



Fiscal Year End (mm/dd):

0401



Fiscal Year End

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0620

Does the firm use an affiliate to clear counterparty trades?

 Yes No

Provide full legal entity name of the affiliate

MANAGE RELATIONSHIPS

NFA ID	Full legal entity name of affiliate	Start Date
No Data		

Provide current organizational charts showing the reporting lines to the CEO, CRO, CFO, CCO and head(s) of fixed income trading, currencies and commodities.

Select Document Type:

--Please Select--

Select a document to attach to the filing:

Browse... No files selected.

You do not have any documents attached to this filing.

Is the firm subject to any blocking, privacy, or secrecy laws that would restrict it from sharing information with NFA during an examination or otherwise?

0611

 Yes No

Please submit a list of those specific laws.



Browse... No files selected.

You do not have any documents attached to this filing.

Does the firm produce research reports that are subject to CFTC Regulation 23.605(a)(9)?

0621

 Yes No

Does the firm act as a counterparty to Special Entities as defined in CFTC Regulation 23.401(c)?

0622

 Yes No

Does the firm act as an advisor to Special Entities as defined in CFTC Regulation 23.440?

0623

 Yes No

Number of counterparties that elect to segregate funds under CFTC Regulations 23.701 to 23.704.

0612



Provide the firm's average monthly notional amount (in millions USD) over the last 12 months for each of the following asset classes.

If the firm does not deal in a specific asset class, enter "0".

Close help

Interest Rate

0624

Credit

0625

Foreign Exchange

0626

Equities

0627

Commodities

0628

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Does the firm rely on substituted compliance by satisfying specific swap provisions of the CFTC regulations by complying with comparable regulatory requirements in the relevant foreign jurisdiction?

0614

Yes No

Select applicable CFTC Regulations:

CFTC Regulation 3.3 (Chief Compliance Officer)

0629

Yes No

CFTC Regulation 23.101 (Minimum Capital Requirements)

7212

Yes No

CFTC Regulation 23.150 – 23.161 (Margin)

0630

Yes No

CFTC Regulation 23.202 (Daily Trading Records)

0631

Yes No

CFTC Regulation 23.203 (Swap Data Recordkeeping)

0632

Yes No

CFTC Regulation 23.204 (Swap Data Reporting)

0633

Yes No

CFTC Regulation 23.205 (Real-Time Public Reporting)

0634

Yes No

CFTC Regulation 23.400 – 23.451 (Business Conduct Standards)

0635

Yes No

CFTC Regulation 23.506 (Swap Processing and Clearing)

0636

Yes No

CFTC Regulation 23.501 (Swap Confirmations)

0637

Yes No

CFTC Regulation 23.502 (Portfolio Reconciliation)

0638

Yes No

CFTC Regulation 23.503 (Portfolio Compression)

0639

Yes No

CFTC Regulation 23.504 (Swap Trading Relationship)

0640

Yes No

CFTC Regulation 23.505 (End-User Exception Documentation)

0641

Yes No

CFTC Regulation 23.600 (Risk Management Program)

0642

Yes No

CFTC Regulation 23.602 (Diligent Supervision)

0643

Yes No

CFTC Regulation 23.603 (Business Continuity and Disaster Recovery)

0644

Yes No

CFTC Regulation 23.605 (Conflicts of Interest)

0645

Yes No

CFTC Regulation 23.606-23.607 (Disclosure of Information to the CFTC and Anti-Trust)

0646

Yes No

CFTC Regulation 23.700 – 23.704 (Segregation)

0647

Yes No

Does the firm participate in a consolidated entity ISSP for Cybersecurity?

0650

Yes No

List the CFTC-registered swap data repositories the SD reports to:

0651

ICE Trade Vault

0652

DTCC Data Repository LLC

0653

CME Swap Data Repository

7213

KOR Reporting Inc.

Number of individuals acting as SD associated persons as defined in CFTC Regulation 1.3 in the following geographical regions

EMEA (Europe, Middle East, Africa)

0654

APAC (Asia, Pacific)

0655

AMER (North, Central and South America)

0656

Business Location to Conduct NFA Exams

0616

