



Entity Profile Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

Current Status Information

| Branch ID | Status | Effective Date |
|-----------|------------------------------|----------------|
| | SWAP DEALER REGISTERED | 08/15/2023 |
| | NFA MEMBER APPROVED | 05/10/2013 |
| | EXEMPT FOREIGN FIRM APPROVED | 06/13/1995 |

Status History Information

| Status | Effective Date |
|--------------------------------------|----------------|
| SWAP DEALER REGISTERED | 08/15/2023 |
| NFA MEMBER APPROVED | 05/10/2013 |
| SWAP DEALER PROVISIONALLY REGISTERED | 12/31/2012 |
| SWAP DEALER PENDING | 12/19/2012 |
| NFA MEMBER PENDING | 12/19/2012 |
| EXEMPT FOREIGN FIRM APPROVED | 06/13/1995 |
| EXEMPT FOREIGN FIRM PENDING | 06/05/1995 |

Outstanding Requirements

Annual Due Date: 6/1/2024

ANNUAL MEMBERSHIP DUES REQUIRED FOR 3/1/2024

Disciplined Employee Summary

Exempt Foreign Firm Information

| NFA ID | Agent Name | Start Date | End Date |
|----------------|------------------------------|-------------------|-----------------|
| 9999998 | NATIONAL FUTURES ASSOCIATION | 5/16/1995 | |

| NFA ID | Regulator Name | Start Date | End Date |
|----------------|-----------------------------|-------------------|-----------------|
| 0316743 | FINANCIAL CONDUCT AUTHORITY | 6/13/1995 | |

| NFA ID | Doing Business With | Start Date | End Date |
|----------------|---|-------------------|-----------------|
| 0443305 | EFFISSIMO CAPITAL MANAGEMENT PTE LTD | 4/16/2020 | |
| 0495157 | EFFISSIMO PARTNERS | 4/16/2020 | |
| 0469404 | BLUEQUANT CAPITAL MANAGEMENT LLP | 11/1/2013 | 1/18/2018 |
| 0410306 | NORTHWEST INVESTMENT MANAGEMENT HONG KONG LTD | 12/28/2012 | 1/7/2015 |

| Exemption Category | Exemption Type | Statement Date |
|-----------------------------|-----------------------|-----------------------|
| FUTURES COMMISSION MERCHANT | 30.10 | 7/31/1997 |



Business Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

| | |
|----------------------|---------------------------|
| Name | NOMURA INTERNATIONAL PLC |
| Form of Organization | LIMITED LIABILITY COMPANY |
| Country | UNITED KINGDOM |

| | |
|-------------|------------|
| Federal EIN | 98-0179281 |
|-------------|------------|

| | |
|------------------|----------------|
| Business Address | |
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |

| | |
|--------------|------------------|
| Phone Number | +44 20 7102 1000 |
| Fax Number | Not provided |

| | |
|-------|--------------|
| Email | Not provided |
|-------|--------------|

| | |
|-------------|----------------|
| Website/URL | WWW.NOMURA.COM |
|-------------|----------------|

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



Exempt Foreign Firm Contact Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

| | |
|-------------------------------------|-----------------------------|
| Exempt Foreign Firm Contact Address | |
| First Name | SALLY |
| Last Name | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone | +44 20 7102 3363 |
| Email | SALLY.MCALLISTER@NOMURA.COM |



Exempt Foreign Firm Contact Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

Exempt Foreign Firm Contact Address

| | |
|------------------|-----------------------------|
| First Name | SALLY |
| Last Name | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone | +44 20 7102 3363 |
| Email | SALLY.MCALLISTER@NOMURA.COM |



Exempt Foreign Firm Contact Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

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| Exempt Foreign Firm Contact Address | |
| First Name | SALLY |
| Last Name | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone | +44 20 7102 3363 |
| Email | SALLY.MCALLISTER@NOMURA.COM |



Other Names

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

Not provided



Location of Business Records

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

| | |
|------------------|----------------|
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |



U.S. Address for the Production of Business Records

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

| | |
|------------------|---------------------------------------|
| Office Of | NOMURA GLOBAL FINANCIAL PRODUCTS, INC |
| Street Address 1 | WORLDWIDE PLAZA 309 WEST 49TH STREET |
| City | NEW YORK |
| State | NEW YORK |
| Zip/Postal Code | 10019-7316 |



Principal Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

Individual Information

| | |
|----------------------|--------------------------|
| NFA ID | 0515721 |
| Name | ATKAR, NEETA AVNASH KAUR |
| Title(s) | DIRECTOR |
| 10% or More Interest | No |
| Status | APPROVED |
| Effective Date | 09-03-2019 |

| | |
|----------------------|---|
| NFA ID | 0542935 |
| Name | BARLOW, CHRISTOPHER COLIN |
| Title(s) | HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION |
| 10% or More Interest | No |
| Status | APPROVED |
| Effective Date | 10-19-2021 |

| | |
|----------------------|-------------------|
| NFA ID | 0499421 |
| Name | BRITTON, JONATHAN |
| Title(s) | DIRECTOR |
| 10% or More Interest | No |
| Status | APPROVED |
| Effective Date | 06-23-2017 |

| | |
|----------------------|---|
| NFA ID | 0539833 |
| Name | DOYLE, AISLING MAIRE |
| Title(s) | HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION |
| 10% or More Interest | No |
| Status | APPROVED |
| Effective Date | 09-02-2021 |

| | |
|----------------------|--------------------------|
| NFA ID | 0555174 |
| Name | FALK, MAGNUS HENRY PETER |
| Title(s) | DIRECTOR |
| 10% or More Interest | No |
| Status | APPROVED |
| Effective Date | 04-18-2023 |

NFA ID 0542777
Name FUGGLE, STEPHEN ANDREW
Title(s) CHIEF FINANCIAL OFFICER
10% or More Interest No
Status APPROVED
Effective Date 10-05-2021

NFA ID 0499422
Name GODFREY, DAVID WARREN
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 07-05-2017

NFA ID 0489342
Name LEWIS, JONATHAN WAYNE
Title(s) CHIEF EXECUTIVE OFFICER
10% or More Interest No
Status APPROVED
Effective Date 11-03-2015

NFA ID 0555765
Name MAFFRE, PATRICE
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 07-18-2023

NFA ID 0548585
Name MOTOTANI, DAISUKE
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 06-16-2022

NFA ID 0504462
Name MURRAY, ROSEMARY CAROL
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED

Effective Date 06-23-2017

NFA ID 0543640
Name OGURI, NAOYUKI
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 01-26-2022

NFA ID 0560016
Name SCHOLAR, THOMAS WHINFIELD
Title(s) DIRECTOR
10% or More Interest No
Status PENDING
Effective Date 12-12-2023

NFA ID 0559582
Name STONE, JONATHAN PETER
Title(s) CHIEF COMPLIANCE OFFICER
10% or More Interest No
Status APPROVED
Effective Date 11-16-2023

NFA ID 0492211
Name TIERNEY, JOHN GERARD MARY
Title(s) CHIEF OPERATING OFFICER
10% or More Interest No
Status APPROVED
Effective Date 07-05-2017

NFA ID 0497961
Name TYCE, NATHANIEL JAMES
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 10-19-2023

Holding Company Information

| | |
|----------------------|----------------------------|
| NFA ID | 0455943 |
| Full Name | NOMURA EUROPE HOLDINGS PLC |
| 10% or More Interest | Yes |
| Status | APPROVED |
| Effective Date | 12-29-2012 |



Non-U.S. Regulator Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

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 January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

Current Agent

| Agent ID | Agent Name | Start Date |
|----------|------------------------------|------------|
| 9999998 | NATIONAL FUTURES ASSOCIATION | 5/16/1995 |

Agent History

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



Doing Business With

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

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

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

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  NOMURA INTERNATIONAL PLC

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.

[+ Add DMP](#)

Archived Criminal Disclosure Matter Summary

There are currently no archived DMPs.



Disciplinary Information - Regulatory Disclosures

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

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?

No

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

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

NFA ID 0264077

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

+ Add DMP

Show 100 entries

Search:

Archived Regulatory Disclosure Matter Summary

There are currently no archived DMPs.

Disciplinary Information - Firm Regulatory Disclosure Matter Page

NFA ID 0264877 - NOKURA INTERNATIONAL PLC

Please file a separate Disclosure Matter Page (DMP) for each regulatory action. A regulatory action may be reportable under more than one regulatory disclosure question. If the same conduct/event resulted in more than one regulatory action, provide details for each action on a separate DMP.

[Back to Summary](#) [Amend](#)

Disclosure Questions

Completing this section does not update answer(s) to the Regulatory Disclosure question(s). To update the Regulatory Disclosure questions, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question(s) you are disclosing the regulatory action under: [Show Questions](#)

☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

Regulatory Case Information

REGULATORY INFORMATION

☐ Regulatory/Civil Action Initiated by: Name of Regulatory Body:

CASE INFORMATION

☐ Case Number: ☐ Case Status:

☐ Were any of the following sanctions imposed?

Comments

Use this field to provide a summary of the circumstances surrounding the action and/or additional sanction information.

ON FEBRUARY 25, 1997, THE AUSTRALIAN SECURITIES AND INVESTMENT COMMISSION (ASIC) COMMENCED PROCEEDINGS IN THE FEDERAL COURT OF AUSTRALIA ALLEGING BREACHES OF VARIOUS PROVISIONS OF THE CORPORATIONS LAW AND THE TRADE PRACTICES ACT. ON OR ABOUT DECEMBER 1998 THE FEDERAL COURT OF AUSTRALIA MADE THEIR FINDINGS AND HANDED DOWN A JUDGMENT IN THESE PROCEEDINGS. FINALLY, ON OR ABOUT FEBRUARY 19, 1999, THE FEDERAL COURT MADE DECLARATIONS IN THE MATTER BROUGHT BY ASIC AGAINST NOKURA INTERNATIONAL PLC CONCERNING ITS CONDUCT IN CONNECTION WITH CLOSING OUT ITS ARBITRAGE POSITION ON MARCH 29, 1996.

DOCUMENTATION FOR THIS ACTION HAS BEEN PROVIDED TO THE NFA.

Supporting Documentation

You must provide NFA with supporting documentation if not previously submitted. This includes but is not limited to the complaint, settlement offer and final order/judgment.

To upload supporting documentation, click the 'Add Document' button. Only .pdf, .doc, .docx, .rtf, and .txt document types are allowed. In lieu of attaching supporting documentation, you may email the supporting documentation to registration@nfa-futures.org, fax it to 312-559-3411, or mail it to NFA Registration Department, 320 South Canal, Suite 2402, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

[Back to Summary](#)

Please file a separate Disclosure Matter Page (DMP) for each regulatory action. A regulatory action may be reportable under more than one regulatory disclosure question. If the same conduct/event resulted in more than one regulatory action, provide details for each action on a separate DMP.

[← Back to Summary](#)
[✎ Amend](#)

Completing this section does not update answer(s) to the Regulatory Disclosure question(s). To update the Regulatory Disclosure questions, click the appropriate link on the Update/Withdraw Registration Information Menu.

[D](#) [E](#) [F](#) [G](#) [H](#) [I](#)

REGULATORY INFORMATION

 Regulatory/Civil Action initiated by: Name of Regulatory Body

② Were any of the following sanctions imposed?

 Case Status:

Use this field to provide a summary of the circumstances surrounding the action and/or additional sanction information.

UK SECURITIES AND FUTURES AUTHORITY NOTICE SENT TO NFA

You must provide NHA with supporting documentation if not previously submitted. This includes but is not limited to the complaint, settlement offer and final order/judgment.

[← Back to Summary](#)

Disclosure Questions

Completing this section does not update answer(s) to the Regulatory Disclosure question(s). To update the Regulatory Disclosure questions, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question(s) you are disclosing the regulatory action under:

[Show Questions](#)

☐ D ☐ E ☐ F ☐ G ☐ H ☐ I

Regulatory Case Information

| | |
|--|--------------------------|
| REGULATORY INFORMATION | |
| Regulatory/Civil Action initiated by: | Name of Regulatory Body: |
| | |
| CASE INFORMATION | |
| Case Number: | Case Status: |
| Were any of the following sanctions imposed?: | |

Comments

Use this field to provide a summary of the circumstances surrounding the action and/or additional sanction information.

UK FSA FINAL NOTICE SENT TO NFA

Supporting Documentation

You must provide NFA with supporting documentation if not previously submitted. This includes but is not limited to the complaint, settlement offer and final order/judgment.

To upload supporting documentation, click the 'Add Document' button. Only .pdf, .doc, .docx, .txt, and .tif document types are allowed. In lieu of attaching supporting documentation, you may email the supporting documentation to registration@nfa.futures.org, fax it to 312-559-3411, or mail it to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

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Disciplinary Information - Financial Disclosure Matter Summary

DMP Filing System

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

NFA ID  NOMURA INTERNATIONAL PLC

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 Filing(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.

[+ Add DMP](#)

Current Financial Disclosure Matter Summary (1 DMP)

Show entriesSearch:

| Question(s) | DMP Number | Date DMP Filed | Matter Name | Case Status | Date | Prior Filing(s) | Action |
|-------------|------------|----------------|--|-------------|--------|-----------------|--------|
| 1 | 14848 | 10/26/2011 | UNITED STATES BANKRUPTCY COURT SOUTHERN DISTRICT OF NEW YORK 10-5348 | PENDING | 6/2012 | 12/18/2012 | |

Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.

Disciplinary Information - Firm Financial Disclosure Matter Page

NR 15-010077 - NORAMIA INTERNATIONAL, INC.

Please file a separate Disclosure Matter Page (DMP) for each action.

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Answer

Disclosure Question

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question you are disclosing the financial matter under:

View Question

Case Information

Disciplinary Case Information

United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed: SOUTHERN DISTRICT OF NEW YORK

Case Number: 20-1189

Disciplinary Case Information

Court where the disciplinary action was filed

United States Bankruptcy Court

Court location

SOUTHERN DISTRICT OF NEW YORK

Case Number of disciplinary action

19-5148

Disciplinary Action Status

PENDING

Disciplinary Case Information

United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed: SOUTHERN DISTRICT OF NEW YORK

Case Number: 20-1189

Comments

Use this field to provide a summary of the circumstances leading to the disciplinary action as well as status/disposition details.

MATTER NAME: MADOFF LITIGATION

MATTER DETAILS

NORAMIA INTERNATIONAL, INC. ("NIPAC") IS A DEFENDANT IN TWO ADVERSARY PROCEEDINGS BROUGHT BY THE TRUSTEE FOR LIQUIDATION OF BERNARD L. MADOFF INVESTMENT SECURITIES LLC ("BILMS") IN THE FIRST ADVERSARY PROCEEDING, THE TRUSTEE IS SEEKING AVOIDANCE AND RECOVERY OF PAYMENTS ALLEGEDLY MADE TO NIPAC BY HARFIELD SENIOR LTD. AND HARFIELD SENIOR LTD. COLLECTIVELY THE "HARFIELD FUNDS"). RICARD V. NORAMIA INTERNATIONAL, INC. ADV. PRO. NO. 10-1348 (BIL, BANKR. S.D.N.Y.). THE HARFIELD FUNDS, NOW IN LIQUIDATION, HAVE FILED A FUND TO NAME. THE CLAIM IS FOR APPROXIMATELY \$1.1 MILLION PLUS INTEREST. THE LIQUIDATOR OF THE HARFIELD FUNDS HAS ALSO BROUGHT AN ACTION TO RECOVER THE PAYMENTS MADE TO NIPAC BY THE HARFIELD FUNDS. HARFIELD SENIOR V. NORAMIA INTERNATIONAL, INC. ADV. PRO. NO. 10-1373 (BIL, BANKR. S.D.N.Y.). IN THE SECOND ADVERSARY PROCEEDING, THE MADOFF TRUSTEE IS SEEKING RECOVERY OF REDEMPTION PAYMENTS MADE BY VANLEY INTERNATIONAL (CAYMAN) LTD. ("VANLEY") TO NIPAC. RICARD V. NORAMIA INTERNATIONAL, INC. ADV. PRO. NO. 11-2759 (BIL, BANKR. S.D.N.Y.). THE HARLEY FUND, NOW IN LIQUIDATION, WAS A FEEDER FUND TO BILMS. THE CLAIM IS FOR APPROXIMATELY \$21.5 MILLION PLUS INTEREST. THE CASES WERE DISMISSED, BUT THE DISMISSAL WAS REVERSED BY AN APPEALS COURT AND THE CASES HAVE BEEN REMANDED TO THE US BANKRUPTCY COURT FOR FURTHER PROCEEDINGS.

Supporting Documentation

You must provide PDFs with supporting documentation if you previously submitted. This includes the complete and the final disposition for each disciplinary action.

To upload supporting documentation, click the "Add Document" button. Only pdf, doc, docx, xls, and all document types are allowed. In lieu of attaching supporting documentation, you may email the supporting documentation to regulation@nrb-lexis.org, fax it to 312-529-3411, or mail it to NRB Registration Department, 300 South Canal, Suite 2400, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NRB ID of the firm with the submission.

Back to Summary

MSA ID: 0000071NORAMURA INTERNATIONAL PLC

Please file a separate Disclosure Matter Page (DMPF) for each action.

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Save

Disclosure Question

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question you are disclosing the financial matter under:

Bankruptcy

01

Case Information

Bankruptcy Case Information

United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed: SOUTHERN DISTRICT OF NEW YORK

Case Number: 00-1709

Adversary Case Information

Court where the adversary action was filed: UNITED STATES BANKRUPTCY COURT

Court Location: SOUTHERN DISTRICT OF NEW YORK

Case Number of Adversary Action: 10-548

Adversary Action Status: PENDING

Case Initiated: JUNE 2012

Comments

Use this field to provide a summary of the circumstances leading to the adversary action as well as status/ disposition details.

MATTER DETAILS

NORAMURA INTERNATIONAL PLC ("NIPC") IS A DEFENDANT IN TWO ADVERSARY PROCEEDINGS BROUGHT BY THE TRUSTEE FOR LIQUIDATION OF BARNARD L. MADOFF INVESTMENT SECURITIES LLC ("BIMIS"). IN THE FIRST ADVERSARY PROCEEDING, THE TRUSTEE IS SEEKING AVOIDANCE AND RECOVERY OF PAYMENTS ALLEGEDLY MADE TO NIPC BY HARFIELD SENIOR LTD. AND HARFIELD SENIOR LTD. (COLLECTIVELY THE "HARFIELD FUNDS"). RICARD V. NORAMURA INTERNATIONAL PLC, ADV. PRO. NO. 10-548 (BRL BARRE SENIOR LTD.) THE HARFIELD FUNDS, NOW IN LIQUIDATION, WERE FEEDER FUNDS TO BLMG. THE CLAIM IS FOR APPROXIMATELY \$15 MILLION PLUS INTEREST. THE LIQUIDATOR OF THE HARFIELD FUNDS HAS ALSO BROUGHT AN ACTION TO RECOVER THE PAYMENTS MADE TO NIPC BY THE HARFIELD FUNDS. HARFIELD SENIOR V. NORAMURA INTERNATIONAL PLC, ADV. PRO. NO. 10-5759 (BRL BARRE SENIOR LTD.) IN THE SECOND ADVERSARY PROCEEDING, THE MADOFF TRUSTEE IS SEEKING RECOVERY OF REDEMPTION PAYMENTS MADE BY HARLEY INTERNATIONAL CAYMAN LTD. ("HARLEY") TO NIPC. RICARD V. NORAMURA INTERNATIONAL PLC, ADV. PRO. NO. 11-2759 (BRL BARRE SENIOR LTD.). THE HARLEY FUND, NOW IN LIQUIDATION, WAS A FEEDER FUND TO BLMG. THE CLAIM IS FOR APPROXIMATELY \$21.5 MILLION PLUS INTEREST. THE CASES WERE DISMISSED, BUT THE DISMISSAL WAS REVERSED BY AN APPEALS COURT AND THE CASES HAVE BEEN REMANDED TO THE US BANKRUPTCY COURT FOR FURTHER PROCEEDINGS.

THE REQUIRED DOCUMENTATION CONCERNING THE COMPLAINTS WAS PREVIOUSLY SENT TO THE MRA. THERE HAS BEEN NO FINAL DISPOSITION.

Supporting Documentation

You must provide MSA with supporting documentation if not previously submitted. This includes the complaint and the final disposition for each adversary action.

To upload supporting documentation, click the "Add Document" button. Only pdf, xls, docx, ppt, and if document types are allowed. In lieu of attaching supporting documentation, you may email the supporting documentation to regulation@fda.gov, fax it to 312-535-3811, or mail it to MRA Registration Department, 505 South Canal, Suite 2400, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and MSA ID of the firm with the submission.

Back to Summary

Disciplinary Information - Financial Disclosure Matter Summary

DMP Filing System

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

NFA ID0294077NOMURA INTERNATIONAL PLC

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 Filing(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 761-1410. You may also send an email to registration@nfa.futures.org.

+ Add DMP

Current Financial Disclosure Matter Summary (1 DMP)

Show100entries

Search:

| Question(s) | DMP Number | Date DMP Filed | Matter Name | Case Status | Date | Prior Filing(s) | Action |
|-------------|------------|----------------------------|--|-------------|--------|----------------------------|--------|
| J | 14845 | 10/26/2021 | UNITED STATES BANKRUPTCY COURT SOUTHERN DISTRICT OF NEW YORK 10-5348 | PENDING | 6/2012 | 12/19/2012 | |

Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.

Please file a separate Disclosure Matter Page (DMP) for each action.

[← Back to Summary](#) [✎ Amend](#)

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question you are disclosing the financial matter under: [Show Question](#)

| BANKRUPTCY CASE INFORMATION | |
|---|---|
| <ul style="list-style-type: none"> United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed: SOUTHERN DISTRICT OF NEW YORK | |
| ADJUDICATORY CASE INFORMATION | |
| <ul style="list-style-type: none"> Court where the adversary action was filed Court location Case Number Adversary Action Status: The case is currently pending | UNITED STATES BANKRUPTCY COURT SOUTHERN DISTRICT OF NEW YORK 10-1480 PENDING |

Case Number: 00-1729

Use this field to provide a summary of the circumstances leading to the [adversary action](#) as well as status/disposition details.

MATTER NAME MADOFF LITIGATION

You must provide NFA with supporting documentation if not previously submitted. This includes the complaint and the final disposition for each [adversary action](#).

[← Back to Summary](#)

NAI or S&P? **NONMARA INTERNATIONAL PLC**

Please file a separate Disclosure Matter Page (DMP) for each action.

Back to Summary

Finish

Disclosures Question

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the Update/Withdraw Registration Information Menu.

Check the question you are disclosing the financial matter under:

None Question

0

Case Information

DISCLOSURE CASE INFORMATION

United States Bankruptcy Court (SDNY) location where the related bankruptcy case was filed: SOUTHERN DISTRICT OF NEW YORK

Case Number: 08-1389

ADJUDICATED CASE INFORMATION

Court where the [adversary action](#) was filed: UNITED STATES BANKRUPTCY COURT

Court Location: SOUTHERN DISTRICT OF NEW YORK

Case Number of [Adversary Action](#): 15-548

Adversary Action Status: PENDING

Other Information (JUNE 2012)

Comments

Use this field to provide a summary of the circumstances leading to the [adversary action](#) as well as status/disposition details.

MATTER DETAILS

NONMARA INTERNATIONAL PLC ("NIPIC") IS A DEFENDANT IN TWO ADVERSARY PROCEEDINGS BROUGHT BY THE TRUSTEE FOR LIQUIDATION OF BERNARD L. MADOFF INVESTMENT SECURITIES LLC ("BIMIS"). IN THE FIRST ADVERSARY PROCEEDING, THE TRUSTEE IS SEEKING AVOIDANCE AND RECOVERY OF PAYMENTS ALLEGEDLY MADE TO NIPIC BY HARVEY SENTRY LTD. AND HARVEY SIGMA LTD. COLLECTIVELY, THE "HARVEY FUNDS"; PICARD V. NONMARA INTERNATIONAL PLC, ADV. PRO. NO. 10-0361 (BK: BKRMK, S.D.N.Y.). THE HARVEY FUNDS, NOW IN LIQUIDATION, HAVE TENDERED FUNDS TO BLMIS. THE CLAIM IS FOR APPROXIMATELY \$2.5 MILLION PLUS INTEREST. THE LIQUIDATOR OF THE HARVEY FUNDS HAS ALSO BROUGHT AN ACTION TO RECOVER THE PAYMENTS MADE TO NIPIC BY THE HARVEY FUNDS. HARVEY SENTRY V. NONMARA INTERNATIONAL PLC, ADV. PRO. NO. 10-0361 (BK: BKRMK, S.D.N.Y.). IN THE SECOND ADVERSARY PROCEEDING, THE MADOFF TRUSTEE IS SEEKING RECOVERY OF REDEMPTION PAYMENTS MADE BY HARVEY INTERNATIONAL CAPITAL LTD. ("HICAP") TO NIPIC. PICARD V. NONMARA INTERNATIONAL PLC, ADV. PRO. NO. 11-2759 (BK: BKRMK, S.D.N.Y.). THE HARVEY FUNDS, NOW IN LIQUIDATION, WAS A FEEDER FUND TO BLMIS. THE CLAIM IS FOR APPROXIMATELY \$21.5 MILLION PLUS INTEREST. THE CASES WERE DISMISSED, BUT THE DISMISSAL WAS REVERSED BY AN APPEALS COURT AND THE CASES HAVE BEEN REMANDED TO THE US BANKRUPTCY COURT FOR FURTHER PROCEEDINGS.

THE REQUESTED JURISDICTION CONCERNING THE COMPLAINTS WAS PREVIOUSLY SENT TO THE NAI. THERE HAVE BEEN NO FINAL DISPOSITIONS.

Supporting Documentation

You must provide NAI with supporting documentation if not previously submitted. This includes the complaint and the final disposition for each [adversary action](#).

To upload supporting documentation, click the "Add Document" button. Only .pdf, .doc, .docx, .xl, and .xl document types are allowed. In lieu of attaching supporting documentation, you may email the supporting documentation to registration@edcfirms.org, fax it to 312-339-5411, or mail it to NAI Registration Department, 220 South Canal, Suite 2400, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NAI ID of the firm with the submission.

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Registration Contact Information

Viewed on January 22, 2024

NFA ID 0264077 NOMURA INTERNATIONAL PLC

| | |
|------------------|-------------------------|
| First Name | AARON |
| Last Name | CAPLAN |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1 | 1 ANGEL LANE |
| City | LONDON |
| Zip/Postal Code | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone | +44 20 7102 0152 |
| Email | AARON.CAPLAN@NOMURA.COM |

Enforcement/Compliance Communication Contact Information

Firm Business Locations

Return to View Mode

Exit this Business Locations

Business Information

Exempt Foreign Firm Contact Information

Location of Business Records

U.S. Address for Production of Business Records

Registration Contact Information

Enforcement/Compliance Communication Contact Information

Membership Contact Information

Summary

NFA ID0264077

NOMURA INTERNATIONAL PLC

Enter the information to identify the individual(s) to whom all enforcement and compliance communications and inquiries from the CFTC are to be directed. NFA may also send communications to the individual(s). To add another individual, click Add. When finished click File.

| Contact | Contact Information | |
|--------------------------------------|---|-----------------------|
| SALLY MCALLISTER, EXECUTIVE DIRECTOR | 1 ANGEL LANE LONDON EC4R 3AB UNITED KINGDOM PHONE: +44 20 7102 3363 SALLY.MCALLISTER@NOMURA.COM | <div>EditDelete</div> |
| JONATHAN STONE | 1 ANGEL LANE LONDON, EC4R 3AB UNITED KINGDOM PHONE: +4420 710 20605 JONATHAN.STONE@NOMURA.COM | <div>EditDelete</div> |

Add

Save and Continue

Return to View Mode

Membership Contact Information

Firm Business Locations

- [Return to View Mode](#)
- [Exit this Business Locations](#)
- [Business Information](#)
- [Exempt Foreign Firm Contact Information](#)
- [Location of Business Records](#)
- [U.S. Address for Production of Business Records](#)
- [Registration Contact Information](#)
- [Enforcement/Compliance Communication Contact Information](#)
- **[Membership Contact Information](#)**
- [Summary](#)

NFA ID 0264077

NOMURA INTERNATIONAL PLC

Enter the individual to whom all membership communications and inquiries are to be directed.

Membership Contact

[Click here](#) to copy the Registration Contact information

| | |
|-----------------------------|-----------------------------|
| First Name* | SALLY |
| Last Name* | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1* | 1 ANGEL LANE |
| Street Address 2 | |
| Street Address 3 | |
| City** | LONDON |
| State* (United States only) | --Select State-- |
| Province | |
| Zip/Postal Code** | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone* | +44 20 7102 3363 |
| Fax | |
| Email* | SALLY.MCALLISTER@NOMURA.COM |

Enter the individual to whom all accounting inquiries and invoices are to be directed.

Enter the individual to whom all accounting inquiries and invoices are to be directed.

Accounting Contact

[Click here](#) to copy the Membership Contact information

| | |
|-----------------------------|-----------------------------|
| First Name* | SALLY |
| Last Name* | MCALLISTER |
| Title | |
| Street Address 1* | 1 ANGEL LANE |
| Street Address 2 | |
| Street Address 3 | |
| City** | LONDON |
| State* (United States only) | --Select State-- |
| Province | |
| Zip/Postal Code** | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone* | +44 20 7102 3363 |
| Fax | |
| Email* | SALLY.MCALLISTER@NOMURA.COM |

Enter the individual to whom arbitration matters are to be directed.

Enter the individual to whom arbitration matters are to be directed.

Arbitration Contact

[Click here](#) to copy the Membership Contact information

| | |
|-----------------------------|-----------------------------|
| First Name* | SALLY |
| Last Name* | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1* | 1 ANGEL LANE |
| Street Address 2 | |
| Street Address 3 | |
| City** | LONDON |
| State* (United States only) | --Select State-- |
| Province | |
| Zip/Postal Code** | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone* | +44 20 7102 3363 |
| Fax | |
| Email* | SALLY.MCALLISTER@NOMURA.COM |

Enter the individual to whom compliance inquiries are to be directed.

Compliance Contact

[Click here](#) to copy the Membership Contact information

| | |
|-----------------------------|-----------------------------|
| First Name* | SALLY |
| Last Name* | MCALLISTER |
| Title | EXECUTIVE DIRECTOR |
| Street Address 1* | 1 ANGEL LANE |
| Street Address 2 | |
| Street Address 3 | |
| City** | LONDON |
| State* (United States only) | --Select State-- |
| Province | |
| Zip/Postal Code** | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone* | +44 20 7102 3363 |
| Fax | |
| Email* | SALLY.MCALLISTER@NOMURA.COM |

Enter the individual to whom assessment fee inquiries are to be directed.

Enter the individual who is the designated Chief Compliance Officer for the firm.

Enter the individual who is the designated Chief Compliance Officer for the firm.

Chief Compliance Officer Contact

[Click here](#) to copy the Membership Contact information

| | |
|-----------------------------|---------------------------|
| First Name* | JONATHAN |
| Last Name* | STONE |
| Title | MANAGING DIRECTOR |
| Street Address 1* | 1 ANGEL LANE |
| Street Address 2 | |
| Street Address 3 | |
| City** | LONDON |
| State* (United States only) | --Select State-- |
| Province | |
| Zip/Postal Code** | EC4R 3AB |
| Country | UNITED KINGDOM |
| Phone* | +44 20 710 22339 |
| Fax | |
| Email* | JONATHAN.STONE@NOMURA.COM |

*Required to file update.

**Required to file update for United States address.

Save and Continue

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