



EYE ON GEMINI

WELCOME NEW CLIENTS

We would like to welcome the following companies to our family:

- Sierra Investment Management (mutual fund)
- Alpha Investment Management (mutual fund)
- Oxford Group (mutual fund)
- HS Dent Foundation (variable annuity)

CLIENT SPOTLIGHT OPPORTUNITIES

We'd love to highlight your company in our newsletter. E-mail us at GeminiMarketing@geminifund.com if you're interested.

GEMINI IN THE NEWS

Gemini was featured on www.hedgeworld.com on September 7, 2007 in an article titled Gemini Charts Growth in Small Fund Clients by Jacob Bunge.

Stay tuned for more Gemini in the News reportings.

GEMINI SIGHTINGS

- Financial Advisor Symposium, Chicago, Oct. 8-10
 - Exhibiting at Booth 214
 - Andrew Rogers, Panel Speaker, Oct. 9 at 2:15
- MARHedge, Bermuda, Oct. 28-30
 - Exhibiting
- Schwab Impact, Las Vegas, Oct. 28-31
 - Attending

If you're attending any of the above conferences, we'd love to see you there!

TRIVIA QUESTION

The answer to the last trivia question 'How many millionaires were there in the United States in 1840' was: **There were 20.**

What were the first non-NYSE stocks to be added to the Dow?
Stay tuned for the answer in our next edition!

COMPLIANCE REMINDER

Remember when submitting your advertising pieces to your broker/dealer for review to include the proper disclosures. Also, always include an 800 number in your disclosures in order to let clients know how they may obtain a prospectus. These two reminders can help expedite the compliance review process.

SEC COMMISSIONER STEPS DOWN

According to Investment News on October 2, 2007, Annette Nazareth, Commissioner of the SEC for the past nine years, is stepping down and returning to the private sector. She is the second commissioner to leave the SEC in the last few weeks. Commissioner Roel C. Campos announced in August he was leaving to return to the private sector, which he did on September 18, 2007.

NASDAQ PURCHASES THE BOSTON STOCK EXCHANGE

By the first quarter of 2008, the Nasdaq Stock Market, Inc will close on a deal for approximately \$61 million to acquire the Boston Stock Exchange. Directorial boards on both exchanges have already given the merger the nod, according to Investment News.

ENRON DISTRIBUTES PAYMENT TO CREDITORS

The company formerly known as Enron has recently distributed \$1.74 billion to creditors, as reported by Investment News. Since November 2004, the company has made 18 payments to creditors. The total amount returned is equivalent to \$0.36 on the dollar of the billions Enron lost after it went bankrupt in 2001. Originally, Enron estimated that creditors would get \$0.17 on the dollar.



Gemini
Fund Services, LLC