



Gemini Fund
Services, LLC



Pooled Investment Solutions

Request for Proposal

Name: _____ Business Name: _____

CEO/President: _____ Key Contact: _____

Business Address: _____

City, State, Zip: _____

Business Phone: _____ Business Fax: _____

E-mail Address: _____ Website Address: _____

BD Affiliation (if any): _____

Are you a Registered Investment Advisor (RIA)? Yes No

What is your RIA Name? _____ Are you SEC or State Registered? _____

Please circle the states in which you are registered (choose all that apply):

AK	AL	AR	AZ	CA	CO	CT	DC	DE	FL	GA	HI	IA	ID
IL	IN	KS	KY	LA	MA	MD	ME	MI	MN	MO	MS	MT	NC
ND	NE	NH	NJ	NM	NV	NY	OH	OK	OR	PA	RI	SC	SD
TN	TX	UT	VA	VT	WA	WI	WV	WY	PR				

Please outline the key elements of your business plan on the lines below. (Some items to include: list of business entities, target markets, distribution, etc.) Attach any pertinent documents to this form including a copy of your business plan and projected earnings.

Please list your one-, three- and five-year growth projections per entity on the lines below:

Questions? Contact Us:

info@geminifund.com

P: 631.470.2600

F: 631.951.0573

www.geminifund.com

1. Do you have an existing mutual fund(s)? Yes No (if no, proceed to question 2)
- a. What type of fund(s)? Equity Bond
 - b. Do you have your own series trust? Yes No
 - c. How many shareholders do you have? _____
 - d. How large are your funds (in assets)? _____
 - e. Please list the share classes: _____
 - f. Who is listed as the distributor for your fund(s)? _____
 - g. What is your primary distribution channel? (Choose only one.)
 BDs Other RIAs Direct to public
 - h. Are your fund(s) available on major platforms (e.g. Charles Schwab, TD Ameritrade)?
 Yes No If yes, please list the platforms: _____
 - i. Who provides compliance services for your fund(s)? _____
2. Are you interested in creating a registered mutual fund? Yes No (if no, proceed to question 3)
- a. What type of fund(s) would you like to create? Equity Bond
 - b. What would be your primary distribution channel? (Choose only one.)
 BDs Other RIAs Direct to public
 - c. What is your anticipated advisory fee? _____
 - d. What do you expect your average account size to be? _____
 - e. What is your anticipated expense limitation? _____
 - f. What is your estimated timeline to launch your fund? (Average time to launch is 120 days) _____
 - g. Would you like to join an existing series trust? Yes No
3. Do you have your own hedge funds? Yes No
- a. How many partners do you have? _____
 - b. What is the investment strategy for your hedge fund? _____
 - c. What is the current structure of your partnership? (i.e. domestic, offshore, master feeder) _____
 - d. Are your filings in HTML or ASCII? _____
 - e. Are you charged for graphics or tables? _____
4. Who currently provides administration, accounting, transfer agent and shareholder services for your fund(s)?

5. How did you hear about Gemini?
