

1 Carlin Metzger (cmetzger@cftc.gov)
 Illinois Bar No. 6275516
 2 Susan Gradman (sgradman@cftc.gov)
 Illinois Bar No. 6225060
 Attorneys for Plaintiff
 4 Commodity Futures Trading Commission
 5 525 W. Monroe, Suite 1100
 Chicago, Illinois 60661
 6 Tel. 312-596-0700; Fax 312-596-0714

7
 8 UNITED STATES DISTRICT COURT
 NORTHERN DISTRICT CALIFORNIA
 9

10 _____)
 11 COMMODITY FUTURES) Case No: 19-cv-07284-EMC
 TRADING COMMISSION)
 12)
 13 Plaintiff,)
)
 14 vs.) **APPENDIX OF EXHIBITS**
) **TO PLAINTIFF’S MOTION**
 15 DENARI CAPITAL, LLC, TRAVIS) **FOR PRELIMINARY**
 16 CAPSON, ARNAB SARKAR,) **INJUNCTION**
 17)
 18 Defendants.)

EXHIBIT	DOCUMENT DESCRIPTION
DECLARATIONS	
A	Declaration of NFA Investigator Nicole Wahls
1	Denari Capital Application for CFTC Registration & NFA Membership
2	Travis Capson Application for CFTC Registration & NFA Membership
3	Arnab Sarkar Application to be Principal of Denari Capital
4a	Travis Capson NFA Regulatory Disclosure
4b	Arnab Sarkar NFA Regulatory Disclosure
5a	Travis Capson FINRA Letter of Acceptance, Waiver & Consent
5b	Arnab Sarkar FINRA Letter of Acceptance, Waiver & Consent
6a	Gain Capital Entity Account Questionnaire (October 13, 2017)
6b	Gain Capital Entity Account Questionnaire (February 7, 2019)
7	Email from Nicole Wahls to Travis Capson dated July 15, 2019
8	Denari Capital Wells Fargo Statement dated December 2017
9	Denari Capital Gain Capital Monthly Statement dated December 31, 2017

1	10	Email from Nicole Wahls to Travis Capson & Arnab Sarkar dated July 23, 2019
	11	Denari Capital Joint Venture Agreements
2	12	Denari Capital Client List
	13	Email from Arnab Sarkar to Nicole Wahls dated July, 29, 2019
3	14a	Denari Capital Wells Fargo Statement dated November 2018
	14b	Deposit Slip/Check Copy
4	15	NFA Summary of Denari Capital's forex trading account activity
	16	Denari Capital direct pay summary report for Wells Fargo account
5	17	Denari Capital Wells Fargo Statement dated June 2019
	18	Denari Capital Gain Capital Monthly Statement dated June 30, 2019
6	19	Denari Capital client account statements
	20a	Denari Capital 2019 brochure
7	20b	Denari Capital 2018 brochure
	20c	Denari Capital brochure
8	21	Email from Arnab Sarkar to Nicole Wahls dated July 25, 2019
	22	Denari Capital Promissory Note
9	23	Denari Capital Wells Fargo Statement dated October 2019
	24	Denari Capital Balance Sheet dated June 30, 2019
10	25	NFA Member Responsibility Action/Associate Responsibility Action dated August 6, 2019
	26	Denari Capital attestation letter dated September 5, 2012
11	27	Denari Capital FXCM account statement
	B	Declaration of CFTC Investigator Joy McCormack
12	C	Declaration of Denari Capital Customer Beau Oyler
	1	Email from Capson to Oyler dated July 18 2019 Re: Birdy in the Ear
13	2	Email from Capson to Oyler dated July 18 2019 Re: Contracts for Partnerships
	3	Email from Capson to Oyler dated September 6 2017 Re: YTD Progress
14	4	Email from Capson to Oyler dated October 10 2017 Re: Oyler Funds
	5	Email from Capson to Oyler dated October 11 2017 Re: Updated Contracts
15	6	Email from Capson to Oyler dated December 5 2017 Re: Investment on Monday
	7	Email from Capson to Oyler dated December 19 2017 Re: Transfer
16	8	Email from Capson to Oyler dated December 23 2017 Re: Transfer
	9	Email from Capson to Oyler dated December 27 2017 Re: Wire Transfer Received
17	10	Email from Capson to Oyler dated January 4 2018 Re: Wire Transfer Received
	11	Email from Capson to Oyler dated February 5 2018 Re: January Statement
18	12	Email from Capson to Oyler dated March 2 2018 Re: January Statement
	13	Email from Capson to Oyler dated April 4 2018 Re: First Quarter in the Books
19	14	Email from Capson to Oyler dated April 18 2018 Re: First Quarter in the Books
	15	Email from Capson to Oyler dated May 10 2018 Re: April Investment Review
20	16	Email from Capson to Oyler dated May 23 2018 Re: April Investment Review
	17	Email from Capson to Oyler dated July 10 2018 Re: 2 nd Quarter Report
21	18	Email from Capson to Oyler dated October 3 2018 Re: Q3 Results
	19	Email from Capson to Oyler dated March 27 2019 Re: 2018 Statement
22	20	Email from Capson to Oyler dated April 5 2019 Re: 2018 Statement
	21	Email from Capson to Oyler dated July 15 2019 Re: 2 nd Quarter Statement

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28

TESTIMONY EXCEPERTS	
D	Testimony Excerpt of Travis Capson
E	Testimony Excerpt of Arnab Sarkar

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28

CERTIFICATE OF SERVICE

I, Carlin Metzger, an attorney with the U.S. Commodity Futures Trading Commission, certifies that I served the CFTC’s Appendix of Exhibits to Plaintiff’s Motion for Preliminary Injunction upon counsel of record for Defendants via e-mail, on _____.

Date: Attorney for Plaintiff CFTC

/s/ Carlin Metzger
Carlin Metzger
IL ARDC No. 6275516
(Pro Hac Vice)
Commodity Futures Trading Commission
525 W. Monroe St., Suite 1100
Chicago, IL 60661
(312) 596-0536
cmetzger@cftc.gov