



Albert L. Hu

- Over 34 years of investment experience.
- Earned a M. S. degree in Applied Mathematics from the University of Santa Clara in 1973. He was a computer engineer until 1980 when he became a stockbroker for Paine Webber.
- Became a floor trader on the New York Futures Exchange in 1983 and then worked for Merrill Lynch and Prudential Bache as an account executive.
- In November 1987 formed ALH Capital Mgmt, Inc. a registered CTA and CPO, and ALH Brokerage, Inc., an IB.
- Joined Heritage Commodity Consultants, Inc. in October 1989 as VP and Director of Trading until March 1992. Spent the rest of 1992 developing a computerized system for trading foreign currencies which was offered to clients in January 1993. Mr. Hu reorganized ALH Capital Corp., as a CTA in October 1993.
- Became registered as CPO and general partner of Platinum, LP, a limited partnership which invests in both equities and futures interests. Platinum filed for exemption, under CFTC rule 4.13(a)(2) in June 2007.
- In August 2009, Mr. Hu became registered as an Associated Person, and became listed as a branch manager and principal of Diamond Capital Management LLC in September 2009. His responsibilities at Diamond Capital include trading, research, and product development.

M. Kelly Farrell

- Over 29 years of investment experience beginning in 1987 with Prudential Bache Securities.
- Managed the Institutional Custody Department at Firststar Bank, N.A.
- Became Trading Desk Manager and General Securities Principal for Firststar Investment Services in 1997.
- Assumed the lead trading position as the Fixed Income Product Manager for Firststar Bank's Fixed Income Department in February of 1998 and moved directly into institutional sales in January of 1999. During this time, from January of 2000 through December of 2000 Ms. Farrell also acted as a General Securities Principal for Quasar Distributors LLC (division of Firststar).
- In connection with her registration as a Registered Representative and General Securities Principal, Ms. Farrell passed the Series 7, Series 24 and Series 63 licensing examinations.
- In July 2001 Ms. Farrell passed the Series 3 and was registered as a NFA Associated Member. Ms. Farrell became registered as an Associated Person and listed principal of Diamond Capital Management on November 12, 2002.
- Received a Bachelor of Business Administration degree from the University of Wisconsin in 1987.

Alan Hu

- Alan Hu graduated from UC Berkeley in 2006 with a Bachelor of Arts in Interdisciplinary Studies focusing in economics, statistics, and psychology.
- Pursuing an interest in the booming game industry, he started his career designing complex core systems for a number of computer and mobile game startups in Silicon Valley.
- After 7 years in the game development industry he decided in a change of direction, taking an opportunity to apply his analytical and statistics-based skills towards investment management.
- Alan joined Cauldron Investments and Diamond Capital Management in 2013, working directly with Albert L. Hu and Kelly M. Farrell, who combined have more than 60 years of experience in the professional investment industry.
- Alan revamped Cauldron's organizational infrastructure, codified the subsystems of Cauldron's SIP and Diamond's ESP programs, and continues to develop those programs through perpetual research and analysis.
- Since 2014, he has primarily focused on trading and risk management for the ESP program, playing a key role in the continued management of the program.

TRADING FUTURES AND OPTIONS INVOLVES SUBSTANTIAL RISK OF LOSS AND IS NOT SUITABLE FOR ALL INVESTORS. THERE ARE NO GUARANTEES OF PROFIT NO MATTER WHO IS MANAGING YOUR MONEY. PAST PERFORMANCE IS NOT NECESSARILY INDICATIVE OF FUTURE RESULTS.