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## About The Manager Database

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Hedge Fund Alert's Manager Database offers detailed views of more than 3,000 fund-management firms and the hedge funds they run. The information is culled from Form ADV disclosures that fund managers file with the SEC and from Hedge Fund Alert's own research.

For questions about the Manager Database, call Evan Grauer at 201-234-3987.



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The database is made up of fund operators that manage at least \$150 million in the U.S. Such firms must register with the SEC as investment advisors and file the detailed disclosures. It also lists smaller fund managers, but generally offers less detail on those firms. Excluded are hedge fund managers that don't do business in the U.S.

The Manager Database doesn't report hedge fund performance.

Users of the database can:

- › Sort fund-management firms by asset size, investment strategy, location, number of employees and other characteristics.
- › Sort individual hedge funds by asset size, investment strategy, number of investors and other characteristics.
- › List service providers for every management firm and the funds they run, and create rosters of each service provider's hedge fund clients.
- › Identify owners and executives of registered management firms.
- › Learn if a firm has been involved with any disciplinary actions involving courts, regulators or exchanges.

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**Manager:**

Field Name	Detailed Description
Manager's CRD #	Manager's CRD number, which is assigned to registered investment advisors and broker-dealers by Finra's central registration depository system
Manager's SEC #	Manager's file number, which is assigned by SEC to registered investment advisors
Strategy	Primary investment strategy employed by manager's hedge fund(s)
Address	Address of manager's main office
Phone	Telephone number of manager's main office
Website	Manager's main website address
Founded	Year when manager was established
Fiscal yearend	Last day of manager's fiscal year
Accountant	Name of independent public accountant engaged to audit manager's funds

**Size**

Field Name	Detailed Description
Discretionary regulatory AUM (\$Mil.)	Manager's total discretionary regulatory assets under management, including leveraged assets
Net AUM (\$Mil.)	Manager's total discretionary and non-discretionary assets under management, excluding leverage to reflect only equity held by investors

As-of date for net AUM	As-of date for manager's discretionary net assets under management
Number of funds and accounts	Number of discretionary accounts, such as hedge funds and separate accounts overseen by manager
Number of hedge funds	Number of hedge funds the manager operated during its most recently completed fiscal year, excluding feeder funds
Gross hedge fund AUM (\$Mil.)	Gross assets, including leverage, held in hedge funds, but not in separate accounts or other discretionary accounts
Number of employees	Number of people employed by manager
Number of investment professionals	Number of manager employees who perform investment-advisory functions, including research and trading

**Disciplinary Action**

Field Name	Detailed Description
Felony conviction	In the past 10 years, has manager or an advisory affiliate been convicted of or pled guilty or no contest to a felony charge in a domestic, foreign or military court?
Felony charge	In the past 10 years, has manager or any advisory affiliate been charged with a felony?
Misdemeanor conviction	In the past 10 years, has manager or an advisory affiliate been convicted of or pled guilty or no contest to an investment-related misdemeanor or to fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or conspiracy to commit any of those offenses?
Found in violation by SEC or CFTC	Has manager or an advisory affiliate ever been found by the SEC or CFTC to have made a false statement or omission or have been in violation of regulations or statutes?
Sanctioned/disciplined by SEC or CFTC	Has manager or an advisory affiliate ever been suspended, restricted, ordered to cease and desist, fined or otherwise disciplined by the SEC or CFTC?
Sanctioned by other regulators	Has another federal, state or foreign regulatory authority ever taken action against manager or an advisory affiliate for regulatory or statutory violations, or dishonest or unethical behavior?
Sanctioned by an SRO or exchange	Has a self-regulatory organization or an exchange ever disciplined manager or an advisory affiliate, or found manager or an affiliate in violation of its rules?
Revocation/suspension	Has authorization to act as an attorney, accountant or federal contractor ever been revoked or suspended from manager or an advisory affiliate?
Pending proceeding	Is manager or an advisory affiliate the subject of a regulatory proceeding that could result in a "yes" answer to any of the above questions?
Found in violation by a court	Has manager or an advisory affiliate ever been enjoined by or found in violation of investment-related statutes or regulations a domestic or foreign court?
Court settlement	Has a domestic or foreign court ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against manager or an advisory affiliate by a state or foreign regulatory authority?

**Owners/Executives:**

Field Name	Detailed Description
Entity name	Name of entity with stake in manager
Title or status	Title (e.g. CEO, CFO) of individual owner/executive or status (e.g. parent, sole stockholder) of institution
Ownership %	Ownership stake in manager

**Fund:**

Field Name	Detailed Description
Private fund ID #	Unique private fund identification number generated by Finra's investment advisor registration depository (IARD) system
Strategy	Primary investment strategy employed by fund
Domicile	Country under whose laws the fund is organized
Manager	Fund manager's name

**Manager's CRD #**      Manager's CRD number, which is assigned to registered investment advisors and broker-dealers by Finra's central registration depository system

**Assets**

Field Name	Detailed Description
Gross AUM of fund (\$Mil.)	Fund's gross assets under management, including leverage
Net AUM of fund (\$Mil.)	Fund's total assets under management, excluding leverage, to reflect only equity held by investors
As-of date for fund's net AUM	As-of date for fund's net assets under management

**Investors/Terms**

Field Name	Detailed Description
Number of investors	Number of fund partners, including executives and staff of manager
% of in house capital	Percentage of fund shares held by executives and staff of manager
% of fund-of-funds capital	Percentage of fund shares held by funds of funds
% of non-U.S. capital	Percentage of fund shares held by non-US investors
Minimum investment (\$)	Fund's minimum investment requirement
Maximum management fee (%)	Maximum management fee charged by manager stated as an annual percentage of fund assets managed
Maximum performance fee (%)	Maximum performance fee charged by manager stated as a percentage of fund's gains

**Service Providers:**

Field Name	Detailed Description
Prime broker	Firm that provides the fund with prime-brokerage services, which can include clearing or reconciling trades, lending securities for short-selling purposes and margin lending.
Marketer	A placement agent or other third party that assists the fund in raising capital and preparing offering materials.
Auditor	Accounting firm that audits the fund's holdings and certifies its performance.
Administrator	Firm that handles the fund's day-to-day administrative functions, such as calculating net asset values of LP shares.

**Master/Feeder**

Field Name	Detailed Description
Master/Feeder	For master funds set up under a so-called master/feeder structure, the names of the feeder funds. For feeder funds, the name of the master fund.

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**Firm Information**

<i>Management firm</i>	<i>Alphadyne Asset Management</i>
<b>Manager's CRD #</b>	154176
<b>Manager's SEC #</b>	801-71674
<b>Strategy</b>	Global macro
<b>Address</b>	17 State Street, 30th Floor
<b>Address</b>	
<b>City</b>	New York
<b>State</b>	NY
<b>Country</b>	US
<b>Phone</b>	212-806-3700
<b>Website</b>	www.adyne.com
<b>Founded</b>	2005

<b>Fiscal yearend</b>	12/31/2017
<b>Accountant</b>	PricewaterhouseCoopers
<b>Operates private equity funds (Y/N)?</b>	N
<b>Operates real estate funds (Y/N)?</b>	N

## Size

<b>Gross hedge fund AUM (\$mil.)</b>	75,953
<b>As-of date for gross AUM (\$mil.)</b>	12/31/2016
<b>Net AUM (\$mil.)</b>	
<b>As-of date for net AUM</b>	N/A
<b>Discretionary regulatory AUM (\$mil.)</b>	84,634.48
<b>Number of funds and accounts</b>	6
<b>Number of hedge funds</b>	4
<b>Number of employees</b>	77
<b>Number of investment professionals</b>	21

## Disciplinary Action

<b>Felony conviction</b>	N
<b>Felony charge</b>	N
<b>Misdemeanor conviction</b>	N
<b>Found in violation by SEC or CFTC</b>	N
<b>Sanctioned/disciplined by SEC or CFTC</b>	N
<b>Sanctioned by other regulators</b>	N
<b>Sanctioned by an SRO or exchange</b>	Y
<b>Revocation/suspension</b>	N
<b>Pending proceeding</b>	N
<b>Found in violation by a court</b>	Y
<b>Court settlement</b>	N

## Owner / Executives

First	Last	Title	Ownership	ENTITY
		Managing Member (Relying Adviser)	75+% stake	Alphadyne (Uk) Holdings Limited
		Limited Partner	25-50% stake	Philippe Khuong-Huu LLC
		Limited Partner	25-50% stake	JCK Mirai LLC
Christian	Daher	Limited Partner	5-10% stake	
Bart	Broadman	Board Member	0-5% stake	
Philippe	Khuong-Huu	Board Member	0-5% stake	
Joseph	Regan	Global Chief Executive Officer and Board Member	0-5% stake	
Alan	Weiss	Chief Compliance Officer	0-5% stake	
Mark	Kessler	Chief Operating Officer	0-5% stake	
		General Partner	0-5% stake	Alphadyne GP Holdings LLC
William	Hines	General Counsel	0-5% stake	
Guillaume	Nicolle	Managing Partner (Relying Adviser)	0-5% stake	

## Hedge Funds

**Fund Name** *Alphadyne International (Erisa) Master Fund Ltd*  
*Alphadyne Investment Strategies - Asia Rates Trading, Ltd.*  
*Alphadyne Global Rates Master Fund, Ltd.*  
*Alphadyne International Master Fund, Ltd.*

### HFA 04/26/17 Industry Notches Respectable Asset Growth

A combination of performance gains and heightened leverage drove an 8.2% increase in gross U.S. hedge fund assets last year.

### HFA 04/05/17 The Grapevine

BlueCrest Capital added a portfolio manager to its New York office in March. Terence Hsu had been a trader at Alphadyne Asset

Management since 2015...

**HFA 03/08/17 Global-Macro Shop Calls It Quits**

Arcem Capital, a global-macro manager that once had nearly \$5 billion of gross assets, is out of business.

**HFA 12/07/16 The Grapevine**

Alphadyne Asset Management has added a member to its client-relations group. John Rustum arrived last month at the New York global-macro firm. Rust...

**HFA 05/04/16 Biggest Employers on 4-Year Hiring Spree**

The biggest hedge fund-management companies have been on a hiring tear over the past few years.

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