC 3000

**Effective Date:** 10/28/2011

**Foreign Entity:** Yes

**Country:** AUSTRALIA

**Securities Activities:** No

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT (AUSTRALIA) PTY. LIMITED.

**BAIN CAPITAL PARTNERSHIP STRATEGIES, LP is under common control with the firm.**

**CRD #:** 297457

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 07/19/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL PARTNERSHIP STRATEGIES, LP.

**BAIN CAPITAL REAL ESTATE, LP is under common control with the firm.**

**CRD #:** 291809

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 02/01/2018

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL REAL ESTATE, LP.

**BAIN CAPITAL CREDIT CLO ADVISORS, LP is under common control with the firm.**

**CRD #:** 285892



## Firm Operations



### Organization Affiliates (continued)

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 12/05/2016

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT CLO ADVISORS, LP. BAIN CAPITAL CREDIT CLO ADVISORS, LP IS A RELYING ADVISER TO BAIN CAPITAL CREDIT, LP (CRD #: 134852).

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#### BCSF ADVISORS, LP is under common control with the firm.

**CRD #:** 282092

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 02/16/2016

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BCSF ADVISORS, LP.

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#### BAIN CAPITAL ASSET MANAGEMENT, LP is under common control with the firm.

**CRD #:** 183517

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 02/11/2016

**Foreign Entity:** No

**Country:**

## Firm Operations



### Organization Affiliates (continued)

<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL ASSET MANAGEMENT, LP.

#### BAIN CAPITAL INVESTMENTS (EUROPE) LIMITED is under common control with the firm.

<b>Business Address:</b>	DEVONSHIRE HOUSE MAYFIAR PLACE LONDON, UK W1J 8AJ
<b>Effective Date:</b>	01/09/2023
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL INVESTMENTS (EUROPE) LIMITED.

#### BAIN CAPITAL CREDIT, LTD. is under common control with the firm.

<b>Business Address:</b>	50 BERKELEY STREET LONDON, UK W1J 8HD
<b>Effective Date:</b>	02/03/2015
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT, LTD.

#### BAIN CAPITAL PRIVATE EQUITY (EUROPE), LLP is under common control with the firm.

<b>Business Address:</b>	DEVONSHIRE HOUSE MAYFIAR PLACE LONDON, UK W1J 8AJ
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# Firm Operations



## Organization Affiliates (continued)

<b>Effective Date:</b>	01/09/2023
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL PRIVATE EQUITY (EUROPE), LLP.

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### BAIN CAPITAL CREDIT, LP is under common control with the firm.

<b>CRD #:</b>	134852
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	02/03/2015
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL CREDIT, LP.

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### BAIN CAPITAL PUBLIC EQUITY, LP is under common control with the firm.

<b>CRD #:</b>	145650
<b>Business Address:</b>	200 CLARENDON STREET BOSTON, MA 02116
<b>Effective Date:</b>	02/03/2015
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL PUBLIC EQUITY, LP.

**BAIN CAPITAL VENTURES, LP is under common control with the firm.**

**CRD #:** 145652

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 02/03/2015

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL VENTURES, LP.

**BAIN CAPITAL PRIVATE EQUITY, LP is under common control with the firm.**

**CRD #:** 145653

**Business Address:** 200 CLARENDON STREET  
BOSTON, MA 02116

**Effective Date:** 02/03/2015

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** BAIN CAPITAL HOLDINGS, LP DIRECTLY OR INDIRECTLY CONTROLS THE APPLICANT AND BAIN CAPITAL PRIVATE EQUITY, LP.

**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

## Firm Operations



### Organization Affiliates (continued)

- savings bank or association
- credit union
- or foreign bank

**End of Report**



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