

Exhibit C-3 Forecasted Financial Statements

2022	
Revenue	\$52,000.00
Expenses	\$4,000.00
Net income	\$48,000.00

2023	
Revenue	\$52,000.00
Expenses	\$4,000.00
Net income	\$48,000.00

Exhibit C-4 Credit Rating

StoneX Financial Inc. is a wholly-owned subsidiary of StoneX Group Inc. Following is the most recent Credit Rating report issued on StoneX Group Inc. by Moody's Investors Service.



Stonex Group Inc

230 Park Avenue, 10th Floor
NEW YORK, NY 10169 United States

Phone: (212) 485-3500

Ticker: SNEX

Moody's announces completion of a periodic review of ratings of StoneX Group Inc.

New York, July 08, 2021 -- Moody's Investors Service ("Moody's") has completed a periodic review of the ratings of StoneX Group Inc. and other ratings that are associated with the same analytical unit. The review was conducted through a portfolio review discussion held on 1 July 2021 in which Moody's reassessed the appropriateness of the ratings in the context of the relevant principal methodology(ies), recent developments, and a comparison of the financial and operating profile to similarly rated peers. The review did not involve a rating committee. Since 1 January 2019, Moody's practice has been to issue a press release following each periodic review to announce its completion.

This publication does not announce a credit rating action and is not an indication of whether or not a credit rating action is likely in the near future. Credit ratings and outlook/review status cannot be changed in a portfolio review and hence are not impacted by this announcement. For any credit ratings referenced in this publication, please see the ratings tab on the issuer/entity page on www.moody's.com for the most updated credit rating action information and rating history.

Key rating considerations are summarized below.

StoneX Group Inc.'s (StoneX) Ba3 issuer rating reflects its strengths in a range of specialized financial services functions, including commercial hedging and risk management advisory, commodities trading, clearing and execution, securities market making and global payments. The firm's diversified business mix contributes to strong revenue growth, consistent earnings and provides avenues for continued expansion and organic growth. StoneX has demonstrated prudent financial policies over a long historical period, but also has periodically engaged in debt-funded M&A.

StoneX takes principal risk in its trading activities, but these risks are mitigated by relatively short hold times and the extensive use of hedging to operate on a matched principal basis. Nevertheless, the volume of StoneX's transactions expose it to a high level of operational risk that could result in severe losses in the event of a risk management failure, factors that are reflected in its ratings.

This document summarizes Moody's view as of the publication date and will not be updated until the next periodic review announcement, which will incorporate material changes in credit circumstances (if any) during the intervening period.

The principal methodology used for this review was Securities Industry Market Makers Methodology published in November 2019. Please see the Rating Methodologies page on www.moody's.com for a copy of this methodology.

This announcement applies only to EU rated, UK rated, EU endorsed and UK endorsed ratings. Non EU rated, non UK rated, non EU endorsed and non UK endorsed ratings may be referenced above to the extent necessary, if they are part of the same analytical unit.

This publication does not announce a credit rating action. For any credit ratings referenced in this publication, please see the ratings tab on the issuer/entity page on www.moody's.com for the most updated credit rating action information and rating

history.

Fadi Abdel Massih
Vice President - Senior Analyst
Financial Institutions Group
Moody's Investors Service, Inc.
250 Greenwich Street
New York, NY 10007
U.S.A.
JOURNALISTS: 1 212 553 0376
Client Service: 1 212 553 1653

Donald Robertson
Associate Managing Director
Financial Institutions Group
JOURNALISTS: 1 212 553 0376
Client Service: 1 212 553 1653

Releasing Office:
Moody's Investors Service, Inc.
250 Greenwich Street
New York, NY 10007
U.S.A.
JOURNALISTS: 1 212 553 0376
Client Service: 1 212 553 1653

Related Businesses

- **Stonex Group Inc**

Worldwide Service - Subscriber

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Contact Us: 845.230.3000

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Wednesday, May 11, 2022

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Moody's announces completion of a periodic review of ratings of StoneX Group Inc.

Exhibit C-5 Credit Report

The current Dun & Bradstreet credit report on StoneX Financial Inc. follows.

LIVE REPORT

STONEX FINANCIAL INC.

Tradestyle(s): (SUBSIDIARY OF STONEX GROUP INC., NEW YORK, NY)

ACTIVE

D-U-N-S 07-988-4994
Number:
Phone: +1 (407) 741-5300

Address: 1831 28th Ave S Apt 340, Birmingham, AL, 35209,
United States Of America
Web: www.stonex.com
Endorsementpaul.krebs@intlfcstone.com
Exclude
from
Portfolio
Insight:

Summary

KEY DATA ELEMENTS (Formerly: SCORE BAR)



Some of the variables configured for the score bar are not correct. Please customize again and remove incorrect variables.

D&B RATING ®

Employee Size

1R : 10 employees and over

Current Rating as of 07/11/2017

Risk Indicator

3 : Moderate Risk

D&B MAX CREDIT RECOMMENDATION ®

MAXIMUM CREDIT RECOMMENDATION

US\$ 2,250,000

The recommended limit is based on a low probability of severe delinquency.

VIABILITY RATING SUMMARY ®

Viability Score

High Risk (9)

Data Depth Indicator

Descriptive (G)

Portfolio Comparison

High Risk (9)

Financial Data
Trade Payments
Company Size
Years in Business

Unavailable

3 Months

From Mar-22 to May-22

Low Risk (1)

Predictive (A)

Low Risk (1)

DETAILED TRADE RISK INSIGHT™

Days Beyond Terms
11 Days

11

High Risk (120+)

Low Risk (0)

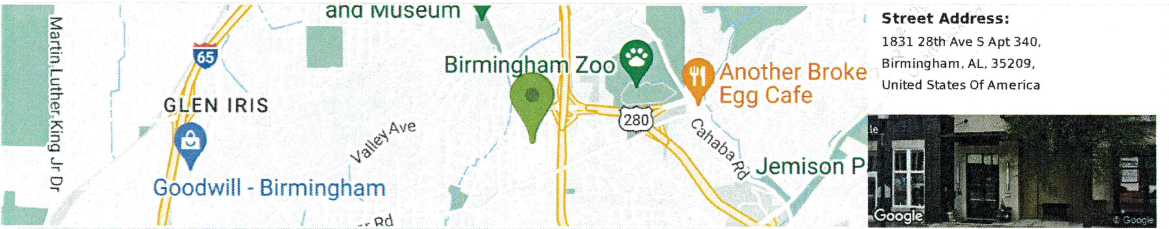
Days Beyond Terms Past 3 months : 11

Low Risk:0 ; High Risk:120+

Dollar-weighted average of 4 payment experiences reported from 4 companies.

COMPANY PROFILE ⓘ

D-U-N-S 07-988-4994	Mailing Address UNITED STATES	Employees 1,100
Legal Form Corporation (US)	Telephone +1 (407) 741-5300	Age (Year Started) 23 Years (1998)
History Record Clear	Website www.stonex.com	Named Principal Sean M O'connor, CHM
Date Incorporated 05/29/1998	Present Control Succeeded 1998	Line of Business Business services
State of Incorporation FLORIDA		SIC 73890900
Ownership Not publicly traded		NAICS 522320



PAYDEX® TREND CHART ⓘ

△ This Company ▣ Industry Benchmark

STOCK PERFORMANCE

History

Daily High
52-Week High

Performance

P/E:
EPS:
Div/Yield

FRAUD RISK SCORE INFORMATION



No Fraud Risk Score is Available

WEB & SOCIAL POWERED BY FIRSTRAIN

There are no recent web results to show.

ALERTS ⓘ



There are no alerts for this D-U-N-S Number.

LEGAL EVENTS

Events	Occurrences	Last Filed
Bankruptcies	0	-
Judgements	0	-
Liens	4	11/23/2020
Suits	0	-
UCC	2	07/02/2015

OWNERSHIP

Subsidiaries	Branches	Total Members
-	20	142

This company is a Headquarters, Subsidiary.

	Global Ultimate	Domestic Ultimate
Name	STONEX GROUP INC.	STONEX GROUP INC.
Country	UNITED STATES	UNITED STATES
D-U-N-S	62-079-3877	62-079-3877
Others	-	-

The scores and ratings included in this report are designed as a tool to assist the user in making their own credit related decisions, and should be used as part of a balanced and complete assessment relying on the knowledge and expertise of the reader, and where appropriate on other information sources. The score and rating models are developed using statistical analysis in order to generate a prediction of future events. Dun & Bradstreet monitors the performance of thousands of businesses in order to identify characteristics common to specific business events. These characteristics are weighted by significance to form rules within its models that identify other businesses with similar characteristics in order to provide a score or rating.

Dun & Bradstreet's scores and ratings are not a statement of what will happen, but an indication of what is more likely to happen based on previous experience. Though Dun & Bradstreet uses extensive procedures to maintain the quality of its information, Dun & Bradstreet cannot guarantee that it is accurate, complete or timely, and this may affect the included scores and ratings. Your use of this report is subject to applicable law, and to the terms of your agreement with Dun & Bradstreet.

Risk Assessment

D&B RISK ASSESSMENT

OVERALL BUSINESS RISK

HIGH	MODERATE-HIGH	MODERATE	LOW-MODERATE	LOW
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MAXIMUM CREDIT RECOMMENDATION

US\$ 2,250,000

Dun & Bradstreet thinks...

- Overall assessment of this organization over the next 12 months: **STABLE CONDITION**
- Based on the predicted risk of business discontinuation: **LIKELIHOOD-OF-CONTINUED-OPERATIONS**
- Based on the predicted risk of severely delinquent payments: **LOW POTENTIAL FOR SEVERELY DELINQUENT PAYMENTS**

The recommended limit is based on a low probability of severe delinquency.

D&B VIABILITY RATING SUMMARY

The D&B Viability Rating uses D&B's proprietary analytics to compare the most predictive business risk indicators and deliver a highly reliable assessment of the probability that a company will go out of business, become dormant/inactive, or file for

bankruptcy/insolvency within the next 12 months. The D&B Viability Rating is made up of 4 components:

Viability Score

Compared to All US Businesses within the D&B Database:

- Level of Risk:**Low Risk**
- Businesses ranked **3** have a probability of becoming no longer viable: **3 %**
- Percentage of businesses ranked **3**: **15 %**
- Across all US businesses, the average probability of becoming no longer viable:**14 %**

Portfolio Comparison

Compared to All US Businesses within the same MODEL SEGMENT:

- Model Segment :**Established Trade Payments**
- Level of Risk:**Low Risk**
- Businesses ranked **4** within this model segment have a probability of becoming no longer viable: **4 %**
- Percentage of businesses ranked **4** with this model segment: **11 %**
- Within this model segment, the average probability of becoming no longer viable:**5 %**

Data Depth Indicator

Data Depth Indicator:

- ✓ Rich Firmographics
- ✓ Extensive Commercial Trading Activity
- ✓ Basic Financial Attributes

Greater data depth can increase the precision of the D&B Viability Rating assessment.

To help improve the current data depth of this company, you can ask D&B to make a personalized request to this company on your behalf to obtain its latest financial information. To make the request, click the link below. Note, the company must be saved to a folder before the request can be made.

Request Financial Statements

Reference the FINANCIALS tab for this company to monitor the status of your request.

Company Profile:

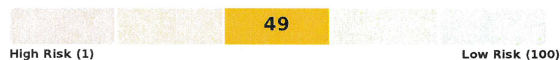
Company Profile Details:

- Financial Data: **False**
- Trade Payments:
- Company Size:
- Years in Business:

Z

Subsidiary

FAILURE SCORE FORMERLY FINANCIAL STRESS SCORE



- Composite credit appraisal is rated fair
- Low proportion of satisfactory payment experiences to total payment experiences
- UCC Filings reported
- High proportion of slow payment experiences to total number of payment experiences
- Unstable Paydex over last 12 months

Level of Risk	Raw Score	Probability of Failure	Average Probability of Failure for Businesses in D&B Database	Class
Moderate	1475	0.25 %	0.48	3

Business and Industry Trends

△ FAILURE SCORE ▮ Industry Median Quartile

BUSINESS AND INDUSTRY COMPARISON

Selected Segments of Business Attributes

Norms	National %
This Business	49
Region:(EAST SOUTH CENTRAL)	32
Industry:BUSINESS, LEGAL AND ENGINEERING SERVICES	37
Employee range:(500-2300000)	53
Years in Business:(11-25)	49

DELINQUENCY SCORE FORMERLY COMMERCIAL CREDIT SCORE



- Higher risk industry based on delinquency rates for this industry
- Evidence of open liens
- Proportion of slow payments in recent months

Level of Risk	Raw Score	Probability of Delinquency	Compared to Businesses in D&B Database	Class
Low-Moderate	570	1.85 %	10.2 %	2

Business and Industry Trends

△ DELINQUENCY SCORE □ Industry Median Quartile

BUSINESS AND INDUSTRY COMPARISON

Selected Segments of Business Attributes

Norms	National %
This Business	87
Region:(EAST SOUTH CENTRAL)	42
Industry:BUSINESS, LEGAL AND ENGINEERING SERVICES	37
Employee range:(500-2768886)	76
Years in Business:(11-25)	43

D&B PAYDEX



When weighted by amount, Payments to suppliers average 16 days beyond terms

- ☐ High risk of late payment (Average 30 to 120 days beyond terms)
- ☐ Medium risk of late payment (Average 30 days or less beyond terms)
- ☐ Low risk of late payment (Average prompt to 30+ days sooner)

Industry Median 76
Equals 6 Days Beyond Terms

D&B 3 MONTH PAYDEX



Based on payments collected 3 months ago.
When weighted by amount, Payments to suppliers average 16 days beyond terms

- ☐ High risk of late payment (Average 30 to 120 days beyond terms)
- ☐ Medium risk of late payment (Average 30 days or less beyond terms)
- ☐ Low risk of late payment (Average prompt to 30+ days sooner)

Industry Median 76
Equals 6 Days Beyond Terms

Business and Industry Trends

7389 - Business services

△ PAYDEX □ Industry Lower Quartile □ Industry Median Quartile * Industry Upper Quartile

Equals

D&B RATING

Current Rating as of 07/11/2017

History since 06/30/2015

Employee Size	Risk Indicator
1R : 10 employees and over	3 : Moderate Risk

Date Applied	D&B Rating
06/30/2015	--

Previous Rating

Employee Size
1R : 10 employees and over

Trade Payments

TRADE PAYMENTS SUMMARY (Based on 24 months of data)

Overall Payment Behaviour
16
Days Beyond Terms

% of Trade Within Terms
78%

Highest Past Due
US\$ 5,000,000

Highest Now Owning:
US\$ 10,000,000

Total Trade Experiences:
24
Largest High Credit:
US\$ 15,000,000
Average High Credit:
US\$ 2,101,413

Total Unfavorable Comments :
0
Largest High Credit:
US\$ 0
Total Placed in Collections:
0
Largest High Credit:
US\$ 0

D&B PAYDEX



When weighted by amount, Payments to suppliers average 16 days beyond terms

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Industry Median 76
Equals 6 Days Beyond Terms

BUSINESS AND INDUSTRY TRENDS

Based on 24 months of data

7389 - Business services

△ PAYDEX □ Industry Lower Quartile ○ Industry Median Quartile * Industry Upper Quartile

	6/20	7/20	8/20	9/20	10/20	11/20	12/20	1/21	2/21	3/21	4/21	5/21	6/21	7/21	8/21	9/21	10/21	11/21	12/21	1/22	2/22	3/22	4/22	Current 2022
This Business	78	78	78	78	80	80	80	80	80	80	77	80	80	77	77	77	71	72	70	70	72	69	69	69
Industry Quartile																								
Upper	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-	80	-	-
Median	76	-	-	76	-	-	75	-	-	75	-	-	75	-	-	75	-	-	76	-	-	76	-	-
Lower	67	-	-	66	-	-	66	-	-	66	-	-	67	-	-	67	-	-	67	-	-	67	-	-

TRADE PAYMENTS BY CREDIT EXTENDED (Based on 12 months of data)

Range of Credit Extended (US\$)	Number of Payment Experiences	Total Value	% Within Terms
100,000 & over	5	US\$ 31,450,000	49
50,000 - 99,999	0	US\$ 0	0
15,000 - 49,999	2	US\$ 45,000	83
5,000 - 14,999	3	US\$ 22,500	100
1,000 - 4,999	1	US\$ 2,500	100
Less than 1,000	4	US\$ 1,200	92

TRADE PAYMENTS BY INDUSTRY (BASED ON 24 MONTHS OF DATA)

Collapse All | Expand All

Industry Category-	Number of Payment Experiences	Largest High Credit (US\$)	% Within Terms (Expand to View)	1 - 30 Days Late (%)	31 - 60 Days Late (%)	61 - 90 Days Late (%)	91 + Days Late (%)
20 - Food and Kindred Products	1	750,000	0	100	0	0	0
2079 - Mfg edible fats/oils	1	750,000	0	100	0	0	0
29 - Petroleum Refining and Related Industries	1	500,000	50	50	0	0	0
2911 - Petroleum refining	1	500,000	50	50	0	0	0
35 - Industrial and Commercial Machinery and Computer Equipment	2	15,000	50	0	0	0	50
3579 - Mfg misc	2	15,000	50	0	0	0	50

office eqpt							
40 - Railroad Transportation	1	200,000	50	0	50	0	0
4011 - Railroad	1	200,000	50	0	50	0	0
45 - Transportation by Air	2	2,500	100	0	0	0	0
4513 - Air courier service	2	2,500	100	0	0	0	0
48 - Communications	1	30,000	100	0	0	0	0
4812 - Radiotelephone commun	1	30,000	100	0	0	0	0
51 - Wholesale Trade - Nondurable Goods	2	15,000,000	75	25	0	0	0
5153 - Whol grain/field bean	1	15,000,000	50	50	0	0	0
5113 - Whol service paper	1	250	100	0	0	0	0
87 - Engineering Accounting Research Management and Related Services	1	7,500	100	0	0	0	0
8748 - Business consulting	1	7,500	100	0	0	0	0
91 - Executive Legislative and General Government except Finance	1	10,000	100	0	0	0	0
9111 - Executive office	1	10,000	100	0	0	0	0
93 - Public Finance Taxation and Monetary Policy	1	100	0	100	0	0	0
9311 - Public finance	1	100	0	100	0	0	0
99 - Nonclassifiable Establishments	2	15,000,000	50	50	0	0	0
9999 - Nonclassified	2	15,000,000	50	50	0	0	0

TRADE LINES

Date of Experience	Payment Status	Selling Terms	High Credit (US\$)	Now Owes (US\$)	Past Due (US\$)	Months Since Last Sale
05/22	Pays Prompt to Slow 30+	-	500,000	0	0	Between 2 and 3 Months
04/22	Pays Promptly	-	100	0	0	1
04/22	Pays Prompt to Slow 10+	-	15,000,000	10,000,000	2,000,000	1
04/22	Pays Prompt to Slow 45+	-	200,000	55,000	2,500	1
04/22	Pays Prompt to Slow 120+	-	15,000	0	0	Between 6 and 12 Months
03/22	Pays Promptly	-	7,500	2,500	0	1
03/22	Pays Prompt to Slow 30+	-	15,000,000	9,000,000	5,000,000	1
03/22	Pays Slow 30+	-	750,000	15,000	15,000	-
03/22	-	Cash account	100	0	0	1
03/22	-	Cash account	100	0	0	Between 4 and 5 Months
03/22	-	Cash account	50	0	0	1
02/22	Pays Slow	-	100	0	0	1

Date of Experience	Payment Status	Selling Terms	High Credit (US\$)	Now Owes (US\$)	Past Due (US\$)	Months Since Last Sale
11/21	Pays Promptly	-	10,000	0	0	1
10/21	-	Cash account	0	0	0	Between 6 and 12 Months
08/21	-	Cash account	100	0	0	Between 6 and 12 Months
08/21	-	Cash account	50	0	0	Between 6 and 12 Months
04/21	-	Cash account	0	0	0	Between 6 and 12 Months
04/21	-	Cash account	100	0	0	1
03/21	Pays Promptly	N30	5,000	0	0	Between 6 and 12 Months
02/21	Pays Promptly	-	2,500	2,500	250	1
02/21	Pays Promptly	-	750	750	0	1
12/20	Pays Promptly	-	30,000	0	0	Between 2 and 3 Months
10/20	Pays Promptly	-	250	0	0	Between 6 and 12 Months
06/20	-	Cash account	50	0	0	Between 2 and 3 Months

OTHER PAYMENT CATEGORIES

Other Payment Categories	Experience	Total Amount
Cash experiences	9	US\$ 550
Payment record unknown	0	US\$ 0
Unfavorable comments	0	US\$ 0
Placed for collections	0	US\$ 0
Total in D&B's file	24	US\$ 31,521,750

Corporate Linkage

Increase your understanding of the links and risks between your customers and suppliers with D&B's Interactive Global Family Tree

PARENT

Company	City , State	D-U-N-S® NUMBER
STONEX GROUP INC.	NEW YORK , New York	62-079-3877

BRANCHES (DOMESTIC)

Company	City , State	D-U-N-S® NUMBER
STONEX FINANCIAL INC.	LITTLE ROCK , Arkansas	01-654-9920
STONEX FINANCIAL INC.	MOBILE , Alabama	03-403-9222
STONEX FINANCIAL INC.	NEW YORK , New York	07-593-1936
STONEX FINANCIAL INC.	AUSTIN , Texas	13-708-8345
STONEX FINANCIAL INC.	NASHVILLE , Tennessee	15-111-6915
STONEX FINANCIAL INC.	MONTGOMERY , Alabama	17-135-7312
STONEX FINANCIAL INC.	NEW ORLEANS , Louisiana	00-184-5465
STONEX FINANCIAL INC.	MACON , Georgia	19-581-9474
STONEX FINANCIAL INC.	SAVANNAH , Georgia	78-322-8729
STONEX FINANCIAL INC.	ATLANTA , Georgia	83-633-9499
STONEX FINANCIAL INC.	BATON ROUGE , Louisiana	96-937-2572
STONEX FINANCIAL INC.	MOUNT PLEASANT , South Carolina	96-320-8228

STONEX FINANCIAL INC.	WEST DES MOINES , Iowa	83-256-1158
STONEX FINANCIAL INC.	LOUISVILLE , Kentucky	14-282-3827
STONEX FINANCIAL INC.	CHICAGO , Illinois	07-845-2519
STONEX FINANCIAL INC.	BOSTON , Massachusetts	79-890-8245
STONEX FINANCIAL INC.	GOLDSBORO , North Carolina	19-581-9508
STONEX FINANCIAL INC.	NEW YORK , New York	08-002-4782
STONEX FINANCIAL INC.	GREENVILLE , South Carolina	82-816-7424
STONEX FINANCIAL INC.	KANSAS CITY , Missouri	11-833-4956

AFFILIATES (DOMESTIC)

Company	City , State	D-U-N-S® NUMBER
INTL TRADING, INC	WINTER PARK , Florida	09-032-4539
FCSTONE GROUP, INC.	KANSAS CITY , Missouri	09-802-6008
COFFEE NETWORK, L.L.C.	MIAMI , Florida	12-967-2205
INTL COMMODITIES INC.	NEW YORK , New York	55-633-8601
FCSTONE FOREX LLC	CHICAGO , Illinois	83-221-2992
HENCORP BECSTONE FUTURES, L.C.	MIAMI , Florida	96-500-4455
HCENERGY, LLC	NEW YORK , New York	96-866-1012
INTL FCSTONE CREDIT TRADING LLC	NEW YORK , New York	04-114-5900
GAIN CAPITAL HOLDINGS, INC.	BEDMINSTER , New Jersey	83-168-2146
FCC FUTURES, INC.	NEW YORK , New York	11-731-0726
TRADEWIRE SECURITIES LLC	CORAL GABLES , Florida	00-577-4704
WESTOWN COMMODITIES LLC	WEST DES MOINES , Iowa	07-952-9243
STONEX MARKETS LLC	KANSAS CITY , Missouri	00-556-0467
STONEX COMMODITY SOLUTIONS LLC	KANSAS CITY , Missouri	02-096-8997
FCSTONE, LLC	CHICAGO , Illinois	07-975-3833
INTL FCSTONE MARKETS, LLC	WEST DES MOINES , Iowa	82-894-5795
INTL FCSTONE FINANCIAL INC.	NEW YORK , New York	08-017-8964
SA STONE INVESTMENT ADVISORS INC.	NEW YORK , New York	11-728-3100
INTL CUSTODY & CLEARING SOLUTIONS INC.	BIRMINGHAM , Alabama	08-092-0511
SA STONE WEALTH MANAGEMENT INC.	NEW YORK , New York	11-731-6010
INTL FILLMORE ADVISORS LLC	PARK CITY , Utah	11-730-5580
INTL FCSTONE CREDIT TRADING INC.	NEW YORK , New York	11-745-2663
INTL TECHNOLOGY SERVICES LLC	NEW YORK , New York	11-745-2666
FCC FUTURES, INC.	WEST DES MOINES , Iowa	11-006-9688

This list is limited to the first 25 affiliates.

AFFILIATES (INTERNATIONAL)

Company	City , Country or Region	D-U-N-S® NUMBER
Stonex Financial (Canada) Inc	TORONTO , CANADA	20-412-4536
STONEX FINANCIAL LTD	LONDON , UNITED KINGDOM	34-816-9116
StoneX (Netherlands) B.V.	Amsterdam , NETHERLANDS	49-027-3037
STONEX COMMODITIES DMCC	DUBAI , UNITED ARAB EMIRATES	85-120-8235
INTL FCSTONE TECHNOLOGY SERVICES PRIVATE LIMITED	Bengaluru , INDIA	87-739-5441
INTL GAINVEST CAPITAL URUGUAY S.A.	MONTEVIDEO , URUGUAY	96-602-7419
INTL CAPITAL S.A.	Ciudad de Buenos Aires , ARGENTINA	97-806-5956
INTL Netherlands B.V.	Amsterdam , NETHERLANDS	41-301-6320

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Legal Events

The following Public Filing data is for information purposes only and is not the official record. Certified copies can only be obtained from the official source.

Bankruptcies	Judgements	Liens	Suits	UCCs
No	0 Latest Filing: -	4 Latest Filing: 11/23/2020	0 Latest Filing: -	2 Latest Filing: 07/02/2015

EVENTS

Lien - Tax Lien

Filing Date	11/23/2020
Filing Number	20-0572144
Status	Open
Date Status Attained	11/23/2020
Received Date	11/29/2020
Debtors	INTL FCSTONE FINANCIAL INC A CORPORATION
Creditors	IRS
Court	SECRETARY OF STATE/UCC DIVISION, MONTGOMERY, AL

Lien - Tax Lien

Filing Date	06/05/2020
Filing Number	20JG060932
Status	Open

Date Status Attained	06/05/2020
Received Date	07/09/2020
Debtors	INTL FCSTONE FINANCIAL INC
Creditors	STATE OF OHIO
Court	FRANKLIN COUNTY COMMON PLEAS COURT, COLUMBUS, OH
Lien - Tax Lien	
Filing Date	06/01/2020
Filing Number	206914205
Status	Withdrawn
Date Status Attained	02/22/2021
Received Date	03/04/2021
Amount	US\$ 1,579
Debtors	INTL FCSTONE FINANCIAL INC
Creditors	UTAH STATE TAX COMMISSION
Court	SALT LAKE COUNTY 3RD DISTRICT COURT, SALT LAKE CITY, UT
Lien - Tax Lien	
Filing Date	05/08/2020
Filing Number	20JG052895
Status	Open
Date Status Attained	05/08/2020
Received Date	06/04/2020
Amount	US\$ 3,828
Debtors	INTL FCSTONE FINANCIAL INC.
Creditors	STATE OF OHIO
Court	FRANKLIN COUNTY COMMON PLEAS COURT, COLUMBUS, OH
UCC Filing - Original	
Filing Date	07/02/2015
Filing Number	201504297790
Received Date	07/16/2015
Collateral	Account(s) and proceeds
Secured Party	BMO HARRIS BANK N.A., CHICAGO, IL
Debtors	INTL FCSTONE FINANCIAL INC.
Filing Office	SECRETARY OF STATE/UCC DIVISION, TALLAHASSEE, FL
UCC Filing - Original	
Filing Date	07/02/2015
Filing Number	201504297782
Received Date	07/16/2015
Collateral	Account(s) and proceeds

Secured Party

BMO HARRIS BANK N.A., CHICAGO, IL

Debtors

INTL FCSTONE FINANCIAL INC.

Filing Office

SECRETARY OF STATE/UCC DIVISION, TALLAHASSEE, FL

The public record items contained in this report may have been paid, terminated, vacated or released prior to the date this report was printed. This information may not be reproduced in whole or in part by any means of reproduction.

There may be additional UCC Filings in D&Bs file on this company available by contacting 1-800-234-3867.

There may be additional suits, liens, or judgments in D&B's file on this company available in the U.S. Public Records Database, also covered under your contract. If you would like more information on this database, please contact the Customer Resource Center at 1-800-234-3867.

A lien holder can file the same lien in more than one filing location. The appearance of multiple liens filed by the same lien holder against a debtor may be indicative of such an occurrence.

Special Events

There are no Special Events recorded for this business.

Financials - D&B

D&B currently has no financial information on file for this company.

D&B currently has no financial information on file for this company.

D&B currently has no financial information on file for this company

D&B currently has no financial information on file for this company.

D&B currently has no financial information on file for this company

D&B currently has no financial information on file for this company

Company Profile

COMPANY OVERVIEW

D-U-N-S

07-988-4994

Legal Form

Corporation (US)

History Record

Clear

Date Incorporated

05/29/1998

Business Commenced On**Mailing Address**

UNITED STATES

Telephone

+1 (407) 741-5300

Websitewww.stonex.com**Present Control Succeeded**

1998

SIC**Employees**

1,100

Age (Year Started)

23 Years (1998)

Named Principal

Sean M O'connor, CHM

Line of Business

Business services

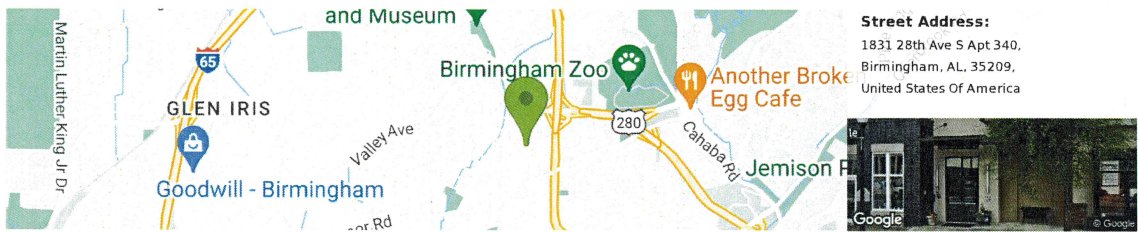
1998 73890900

State of Incorporation NAICS

FLORIDA 522320

Ownership

Not publicly traded



BUSINESS REGISTRATION

Corporate and business registrations reported by the secretary of state or other official source as of: 2022-04-01
This data is for informational purposes only, certification can only be obtained through the Office of the Secretary of State.

Registered Name	STONEX FINANCIAL INC.
Corporation Type	Corporation (US)
State of Incorporation	FLORIDA
Date Incorporated	05/29/1998
Registration ID	P98000048286
Registration Status	ACTIVE
Filing Date	05/29/1998
Where Filed	STATE DEPARTMENT/CORPORATION DIVISION
Registered Agent	
Name	Corporate Creations Network Inc.
Address	801 US HIGHWAY 1, NORTH PALM BEACH, FL, 334080000
Registered Principal	
Name	SEAN M O'CONNOR
Title	-
Address	329 PARK AVE. N., WINTER PARK, FL, 327890000
Name	William J Dunaway
Title	-
Address	1251 NW Briarcliff Parkway, Kansas City, MO, 641160000
Name	David A Bolte
Title	-
Address	1075 Jordan Creek Parkway, West Des Moines, IA, 502660000
Name	CHARLES M LYON
Title	-
Address	329 PARK AVE. N., WINTER PARK, FL, 327890000
Name	Xuong Nguyen
Title	-
Address	230 South LaSalle, Chicago, IL, 606040000
Name	Philip M Smith

Registered Principal**Title****Address**

329 PARK AVE, N., WINTER PARK, FL, 327890000

PRINCIPALS**Officers**

SEAN M O'CONNOR, CHM
CHARLES M LYON, CEO
BRIAN T SEPHTON, EXEC V PRES
DAVID A BOLTE, SEC
NATHAN J MINUCCI, CFO
KIET HUYNH, COO

Directors

DIRECTOR(S): THE OFFICER(S)

COMPANY EVENTS**The following information was reported on: 11/29/2021**

The Florida Secretary of State's business registrations file showed that the INTL FCStone Financial Inc. was registered as a Corporation on May 29, 1998, under file registration number P98000048286.

The name was changed from INTL FCStone Financial Inc. to the Stonex Financial Inc. by charter amendment on July 21, 2020.

Business started 1998. 100% of capital stock is owned by the parent company.

RECENT EVENTS:.

On July 10, 2017, sources stated that Sterne, Agee & Leach, Inc., Birmingham, AL, a wholly-owned subsidiary of INTL FCStone Inc., New York, NY, has completed the merger with and into INTL FCStone Financial Inc., New York, NY, another wholly-owned subsidiary of INTL FCStone Inc., on July 1, 2017. With the merger, Sterne, Agee & Leach, Inc. has ceased to operate as a legal entity, and all operations were integrated into INTL FCStone Financial Inc. Terms of the deal were not disclosed. Further details are unavailable.

On July 13, 2015, sources stated that FCStone, LLC, New York, NY, INTL FCStone Partners L.P., Jersey City, NJ, and FCC Investments, Inc., West Des Moines, IA, have completed their merger with and into INTL FCStone Financial Inc., Winter Park, FL, formerly INTL FCStone Securities Inc., on July 1, 2015. With the merger, FCStone, LLC, INTL FCStone Partners L.P., and FCC Investments, Inc. have ceased to exist as separate legal entities and all operations were integrated into INTL FCStone Financial Inc. being the surviving entity. Employees and management were retained. Terms of the transaction were not disclosed. Further details are not available.

SEAN M O'CONNOR. Antecedents are unknown.

CHARLES M LYON. Antecedents are unknown.

BRIAN T SEPHTON. Antecedents are unknown.

DAVID A BOLTE. Antecedents are unknown.

NATHAN J MINUCCI. Antecedents are unknown.

KIET HUYNH. Antecedents are unknown.

Business name has changed from Intl Fcstone Securities, Inc. to Intl Fcstone Financial Inc..

Business address has changed from 329 Park Ave N Ste 350 Winter Park, FL 32789 to 2 Perimeter Park S Ste 100W, Birmingham, AL 35243.

According to a published report dated Nov 14, 2017, the Commodity Futures Trading Commission (CFTC) issued an order filing and settling charges against FCStone Merchant Services LLC (FCStone Merchant) for entering into multiple noncompetitive trades and against INTL FCStone Financial Inc. (FCStone Financial) for reporting non-bona fide prices to the Chicago Mercantile Exchange (CME) between Dec 2013 and Mar 2014. The CFTC Order also finds that FCStone Financial failed to have an adequate supervisory system in place with regard to the execution, handling, and reporting of exchange for related position transactions (EFRPs).

The CFTC Order requires FCStone Financial and FCStone Merchant, jointly and severally, to pay a \$280,000 civil monetary penalty, to comply with certain undertakings regarding their respective practices regarding EFRPs, and to cease and desist from further violations of the Commodity Exchange Act (CEA) and CFTC Regulations, as charged.

Business address has changed from 2 Perimeter Park S Ste 100w, Birmingham, AL, 35243 to 1831 28th Ave S Apt 340, Birmingham, AL, 35209.

Business address has changed from 2 Perimeter Park S Ste 100w, Birmingham, AL, 35243 to 1831 28th Ave S Apt 340, Birmingham, AL, 35209.

BUSINESS ACTIVITIES AND EMPLOYEES**The following information was reported on: 11/29/2021****Business Information****Trade Names**

(SUBSIDIARY OF STONEX GROUP INC., NEW YORK, NY)

Business Information

Description	Subsidiary of Stonex Group Inc., New York, NY which operates as a financial services company.
	As noted, this company is a subsidiary of Stonex Group Inc., D-U-N-S Number 62-079-3877, and reference is made to that report for background information on the parent and its management.
	Operates business services, specializing in financial services. Provides management services, specializing in financial management for business.
	Terms are undetermined, Sells to commercial concerns.
Employees	1,100 which includes officer(s). Undetermined employed here.
Financing Status	Unsecured
Facilities	Occupies premises in building.

Related Concerns

SIC/NAICS Information

Industry Code	Description	Percentage of Business
7389	Business services	-
73890900	Financial services	-
87410102	Financial management for business	-

NAICS Codes	NAICS Description
522320	Financial Transactions Processing, Reserve, and Clearinghouse Activities
561110	Office Administrative Services

GOVERNMENT ACTIVITY

Activity Summary

Borrower(Dir/Guar)	No
Administrative Debt	No
Contractor	No
Grantee	No
Party excluded from federal program(s)	No

Associations

All Credit Files with Same D-U-N-S® Number as this D&B Live Report

ALL CREDIT FILES WITH SAME D-U-N-S® NUMBER AS THIS D&B LIVE REPORT

Company Name	Type	Status	Date Created
INTL FCSTONE FINANCIAL INC.	ACCOUNT - #FCMX00276	No Action Recommended	08/27/2019
StoneX Commodity Solutions LLC	ACCOUNT - #FCMX11609	No Action Recommended	09/28/2021
StoneX Commodity Solutions LLC	ACCOUNT - #OTCX01553	No Action Recommended	09/28/2021

Your Information

Record additional information about this company to supplement the D&B information.

Note: Information entered in this section will not be added to D&B's central repository and will be kept private under your user ID. Only you will be able to view the information.

In Folders: View

Account Number

Endorsement/Billing Reference *
paul.krebs@intlfcstone.com

Sales Representatives

Credit Limit
0

Total Outstanding
0

Exhibit C-8 Corporate Structure of Stonex Financial Inc.

The RMI team of the FCM Division of StoneX Financial Inc. (the “Applicant”) is the group that performs the power broker services. StoneX Financial Inc. is a wholly-owned subsidiary of StoneX Group Inc. (the “Company”).

Corporate Governance Statement

The Company is committed to high standards of corporate governance and has put in place a framework that fosters good governance, is practical for a company of our size and satisfies our current listing and regulatory requirements. The Company has instituted a Code of Ethics that demands honest and ethical conduct from all employees. Specific topics covered are conflicts of interest, fair dealing, compliance with regulations and accurate financial reporting.

Company Executives

The roles of Chairman and CEO of the Company are split. The CEO and CFO make all necessary representations to satisfy regulatory and listing requirements. Executive compensation is determined by a Compensation Committee composed exclusively of independent directors.

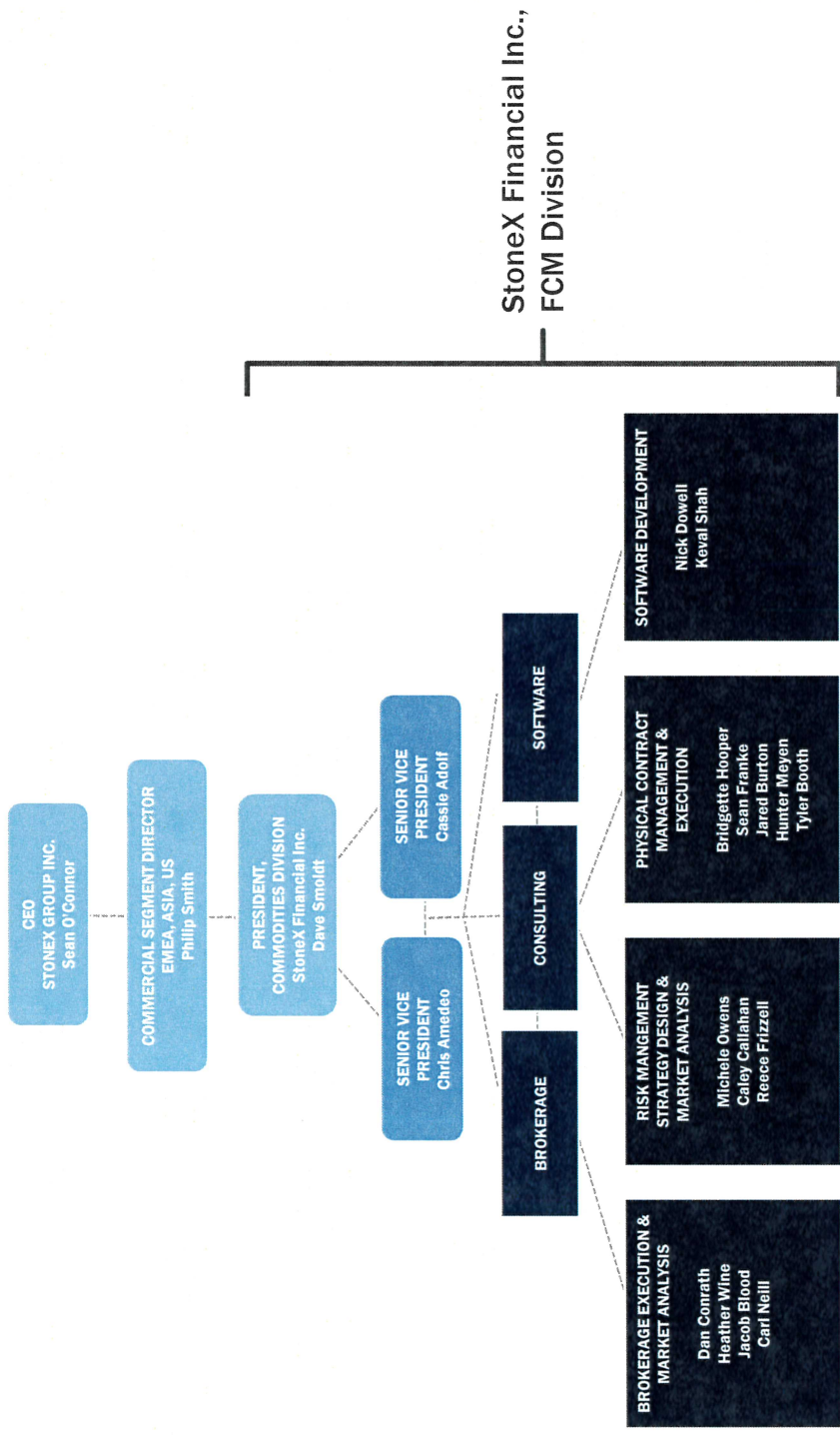
Company Board of Directors

The Company has a Board of Directors consisting of one executive and eight non-executive directors, all eight of whom are independent. The Chairman is a non-executive director. The Board oversees the strategy, finances, operations and regulatory compliance of the Company through regular quarterly meetings and additional special meetings when required. The non-executive directors regularly meet independently of the executive directors. The Nominating & Governance, Audit, Technology & Operations, Risk, and Compensation Committees are each composed of three independent directors. The Audit Committee meets the SEC requirement that at least one of its members should be a financial expert.

No affiliate or subsidiary company of StoneX Financial Inc. supplies retail or wholesale electricity or natural gas to customers and companies that aggregate customers in North America.

The organizational structure of StoneX Financial Inc. appears on the next page.

Organizational Structure: StoneX Financial Inc., FCM Division



SECTION D – Technical Capability

Section D-1 Operations.

The RMI team of the FCM Division of StoneX Financial Inc. (the “Applicant”) is the group that performs the power broker services.

The RMI team of the Applicant has brokered electricity supply contracts with multiple suppliers on behalf of telecommunication corporations, hospitals, government entities, and commercial/industrial corporations with loads ranging from 25,000 MWh/year to 1,000,000 MWh/year in 16 states. Additionally, we have facilitated the development and execution of risk management programs for over 50 municipals, investor-owned utilities, and energy cooperatives throughout the U.S.

Section D-2 Operations expertise and key technical personnel.

The two Senior Vice Presidents who manage the RMI team are Cassie Adolf and Chris Amedeo. Their respective operational and technical expertise is as follows:

Cassie Adolf, Senior Vice President – Energy & Ag at StoneX Financial Inc. has worked in commodity price risk management for over 17 years, with a concentration in energy and agricultural hedge strategy development, product execution, market intelligence and software tools. Her current focus includes fostering strategic partnerships and cultivating technology tools, as well as leading the StoneX team that services corporate end-users and agricultural producers in their risk management needs. Under her leadership, her team has built an energy client portfolio that touches 25% of natural gas residential and commercial consumption in the US and an agricultural client base that covers over 1 million acres of farmland in North America. Cassie holds a NFA (National Futures Association) Series 3 and Series 30 License and a BS from the University of Illinois (Urbana-Champaign).

Chris Amedeo, Senior Vice President - Chris joined Risk Management Incorporated, now part of StoneX Financial Inc., FCM Division, in 2006 to add depth to the company's energy brokerage service offerings. Each year, he is instrumental in the facilitation of over \$16 billion (notional value) in energy contracts on behalf of clients. His extensive familiarity with electronic, along with over-the-counter markets and platforms, has helped to ensure efficient and timely hedge strategy execution. Chris works with clients to determine best product fit for their risk tolerance, current market, and their hedge execution parameters. In addition, he has worked with our programming team in developing software to assist the trade desk with option pricing, trade execution tracking and account facilitation functions. His previous experience at a futures commission merchant has helped him to achieve expertise in account facilitation and exchange-related margining; providing clients today with a comfort level in their hedge strategy cash flow management requirements and account needs. Chris holds his NFA (National Futures Association) series 3 license and attended the University of Colorado where he majored in Economics.

In addition, the following staff members provide services to the customers of the Applicant:

Dan Conrath began his career marketing commodity trading software to corporations before entering the financial arena with Paine Webber in 1989. At Paine Webber, he gained a strong working knowledge of commodity markets and, particularly, the benefits and intricacies of options as a hedging instrument. Dan became a partner at Risk Management Incorporated, now part of StoneX Financial Inc., in 1992. Since that time, he has been involved in every aspect of executing energy and commodity price risk management programs for the company's corporate and utility accounts. Dan has been instrumental in fostering and augmenting StoneX's market analysis and brokerage group. Dan holds a BS from the University of Illinois (Urbana-Champaign).

Bridgette Hooper, Manager, Physical Power & Gas - In early 2010, Bridgette came to Risk Management Incorporated, now part of StoneX Financial Inc., to facilitate the expansion of the company's physical electricity and natural gas procurement and consulting services. With over 10 years of experience in the energy trading industry, Bridgette has gained an expertise in physical energy procurement that StoneX clients have come to rely upon. Currently, she works with over 30 retail natural gas and electricity suppliers across the United States to negotiate pricing and favorable contract terms and conditions on behalf of StoneX clients. Earlier in her career, Bridgette worked as a term speculative ERCOT trader at a 7,100 Megawatt utility in the Midwest. Bridgette holds a BBA from Washburn University.

Sean Franke, Manager, Physical Power & Gas - In 2014, Sean joined StoneX Financial Inc. to assist with the expansion of the company's physical electricity and natural gas procurement and consulting services. With over 15 years of experience in the energy consulting and efficiency industry, Sean monitors regulated and deregulated utility markets, keeping abreast of changes that may impact StoneX's clients and alerting them of valuable opportunities. Sean's expertise includes developing physical procurement execution strategies, creating annual utility budgets, researching utility economic development opportunities, manufacturing tax exemptions and negotiating utility line extension agreements. Additionally, Sean assists StoneX's clients in the identification, evaluation and implementation of energy efficient engineering measures to optimize the consumption of utility services within a facility. This incorporates the identification and application of utility rebates and incentive programs. As an energy professional, Sean has worked with a multitude of companies over the course of his career including industrial, commercial, hospitality, retail, and governmental entities. Sean holds a BSBA from Rockhurst University.

**This foregoing document was electronically filed with the Public Utilities
Commission of Ohio Docketing Information System on**

5/19/2022 3:59:19 PM

in

Case No(s). 14-0446-EL-AGG

Summary: Application Renewal Application (Part 4 of 4) electronically filed by Mr.
David A. Bolte on behalf of StoneX Financial Inc.