



## Entity Profile Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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## Current Status Information

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| Branch ID | Status   | Effective Date |
|-----------|--|----------------|
|           | SWAP DEALER REGISTERED                                   | 08/15/2023     |
|           | NFA MEMBER APPROVED                                      | 11/15/2013     |
|           | EXEMPT FOREIGN FIRM APPROVED                             | 11/20/1998     |
|           | NFA ID 0519517 <b>CITIGROUP GLOBAL MARKETS EUROPE AG</b> |                |
|           | PRINCIPAL APPROVED                                       | 04/24/2019     |

## Status History Information

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| Status   | Effective Date |
|--|----------------|
| SWAP DEALER REGISTERED                                   | 08/15/2023     |
| NFA MEMBER APPROVED                                      | 11/15/2013     |
| SWAP DEALER PROVISIONALLY REGISTERED                     | 10/09/2013     |
| NFA MEMBER PENDING                                       | 10/02/2013     |
| SWAP DEALER PENDING                                      | 10/02/2013     |
| EXEMPT FOREIGN FIRM APPROVED                             | 11/20/1998     |
| EXEMPT FOREIGN FIRM PENDING                              | 11/11/1998     |
| NFA ID 0519517 <b>CITIGROUP GLOBAL MARKETS EUROPE AG</b> |                |
| PRINCIPAL APPROVED                                       | 04/24/2019     |
| PRINCIPAL PENDING  | 04/23/2019     |

## Outstanding Requirements

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Annual Due Date: 12/1/2023

No information available.

## Disciplined Employee Summary

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## Exempt Foreign Firm Information

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| NFA ID  | Agent Name                   | Start Date | End Date |
|---------|------------------------------|------------|----------|
| 0002026 | CITIGROUP GLOBAL MARKETS INC | 10/1/2012  |          |

| NFA ID  | Regulator Name              | Start Date | End Date |
|---------|-----------------------------|------------|----------|
| 0316743 | FINANCIAL CONDUCT AUTHORITY | 11/20/1998 |          |

| NFA ID  | Doing Business With                           | Start Date | End Date  |
|---------|---|------------|-----------|
| 0443305 | EFFISSIMO CAPITAL MANAGEMENT PTE LTD          | 4/16/2020  |           |
| 0495157 | EFFISSIMO PARTNERS                            | 4/16/2020  |           |
| 0488686 | PEARL DIVER CAPITAL LLP                       | 8/17/2015  | 4/9/2019  |
| 0461493 | JUPITER INVESTMENT MANAGEMENT LIMITED         | 12/11/2013 | 2/14/2023 |
| 0461442 | ICAP ENERGY AS                                | 4/29/2013  |           |
| 0459466 | ENTERPRISE COMMODITY SERVICES LIMITED         | 3/7/2013   | 9/4/2013  |
| 0410306 | NORTHWEST INVESTMENT MANAGEMENT HONG KONG LTD | 12/28/2012 | 1/7/2015  |
| 0318217 | PVM OIL ASSOCIATES LTD                        | 10/26/2012 | 12/5/2013 |
| 0303496 | SOCIETE GENERALE                              | 7/20/2011  |           |
| 0411526 | MAKO FINANCIAL MARKETS PARTNERSHIP LLP        | 9/10/2009  |           |

| Exemption Category          | Exemption Type | Statement Date |
|-----------------------------|----------------|----------------|
| FUTURES COMMISSION MERCHANT | 30.10          | 9/30/1998      |



## Business Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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|                      |                                  |
|----------------------|----------------------------------|
| Name                 | CITIGROUP GLOBAL MARKETS LIMITED |
| Form of Organization | CORPORATION                      |
| Country              | UNITED KINGDOM                   |

|             |              |
|-------------|--------------|
| Federal EIN | Not provided |
|-------------|--------------|

|                  |                  |
|------------------|------------------|
| Business Address |                  |
| Street Address 1 | 33 CANADA SQUARE |
| City             | LONDON           |
| Zip/Postal Code  | E14 5LB          |
| Country          | UNITED KINGDOM   |

|              |                  |
|--------------|------------------|
| Phone Number | +44 20 7508-2668 |
| Fax Number   | +44 20 7508-6968 |

|       |                        |
|-------|------------------------|
| Email | LESLIE.COOMBS@CITI.COM |
|-------|------------------------|

|             |              |
|-------------|--------------|
| Website/URL | Not provided |
|-------------|--------------|

|             |              |
|-------------|--------------|
| CRD/IARD ID | Not provided |
|-------------|--------------|



## Exempt Foreign Firm Contact Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Exempt Foreign Firm Contact Address

|                  |                                 |
|------------------|---------------------------------|
| First Name       | SUMANA                          |
| Last Name        | SINHA                           |
| Title            | GLOBAL EXPENSES MANAGEMENT TEAM |
| Street Address 1 | CITIGROUP CENTRE 1 5TH FLOOR    |
| Street Address 2 | 33 CANADA SQUARE                |
| City             | CANARY WHARF                    |
| Province         | LONDON                          |
| Zip/Postal Code  | E14 5LB                         |
| Country          | UNITED KINGDOM                  |
| Phone            | 011-44-207-986-6327             |
| Email            | TRADING.EXPENSES@CITI.COM       |



## Other Names

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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SALOMON BROTHERS INTERNATIONAL LIMITED  
ALIAS

SALOMON BROTHERS INTERNATIONAL LTD  
DBA NOT IN USE



## Location of Business Records

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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|                  |                  |
|------------------|------------------|
| Street Address 1 | 33 CANADA SQUARE |
| City             | LONDON           |
| Zip/Postal Code  | E14 5LB          |
| Country          | UNITED KINGDOM   |



## U.S. Address for the Production of Business Records

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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|                  |                               |
|------------------|-------------------------------|
| Office Of        | CITIGROUP GLOBAL MARKETS INC. |
| Street Address 1 | 388 GREENWICH STREET          |
| Street Address 2 | ATTENTION: LEGAL & COMPLIANCE |
| City             | NEW YORK                      |
| State            | NEW YORK                      |
| Zip/Postal Code  | 10013                         |



## Principal Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Individual Information

|                      |                         |
|----------------------|-------------------------|
| NFA ID               | 0468062                 |
| Name                 | BARDRICK, JAMES         |
| Title(s)             | CHIEF EXECUTIVE OFFICER |
| 10% or More Interest | No                      |
| Status               | APPROVED                |
| Effective Date       | 11-07-2013              |

|                      |              |
|----------------------|--------------|
| NFA ID               | 0538968      |
| Name                 | CLARK, SALLY |
| Title(s)             | DIRECTOR     |
| 10% or More Interest | No           |
| Status               | APPROVED     |
| Effective Date       | 08-06-2021   |

|                      |                        |
|----------------------|------------------------|
| NFA ID               | 0555745                |
| Name                 | DUCSAI, EVELIN KATALIN |
| Title(s)             | DIRECTOR               |
| 10% or More Interest | No                     |
| Status               | APPROVED               |
| Effective Date       | 05-18-2023             |

|                      |               |
|----------------------|---------------|
| NFA ID               | 0484489       |
| Name                 | FALL, WILLIAM |
| Title(s)             | DIRECTOR      |
| 10% or More Interest | No            |
| Status               | APPROVED      |
| Effective Date       | 08-06-2021    |

|                      |   |
|----------------------|---|
| NFA ID               | 0380240                                       |
| Name                 | FERNANDEZ DE YBARRA, FRANCISCO                |
| Title(s)             | HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION |
| 10% or More Interest | No  |
| Status               | APPROVED                                      |
| Effective Date       | 10-03-2013                                    |

NFA ID 0519823  
Name FLOWERDAY, DAVID LEONARD  
Title(s) CHIEF COMPLIANCE OFFICER  
10% or More Interest No  
Status APPROVED  
Effective Date 03-18-2019

NFA ID 0489231  
Name HENRY, PETER B  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 03-20-2023

NFA ID 0555903  
Name HEPPOLETTE, JOHN DESMOND  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 05-03-2023

NFA ID 0527216  
Name JAIN, DEEPAK  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 02-26-2020

NFA ID 0540535  
Name KHAN, RAHMAN ALI  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 08-06-2021

NFA ID 0522954  
Name MORTON, ANDREW JOHN  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED

Effective Date 04-24-2020

NFA ID 0485735  
Name MOULDS, JONATHAN PAUL  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 03-08-2022

NFA ID 0553314  
Name PLUNKETT, IAIN  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 02-02-2023

NFA ID 0551559  
Name RAJA, AMIT ANIL  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 11-25-2022

NFA ID 0556290  
Name SEN GOSAIN, MANJIRA  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 06-23-2023

NFA ID 0553311  
Name TOBIAS MARIN, FRANCISCO  
Title(s) DIRECTORCHIEF FINANCIAL OFFICER  
10% or More Interest No  
Status APPROVED  
Effective Date 05-03-2023

NFA ID 0488977  
Name TROMBETTA, SANTO  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No

|                      |                        |
|----------------------|------------------------|
| Status               | APPROVED               |
| Effective Date       | 04-23-2020             |
| NFA ID               | 0515189                |
| Name                 | WIMBORNE, ZOE VICTORIA |
| Title(s)             | DIRECTOR               |
| 10% or More Interest | No                     |
| Status               | APPROVED               |
| Effective Date       | 03-02-2022             |

#### Holding Company Information

|                      |               |
|----------------------|---------------|
| NFA ID               | 0388448       |
| Full Name            | CITIGROUP INC |
| 10% or More Interest | Yes           |
| Status               | APPROVED      |
| Effective Date       | 02-27-2014    |



## Principal Name and Financial Interest

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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## Non-U.S. Regulator Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### List of Non-U.S. Regulator(s) During The Past 5 Years

| Country           | Regulator Name                  |
|-------------------|---------------------------------|
| UNITED<br>KINGDOM | FINANCIAL CONDUCT AUTHORITY     |
| UNITED<br>KINGDOM | PRUDENTIAL REGULATORY AUTHORITY |



## Agent Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Current Agent

| Agent ID | Agent Name                   | Start Date |
|----------|------------------------------|------------|
| 0002026  | CITIGROUP GLOBAL MARKETS INC | 10/1/2012  |

### Agent History

| Agent ID                 | Agent Name | Start Date | End Date |
|--------------------------|------------|------------|----------|
| No information available |            |            |          |



## Doing Business With

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Doing Business With - Current

| NFA ID                   | Name | Start Date |
|--------------------------|------|------------|
| No Information Available |      |            |

### Doing Business With - History

| NFA ID                   | Name | Start Date | End Date |
|--------------------------|------|------------|----------|
| No Information Available |      |            |          |



## Disciplinary Information - Criminal Disclosures

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

THE QUESTIONS ON THIS PAGE MUST BE ANSWERED "YES" EVEN IF:

- ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR
- THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR
- A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR
- THE RECORD WAS EXPUNGED OR SEALED; OR
- A PARDON WAS GRANTED.

THE QUESTIONS MAY BE ANSWERED "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

For each matter that requires a "Yes" answer to Questions A, B or C below, a Criminal Disclosure Matter Page (DMP) must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any; and
- the date of the determination.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the charges;
- the classification of the offense, i.e., felony or misdemeanor;
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question A

Has the firm ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

No

Question B

Has the firm ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering, or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

No

Question C

Is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

No

## Disciplinary Information - Criminal Disclosure Matter Summary

### DMP Filing System

- Criminal Disclosure Matter Summary
- Regulatory Disclosure Matter Summary
- Financial Disclosure Matter Summary

NFA ID 0291281  CITIGROUP GLOBAL MARKETS LIMITED

To add a Disclosure Matter Page (DMP), click the Add DMP button.

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to [registration@nfa.futures.org](mailto:registration@nfa.futures.org).

### Archived Criminal Disclosure Matter Summary

There are currently no archived DMPs.



## Disciplinary Information - Regulatory Disclosures

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Questions D, E, F, G, H or I below, a Regulatory DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the regulatory matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question D

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined the firm after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

Not provided

Question E

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Not provided

Question F

Has the firm ever been debarred by any agency of the U.S. from contracting with the U.S.?

Not provided

Question G

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

Not provided

Question H

Are any of the orders or other agreements described in Question G currently in effect against the firm?

Not provided

Question I

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

Not provided

Disciplinary Information - Regulatory Disclosure Matter Summary

DMP Filing System

- Criminal Disclosure Matter Summary
- Regulatory Disclosure Matter Summary
- Financial Disclosure Matter Summary

NFA ID0291281Q CITIGROUP GLOBAL MARKETS LIMITED

To add a Disciplinary Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Progress" DMP, click the Delete button in the Action column.

To view the historical versions of DMPs, click the link in the Prior Filing(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 751-1410. You may also send an email to [registration@nfa.futures.org](mailto:registration@nfa.futures.org).

+ Add DMP

Current Regulatory Disclosure Matter Summary (5 DMPs)

Show100▼ entriesSearch:

| Question(s) | DMP Number | Date DMP Filed | Matter Name  | Case Status | Date | Prior Filing(s) | Action |
|-------------|------------|----------------|--|-------------|------|-----------------|--------|
|             | 15096      | 06/07/2019     | JUNE 2019: FINANCIAL SERVICES AGENCY OF JAPAN                              |             |      |                 |        |
|             | 15095      | 03/18/2017     | GERMAN FOLKTIFF - DFI AY IN FI INA DISC ONURFS                             |             |      |                 |        |
|             | 15099      | 10/30/2013     | MTS TRADING SUSPENSION 2005  |             |      |                 |        |
|             | 15098      | 10/30/2013     | LATE DISCLOSURE OF SUBSTANTIAL SHAREHOLDING IN SINGAPORE LISTED SECURITIES |             |      |                 |        |
|             | 15097      | 10/02/2013     | 2009 - CONSOB AND BREACH OF SHORT-SELLING RULES                            |             |      |                 |        |

Archived Regulatory Disclosure Matter Summary (4 DMPs)

Show100▼ entriesSearch:

| Question(s) | DMP Number | Date DMP Filed | Matter Name  | Case Status | Date    | Prior Filing(s) | Action |
|-------------|------------|----------------|--|-------------|---------|-----------------|--------|
| E           | 15029      | 12/02/2019     | PRUDENTIAL REGULATION AUTHORITY (UK)   | FINAL       | 11/2019 |                 |        |
|             | 15102      | 10/02/2013     | 2004 - CAPITAL BREACH DATED 27 JANUARY 2004  |             |         |                 |        |
|             | 15104      | 10/02/2013     | FINANCIAL SERVICES AUTHORITY ("FSA") PRIVATE WRITTEN WARNING LETTER DATED 16 AUGUST 2006 |             |         |                 |        |
|             | 15103      | 10/02/2013     | FINANCIAL SERVICES AUTHORITY FINAL NOTICE: 29 JUNE 2009                                  |             |         |                 |        |



## Disciplinary Information - Financial Disclosures

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Question J below, a Financial DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the financial matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

### Question J

Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

Yes

Disciplinary Information - Financial Disclosure Matter Summary

DMP Filing System

- Criminal Disclosure Matter Summary
- Regulatory Disclosure Matter Summary
- Financial Disclosure Matter Summary

NFA ID

1091281

Q

CITIGROUP GLOBAL MARKETS LIMITED

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

To view the historical versions of DMPs, click the link in the Prior Filings(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to [registration@nfa.futures.org](mailto:registration@nfa.futures.org)

+ Add DMP

Current Financial Disclosure Matter Summary (2 DMPs)

Show

100

▼

entries

Search:

| Question(s) | DMP Number | Date DMP Filed | Matter Name                            | Case Status | Date | Prior Filings(s) | Action |
|-------------|------------|----------------|--|-------------|------|------------------|--------|
|             | 15100      | 10/02/2013     | LEHMAN BROTHERS BANKRUPTCY PROCEEDINGS |             |      |                  |        |
|             | 15101      | 10/02/2013     | TRIBUNE COMPANY BANKRUPTCY             |             |      |                  |        |

Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.



## Registration Contact Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | N/A                    |
| Email            | LESLIE.COOMBS@CITI.COM |



## Registration Contact Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

---

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | N/A                    |
| Email            | LESLIE.COOMBS@CITI.COM |



## Membership Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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Indicate the category in which the Member intends to vote on NFA membership matters. SWAP DEALER

### U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? No



## Membership Contact Information

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Viewed on October 11, 2023

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Membership Contact

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | +44 20 7508 4987       |
| Email            | LESLIE.COOMBS@CITI.COM |

### Accounting Contact

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | +44 20 7508 4987       |
| Email            | LESLIE.COOMBS@CITI.COM |

Arbitration Contact

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | +44 20 7508 4987       |
| Email            | LESLIE.COOMBS@CITI.COM |

Compliance Contact

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | +44 20 7508 4987       |
| Email            | LESLIE.COOMBS@CITI.COM |

Chief Compliance Officer Contact

|                  |                        |
|------------------|------------------------|
| First Name       | LESLIE                 |
| Last Name        | COOMBS                 |
| Street Address 1 | 33 CANADA SQUARE       |
| City             | LONDON                 |
| Zip/Postal Code  | E14 5LB                |
| Country          | UNITED KINGDOM         |
| Phone            | +44 20 7508 4987       |
| Email            | LESLIE.COOMBS@CITI.COM |

- Search
  - For an Individual
  - For a Firm, including Company or Sole Proprietor
  - For a Pool
  - By Asset Category Number
- Disclosures
  - Information
  - Information
  - List of disciplinary information
  - Disclosure Questions
- Firm Profile
  - Branch Office
  - Manager List
  - Swap Associated
  - Person List
  - Employee List (by office)
  - Compliance Agreement
  - Information
  - External Foreign Firm
  - Information
  - Part 4 Exemptions
- Internal Processing
  - View Registration
  - Information
  - Consent
  - Requirements
  - Registration
  - Withdrawal Date
  - TXN Due to Withdraw
  - Notices
- Registration and Membership
  - Current Registration
  - Status
  - Registration History
- Handcopies
  - Filing History

### Branch Office Manager List

NFA ID

0201261

Enter

CITIGROUP GLOBAL MARKETS LIMITED

No information available.

## Filing History

|            |                                      |                                      |                                  |
|------------|--------------------------------------|--------------------------------------|----------------------------------|
| NFA ID     | <input type="text" value="0291281"/> | <input type="button" value="Enter"/> | CITIGROUP GLOBAL MARKETS LIMITED |
| Sponsor ID | <input type="text"/>                 |                                      |                                  |

Filter By:  
[Form Message](#)

| Process Date | Sponsor NFA ID | Form Message   | User Name |
|--------------|----------------|--|-----------|
| 01/20/2022   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | WARDJ     |
| 12/02/2019   |                | <a href="#">FIRM REGULATORY DMP ADDED - 16820</a>                                | LOVEA     |
| 06/07/2019   |                | <a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>                         | LOVEA     |
| 06/07/2019   |                | <a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>  | LOVEA     |
| 11/22/2017   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | LOVEA     |
| 03/19/2017   |                | <a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>                         | LOVEA     |
| 08/24/2016   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | LOVEA     |
| 03/18/2016   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | LOVEA     |
| 05/07/2014   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | LOVEA     |
| 10/30/2013   |                | <a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>                         | LOVEA     |
| 10/30/2013   |                | <a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</a> | LOVEA     |
| 10/30/2013   |                | <a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>                         | LOVEA     |
| 10/30/2013   |                | <a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>  | LOVEA     |
| 10/30/2013   |                | <a href="#">FIRM REGULATORY DISCLOSURE QUESTION E CHANGED</a>                    | LOVEA     |
| 10/02/2013   |                | <a href="#">FIRM APPLICATION FILED</a>   | LOVEA     |
| 10/06/2011   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | NFICCDM   |
| 11/02/2004   |                | <a href="#">BUSINESS LOCATIONS CHANGED</a>                                       | NFICCKZ   |
| 04/07/2003   |                | <a href="#">FIRM NAME CHANGED</a>  | NFRGYXC   |
| 04/07/2003   |                | <a href="#">FORM OF ORGANIZATION CHANGED</a>                                     | NFRGYXC   |