

Schedule D of FORM SBSE Page 2	Applicant Name: <u>GIFMS Capital Company, LLC</u> Date: _____ SEC Filer No: _____	Official Use	Official Use Only
Use this Schedule D Page 2 to report details for Item 13A. Supply details for all partnerships, corporations, organizations, institutions and individuals necessary to answer each item completely. Use additional copies of Schedule D Page 2 if necessary. Use the "Effective Date" box to enter the Month, Day, and Year that the affiliation was effective or the date of the most recent change in the affiliation. This is an <input checked="" type="checkbox"/> INITIAL <input type="checkbox"/> AMENDED detail filing for Form SBSE Item 13A			
<input type="checkbox"/> 13A. Directly or indirectly, does <i>applicant control</i> , is <i>applicant controlled</i> by, or is <i>applicant</i> under common <i>control</i> with, any partnership, corporation, or other organization that is engaged in the securities or investment advisory business?			
Section V Complete this section for control issues relating to ITEM 13A only.			
The details supplied relate to:			
1.	Partnership, Corporation, or Organization Name GUGGENHEIM PARTNERS INVESTMENT MANAGEMENT, LLC	CRD Number (if any) 137432	UIC Number (if any)
<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code) 100 WILSHIRE BLVD., SUITE 500, SANTA MONICA, CA 90401 USA		Effective Date MM DD YYYY 11/04/2005	Termination Date MM DD YYYY / /
Is Partnership, Corporation or Organization a foreign entity? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Yes, provide country of domicile or incorporation 	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. <small>Guggenheim Partners Investment Management, LLC is majority-owned by Guggenheim Partners Investment Management Holdings, LLC, which is indirectly majority-owned by Guggenheim Capital, LLC and an Investment Adviser registered with the SEC.</small>			
2.	Partnership, Corporation, or Organization Name GUGGENHEIM PARTNERS JAPAN, LTD.	CRD Number (if any)	UIC Number (if any)
<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code) OTEMACHI FIRST SQUARE, WEST TOWER 1-5-1,OTEMACHI 13-F, TOKYO, JAPAN 100-0004		Effective Date MM DD YYYY 02/17/2015	Termination Date MM DD YYYY / /
Is Partnership, Corporation or Organization a foreign entity? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, provide country of domicile or incorporation Japan	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. <small>Guggenheim Partners Japan, Ltd. is wholly-owned by Links GPJL Holdco, LLC and indirectly majority-owned by GuggenheimCapital, LLC and is registered with Kanto Financial Bureau.</small>			
3.	Partnership, Corporation, or Organization Name GUGGENHEIM PARTNERS MIDDLE EAST LIMITED	CRD Number (if any)	UIC Number (if any)
<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code) OFFICE 602, LEVEL 6, BURJ DAMAN DIFC, P.O.BOX 506587, DUBAI, UNITED ARAB EMIRATES		Effective Date MM DD YYYY 09/14/2015	Termination Date MM DD YYYY / /
Is Partnership, Corporation or Organization a foreign entity? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, provide country of domicile or incorporation UNITED ARAB EMIRATES	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:
Briefly describe the control relationship. Use reverse side of this sheet for additional comments if necessary. <small>Guggenheim Partners Middle East Limited (Fka Guggenheim Kbbo Partners Limited) is wholly-owned by Links Gkpl Holdco, LLC which is indirectly majority-owned by Guggenheim Capital, LLC and is authorised by the DFSA.</small>			
If applicant has more than 3 organizations to report, complete additional Schedule D Page 2s.			

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The details supplied relate to:				
1.	Partnership, Corporation, or Organization Name GUGGENHEIM SECURITIES INTERNATIONAL LTD	CRD Number (if any)	UIC Number (if any)	
(check only one) This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant				
Business Address (Street, City, State/Country, Zip + 4/Postal Code)		Effective Date	Termination Date	
2nd Fl, 11 Hanover Sq London UK W1S 1YQ		MM DD YYYY 02/02/2015	MM DD YYYY / /	
Is Partnership, Corporation or Organization a foreign entity? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, provide country of domicile or incorporation United Kingdom	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	Investment Advisory <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:	
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. Guggenheim Securities International, Ltd is wholly-owned by Links Holding, LLC which is indirectly majority-owned by Guggenheim Capital, LLC and is an Authorized Dealer with whe FCA.				
2.	Partnership, Corporation, or Organization Name GUGGENHEIM SECURITIES RESEARCH SERVICES, LLC	CRD Number (if any)	UIC Number (if any)	
(check only one) This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant				
Business Address (Street, City, State/Country, Zip + 4/Postal Code)		Effective Date	Termination Date	
330 MADISON AVENUE, NEW YORK, NY 10017 USA		MM DD YYYY 07/17/2023	MM DD YYYY / /	
Is Partnership, Corporation or Organization a foreign entity? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Yes, provide country of domicile or incorporation	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. Guggenheim Securities Research Services LLC is wholly-owned by Links Holding LLC which is indirectly owned by Guggenheim Capital, LLC. Guggenheim Securities Research Services LLC provides equity research and related services to institutional clients.				
3.	Partnership, Corporation, or Organization Name SAMMONS FINANCIAL GROUP ASSET MANAGEMENT, LLC	CRD Number (if any) 321109	UIC Number (if any)	
(check only one) This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant				
Business Address (Street, City, State/Country, Zip + 4/Postal Code)		Effective Date	Termination Date	
8300 MILLS CIVIC PARKWAY, WEST DES MOINES 50266 UNITED STATES		MM DD YYYY 06/13/2022	MM DD YYYY / /	
Is Partnership, Corporation or Organization a foreign entity? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Yes, provide country of domicile or incorporation	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	
Briefly describe the control relationship. Use reverse side of this sheet for additional comments if necessary. Sammons Financial Group Asset Management, LLC is wholly-owned by Sammons Financial Group, Inc. which is indirectly wholly-owned by Consolidated Investment Services, Inc., which indirectly partially owns Guggenheim Capital, LLC.				
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The details supplied relate to:			
1.	Partnership, Corporation, or Organization Name SAMMONS FINANCIAL NETWORK, LLC	CRD Number (if any) 158538	UIC Number (if any)
<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code) 8300 MILLS CIVIC PARKWAY, WEST DES MOINES, IA 50266 USA		Effective Date MM DD YYYY 06/01/2011	Termination Date MM DD YYYY / /
Is Partnership, Corporation or Organization a foreign entity? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Yes, provide country of domicile or incorporation 	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:	Investment Advisory <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. Sammons Financial Network, LLC is wholly-owned by Sammons Securities, Inc. which is indirectly wholly-owned by Consolidated Investment Services, Inc. which indirectly partially owns Guggenheim Capital, LLC.			
2.	Partnership, Corporation, or Organization Name TRANSPARENT VALUE PRIVATE LIMITED	CRD Number (if any)	UIC Number (if any)
<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input checked="" type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code) 1ST FL, 25 SEJ PLAZA, MARVE ROAD, MALAD WEST, MUMBAI, INDIA 400064		Effective Date MM DD YYYY 08/15/2018	Termination Date MM DD YYYY / /
Is Partnership, Corporation or Organization a foreign entity? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, provide country of domicile or incorporation India	Check "Yes" or "No" for activities of this partnership Corporation, or organization: Securities <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Activities:	Investment Advisory <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Activities:
Briefly describe the <i>control</i> relationship. Use reverse side of this sheet for additional comments if necessary. Transparent Value Private Limited is directly majority-owned by Transparent Value, LLC which is indirectly majority-owned by Guggenheim Capital, LLC and is an unregistered Investment Advisor.			
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<i>(check only one)</i> This Partnership, Corporation, or Organization <input type="checkbox"/> controls applicant <input type="checkbox"/> is controlled by applicant <input type="checkbox"/> is under common control with applicant			
Business Address (Street, City, State/Country, Zip + 4/Postal Code)		Effective Date MM DD YYYY / /	Termination Date MM DD YYYY / /
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