

To view/update this entity's detailed information, click the applicable link in the left-hand side navigation.

Current Status Information

Status

SWAP DEALER REGISTERED

NFA MEMBER APPROVED

EXEMPT FOREIGN FIRM APPROVED

NFA ID 0519517 [CITIGROUP GLOBAL MARKETS EUROPE AG](#)

PRINCIPAL APPROVED

Status History Information

Status

SWAP DEALER REGISTERED

NFA MEMBER APPROVED

SWAP DEALER PROVISIONALLY REGISTERED

NFA MEMBER PENDING

SWAP DEALER PENDING

EXEMPT FOREIGN FIRM APPROVED

EXEMPT FOREIGN FIRM PENDING

NFA ID 0519517 [CITIGROUP GLOBAL MARKETS EUROPE AG](#)

PRINCIPAL APPROVED

PRINCIPAL PENDING

Outstanding Requirements

Annual Due Date: 12/01/2024

ANNUAL MEMBERSHIP DUES REQUIRED FOR 06/01/2024 [Payment Schedule](#)

ANNUAL MEMBERSHIP DUES REQUIRED FOR 09/01/2024 [Payment Schedule](#)

Disciplined Employee Summary

No information available.

Exempt Foreign Firm Information

NFA ID

Agent Name

0002026

[CITIGROUP GLOBAL MARKETS INC](#)

NFA ID	Agent Name
NFA ID	Regulator Name
0316743	FINANCIAL CONDUCT AUTHORITY
NFA ID	Doing Business With
0443305	EFFISSIMO CAPITAL MANAGEMENT PTE LTD
0495157	EFFISSIMO PARTNERS
0488686	PEARL DIVER CAPITAL LLP
0461493	JUPITER INVESTMENT MANAGEMENT LIMITED
0461442	ICAP ENERGY AS
0459466	ENTERPRISE COMMODITY SERVICES LIMITED
0410306	NORTHWEST INVESTMENT MANAGEMENT HONG KONG LTD
0318217	PVM OIL ASSOCIATES LTD
0303496	SOCIETE GENERALE
0411526	MAKO FINANCIAL MARKETS PARTNERSHIP LLP
Exemption Category	
FUTURES COMMISSION MERCHANT	

View BASIC



Business Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Federal EIN	Not provided
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Business Address

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

Phone Number	+44 20 7508 2795
Fax Number	Not provided

Email	Not provided
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Website/URL	Not provided
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CRD/IARD ID	Not provided
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Exempt Foreign Firm Contact Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

Exempt Foreign Firm Contact Address

First Name	SUMANA
Last Name	SINHA
TWe	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

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

SALOMON BROTHERS INTERNATIONAL LIMITED
ALIAS

SALOMON BROTHERS INTERNATIONAL LTD
OBA NOT IN USE



Location of Business Records

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 SLB
Country	UNITED KINGDOM



U.S. Address for the Production of Business Records

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

Individual Information

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

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

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

NFAID	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

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

NFAID	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

NFAID	0559796
Name	LEE, TIINA LE SEONG
Title(s)	CHIEF EXECUTIVE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	02-02-2024

NFAID	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

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

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

NFAID	0551559
Name	RAJA, AMIT ANIL
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED

Effective Date **11-25-2022**

NFAID **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**

NFAID **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**

NFAID **0520000**

Name **VON KOSKULL, CASPER WILHELM**

Title(s) **DIRECTOR**

10% or More Interest **No**

Status **APPROVED**

Effective Date **01-09-2024**

NFAID **0563242**

Name **WESTGARTH, GRAHAM**

Title(s) **DIRECTOR**

10% or More Interest **No**

Status **PENDING**

Effective Date **04-11-2024**

NFAID **0515189**

Name **WIMBORNE, ZOE VICTORIA**

Title(s) **DIRECTOR**

10% or More Interest **No**

Status **APPROVED**

Effective Date **03-02-2022**

Holding Company Information

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



Principal Name and Financial Interest

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED



Non-U.S. Regulator Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Country	Regulator Name
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
UNITED KINGDOM	PRUDENTIAL REGULATORY AUTHORITY



Agent Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

Doing Business With - Current

NFAID	Name	Start Date
No Information Available		

Doing Business With - History

NFA ID	Name	Start Date	End Date
No Information Available			



Disciplinary Information - Criminal Disclosures

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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 - Regulatory Disclosures

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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?

No

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?

Yes

Question F

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

No

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?

Yes

Question H

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

No

Question I

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

No



Disciplinary Information - Financial Disclosures

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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



Registration Contact Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

First Name	LESLIE
Last Name	COOMBS
Street Address 1	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 SNR
Country	UNITED KINGDOM
Phone	N/A
Email	LESLIE.COOMBS@CITI.COM



Registration Contact Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

First Name	LESLIE
Last Name	COOMBS
Street Address 1	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 SNR
Country	UNITED KINGDOM
Phone	N/A
Email	LESLIE.COOMBS@CITI.COM



Enforcement/Compliance Communication Contact Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

First Name	ANDREW
Last Name	MCGUIRE
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 2795
Email	ANDREW.MCGUIRE@CITI.COM



Membership Information

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Viewed on May 08, 2024

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 5NR
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

Arbitration Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 5NR
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

Compliance Contact

First Name	ANDREW
Last Name	MCGUIRE
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 2795
Email	ANDREW.MCGUIRE@CITI.COM

Chief Compliance Officer Contact

First Name	DAVID
Last Name	FLOWERDAY
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 SLB
Country	UNITED KINGDOM
Phone	+44 20 7508 6939
Email	DAVID.FLOWERDAY@CITI.COM

Filing History

NFAID
 P. Onsor ID

CITIGROUPGLOBALMARKETS LIMITED

Filter By:
[Form Mess110_g](#)

	12/24/2023	ANNUAL REGISTRATION UPDATE FILED	BROWNZ
	11/30/2023	BUSINESS LOCATIONS CHANGED	BROWNZ
	10/24/2022	FIRM REGULATORY COMP ADDED- 18410	BROWNZ
	01/20/2022	BUSINESS LOCATIONS CHANGED	WORDJ
	12/02/2019	FIRM REGULATORY COMP ADDED- 16829	LOVEA
	06/07/2019	FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
	06/07/2019	FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOVEA
	11/22/2017	BUSINESS LOCATIONS CHANGED	LOVEA
	03/19/2017	FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
	08-/24/2016	BUSINESS LOCATIONS CHANGED	LOVEA
	03/18/2016	BUSINESS LOCATIONS CHANGED	LOVEA
	05/07/2014	BUSINESS LOCATIONS CHANGED	LOVEA
	10/30/2013	FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
	10/30/2013	FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES	LOVEA
	10/30/2013	FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
	10/30/2013	FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOVEA
	10/30/2013	FIRM REGULATORY DISCLOSURE QUESTION E CHANGED	LOVEA
	10/02/2013	FIRM APPLICATION FILED	LOVEA
	10/06/2011	BUSINESS LOCATIONS CHANGED	NFICCDM
	11/02/2004	BUSINESS LOCATIONS CHANGED	NFICCDM
	04/07/2003	FIRM NAME CHANGED	NFRGYXC
	04/07/2003	FORM OF ORGANIZATION CHANGED	NFRGYXC