

Edgar Filing: GAIN Capital Holdings, Inc. - Form SC 13G/A

GAIN Capital Holdings, Inc.

Form SC 13G/A

February 13, 2019

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

SCHEDULE 13G  
Under the Securities Exchange Act of 1934  
(Amendment No. 5)\*

GAIN Capital Holdings, Inc.  
(Name of Issuer)

Common Stock  
(Title of Class of Securities)  
36268W100  
(CUSIP Number)

December 31, 2018  
(Date of Event Which Requires Filing of this Statement)  
Check the appropriate box to designate the rule pursuant to which this  
Schedule is filed:  
Rule 13d-1(b)  
Rule 13d-1(c)  
☒ Rule 13d-1(d)

\*The remainder of this cover page shall be filled out for a reporting  
person's initial filing on this form with respect to the subject class  
of securities, and for any subsequent amendment containing information  
which would alter the disclosures provided in a prior cover page.  
The information required in the remainder of this cover page shall not  
be deemed to be "filed" for the purpose of Section 18 of the Securities  
Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of  
that section of the Act but shall be subject to all other provisions of  
the Act (however, see the Notes).

CUSIP No.  
36268W100

1. Names of Reporting Persons.  
I.R.S. Identification Nos. of above persons (entities only).

VantagePoint Venture Partners IV, L.P.

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)  
(a)  
  
(b)

3. SEC Use Only

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4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

6. Shared Voting Power  
658,417

7. Sole Dispositive Power  
0

8. Shared Dispositive Power  
658,417

9. Aggregate Amount Beneficially Owned by Each Reporting Person  
658,417

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).

11. Percent of Class Represented by Amount in Row (9)  
1.48%

12. Type of Reporting Person (See Instructions) PN

CUSIP No.  
36268W100

1. Names of Reporting Persons.  
I.R.S. Identification Nos. of above persons (entities only).

VantagePoint Venture Partners IV Principals Fund, L.P.

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)  
(a)

(b)

3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

6. Shared Voting Power  
23,956

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7. Sole Dispositive Power  
0

8. Shared Dispositive Power  
23,956

9. Aggregate Amount Beneficially Owned by Each Reporting Person  
23,956

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).

11. Percent of Class Represented by Amount in Row (9)  
0.05%

12. Type of Reporting Person (See Instructions) PN

CUSIP No.  
36268W100

1. Names of Reporting Persons.  
I.R.S. Identification Nos. of above persons (entities only).

VantagePoint Venture Partners IV (Q), L.P.

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)  
(a)  
(b)

3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

6. Shared Voting Power  
6,576,911

7. Sole Dispositive Power  
0

8. Shared Dispositive Power  
6,576,911

9. Aggregate Amount Beneficially Owned by Each Reporting Person  
6,576,911

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares

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(See Instructions).

11. Percent of Class Represented by Amount in Row (9)  
14.86%

12. Type of Reporting Person (See Instructions) PN

CUSIP No.  
36268W100

1. Names of Reporting Persons.  
I.R.S. Identification Nos. of above persons (entities only).

VP New York Venture Partners, L.P.

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a)

(b)

3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

6. Shared Voting Power  
1,814,824

7. Sole Dispositive Power  
0

8. Shared Dispositive Power  
1,814,824

9. Aggregate Amount Beneficially Owned by Each Reporting Person  
1,814,824

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).

11. Percent of Class Represented by Amount in Row (9)  
4.10%

12. Type of Reporting Person (See Instructions) PN

CUSIP No.  
36268W100

1. Names of Reporting Persons.

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I.R.S. Identification Nos. of above persons (entities only).

VantagePoint Venture Associates IV, L.L.C.

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)

(a)

(b)

3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power

0

6. Shared Voting Power

9,074,108

7. Sole Dispositive Power

0

8. Shared Dispositive Power

9,074,108

9. Aggregate Amount Beneficially Owned by Each Reporting Person 9,074,108\*

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).

11. Percent of Class Represented by Amount in Row (9)

20.50%

12. Type of Reporting Person (See Instructions) PN

\*Pursuant to Rule 13d-4, the Reporting Person disclaims beneficial ownership of the shares of common stock reflected herein and, as such, declares that the statement shall not be construed as an admission that such person is the beneficial owner of any securities covered hereby.

CUSIP No.

36268W100

1. Names of Reporting Persons.

I.R.S. Identification Nos. of above persons (entities only).

VantagePoint Management, Inc.

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)

(a)

(b)

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3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

6. Shared Voting Power  
97,312

7. Sole Dispositive Power  
0

8. Shared Dispositive Power  
97,312

9. Aggregate Amount Beneficially Owned by Each Reporting Person  
97,312

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).

11. Percent of Class Represented by Amount in Row (9)  
0.22%

12. Type of Reporting Person (See Instructions) PN

CUSIP No.  
36268W100

1. Names of Reporting Persons.  
I.R.S. Identification Nos. of above persons (entities only).

Alan E. Salzman

2. Check the Appropriate Box if a Member of a Group  
(See Instructions)

(a)

(b)

3. SEC Use Only

4. Citizenship or Place of Organization  
United States of America

Number of Shares Beneficially by Owned by Each Reporting Person With:

5. Sole Voting Power  
0

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6. Shared Voting Power  
9,171,420
7. Sole Dispositive Power  
0
8. Shared Dispositive Power  
9,171,420
9. Aggregate Amount Beneficially Owned by Each Reporting Person  
9,171,420\*
10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions).
11. Percent of Class Represented by Amount in Row (9) 20.71%
12. Type of Reporting Person (See Instructions) IN

\*Pursuant to Rule 13d-4, the Reporting Person disclaims beneficial ownership of the shares of common stock reflected herein and, as such, declares that the statement shall not be construed as an admission that such person is the beneficial owner of any securities covered hereby.

### Item 1.

- (a) Name of Issuer GAIN Capital Holdings, Inc.  
(b) Address of Issuer's Principal Executive Offices 135 US Highway 202/206,  
Suite 11, Bedminster, New Jersey 07921

### Item 2.

- (a) Name of Person Filing

VantagePoint Venture Partners IV, L.P.  
VantagePoint Venture Partners IV Principals Fund, L.P.  
VantagePoint Venture Partners IV (Q), L.P.  
VP New York Venture Partners, L.P.  
VantagePoint Venture Associates IV, L.L.C.  
VantagePoint Management, Inc.  
Alan E. Salzman

- (b) Address of Principal Business Office or, if none, Residence  
- 1111 Bayhill Drive, Suite 220, San Bruno, CA 94066  
(c) Citizenship - United States of America (Except  
Mr. Alan E. Salzman of Canada)  
(d) Title of Class of Securities - Common Stock  
(e) CUSIP Number - 36268W100

Item 3. If this statement is filed pursuant to section 240.13d-1(b)  
or 240.13d-2(b) or (c),  
check whether the person filing is a:  
Not applicable.

### Item 4. Ownership.

Provide the following information regarding the aggregate number  
and percentage of the class of securities of the issuer identified  
in Item 1.

- (a) Amount beneficially owned:  
VantagePoint Venture Partners IV, L.P.: 658,417  
VantagePoint Venture Partners IV Principals Fund, L.P.: 23,956  
VantagePoint Venture Partners IV (Q), L.P.: 6,576,911

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VP New York Venture Partners, L.P.: 1,814,824  
VantagePoint Venture Associates IV, L.L.C.\*: 9,074,108  
VantagePoint Management, Inc.: 97,312  
Alan E. Salzman\*\*: 9,171,420

### (b) Percent of class:

VantagePoint Venture Partners IV, L.P.: 1.48%  
VantagePoint Venture Partners IV Principals Fund, L.P.: 0.05%  
VantagePoint Venture Partners IV (Q), L.P.: 14.86%  
VP New York Venture Partners, L.P.: 4.10%  
VantagePoint Venture Associates IV, L.L.C.\*: 20.50%  
VantagePoint Management, Inc.: 0.22%  
Alan E. Salzman\*\*: 20.71%

### (c) Number of shares as to which the person has:

#### (i) Sole power to vote or to direct the vote

VantagePoint Venture Partners IV, L.P.: 0  
VantagePoint Venture Partners IV Principals Fund, L.P.: 0  
VantagePoint Venture Partners IV (Q), L.P.: 0  
VP New York Venture Partners, L.P.: 0  
VantagePoint Venture Associates IV, L.L.C.\*: 0  
VantagePoint Management, Inc.: 0  
Alan E. Salzman\*\*: 0

#### (ii) Shared power to vote or to direct the vote:

VantagePoint Venture Partners IV, L.P.: 658,417  
VantagePoint Venture Partners IV Principals Fund, L.P.: 23,956  
VantagePoint Venture Partners IV (Q), L.P.: 6,576,911  
VP New York Venture Partners, L.P.: 1,814,824  
VantagePoint Venture Associates IV, L.L.C.\*: 9,074,108  
VantagePoint Management, Inc.: 97,312  
Alan E. Salzman\*\*: 9,171,420

#### (iii) Sole power to dispose or to direct the disposition of:

VantagePoint Venture Partners IV, L.P.: 0  
VantagePoint Venture Partners IV Principals Fund, L.P.: 0  
VantagePoint Venture Partners IV (Q), L.P.: 0  
VP New York Venture Partners, L.P.: 0  
VantagePoint Venture Associates IV, L.L.C.\*: 0  
VantagePoint Management, Inc.: 0  
Alan E. Salzman\*\*: 0

#### (iv) Shared power to dispose or to direct the disposition of:

VantagePoint Venture Partners IV, L.P.: 658,417  
VantagePoint Venture Partners IV Principals Fund, L.P.: 23,956  
VantagePoint Venture Partners IV (Q), L.P.: 6,576,911  
VP New York Venture Partners, L.P.: 1,814,824  
VantagePoint Venture Associates IV, L.L.C.\*: 9,074,108  
VantagePoint Management, Inc.: 97,312  
Alan E. Salzman\*\*: 9,171,420

\* VantagePoint Venture Associates IV, L.L.C. is the general partner for VantagePoint Venture Partners IV (Q), L.P., VantagePoint Venture Partners IV, L.P., VP New York Venture Partners, L.P. and VantagePoint Venture Partners IV Principals Fund, L.P.  
VantagePoint Venture Associates IV, L.L.C. disclaims beneficial ownership of such shares.

\*\* Mr. Alan Salzman is a Managing Member of VantagePoint Venture Associates IV, L.L.C. and the Chief Executive Officer of VantagePoint Management, Inc.  
Mr. Salzman disclaims beneficial ownership of such shares.



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Item 5. Ownership of Five Percent or Less of a Class  
Not applicable.

Item 6. Ownership of More than Five Percent on Behalf of Another Person.  
Not applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired  
the Security Being Reported on By the Parent Holding Company  
Not applicable.

Item 8. Identification and Classification of Members of the Group  
Not applicable.

Item 9. Notice of Dissolution of Group  
Not applicable.

Item 10. Certification  
Not applicable.

### SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief,  
I certify that the information set forth in this statement is true,  
complete and correct.

Dated: February 12, 2019

VANTAGEPOINT VENTURE PARTNERS IV, L.P.  
By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman  
-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT VENTURE PARTNERS IV (Q), L.P.  
By: VantagePoint Venture Associates IV, L.L.C.,

By: /s/ Alan E. Salzman  
-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT VENTURE PARTNERS IV PRINCIPALS FUND, L.P.  
By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman  
-----  
Name: Alan E. Salzman,  
Managing Member

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VP NEW YORK VENTURE PARTNERS, L.P.

By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT VENTURE ASSOCIATES IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT MANAGEMENT, INC.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Chief Executive Officer

/s/ Alan E. Salzman

-----  
Alan E. Salzman

Attention: Intentional misstatements or omissions of fact constitute  
Federal criminal violations (See 18 U.S.C. 1001)

EXHIBIT A

JOINT FILING AGREEMENT

In accordance with Rule 13d-1(k) under the Securities Exchange Act of 1934, as amended, the persons named below agree to the joint filing on behalf of each of them of the Schedule 13G to which this Agreement is an exhibit (and any further amendment filed by them) with respect to the shares of Common Stock of GAIN Capital Holdings, Inc.

This agreement may be executed simultaneously in any number of counterparts, all of which together shall constitute one and the same instrument.

Dated: February 12, 2019

VANTAGEPOINT VENTURE PARTNERS IV, L.P.

By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,

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Managing Member

VANTAGEPOINT VENTURE PARTNERS IV (Q), L.P.

By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT VENTURE PARTNERS IV PRINCIPALS FUND, L.P.

By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VP NEW YORK VENTURE PARTNERS, L.P.

By: VantagePoint Venture Associates IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT VENTURE ASSOCIATES IV, L.L.C.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Managing Member

VANTAGEPOINT MANAGEMENT, INC.

By: /s/ Alan E. Salzman

-----  
Name: Alan E. Salzman,  
Chief Executive Officer

/s/ Alan E. Salzman

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Alan E. Salzman

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number. SEC 1745 (3-06)