



Entity Profile Information

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

Current Status Information

Branch ID	Status	Effective Date
	ALSO SEE NFA ID 0303496	
	NFA MEMBER APPROVED	05/09/2013
	SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
	NFA ID 0344862 SG AMERICAS SECURITIES LLC	
	PRINCIPAL APPROVED	08/16/2010
	NFA ID 0434505 SOCIETE GENERALE INTERNATIONAL LIMITED	
	PRINCIPAL APPROVED	02/24/2016

Status History Information

Status	Effective Date
ALSO SEE NFA ID 0303496	
NFA MEMBER APPROVED	05/09/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
NFA MEMBER PENDING	12/18/2012
SWAP DEALER PENDING	12/18/2012
NFA ID 0284126 BAREP ASSET MANAGEMENT SA	
PRINCIPAL ENDED WITH BANQUE DE REESCOMPTE AT DE PLACEMENT	10/23/2001
PRINCIPAL ENDED WITH SOCIETE GENERALE ASSET MANAGEMENT	05/31/2001
PRINCIPAL COMPLETE WITH SOCIETE GENERALE ASSET MANAGEMENT	09/23/1998
PRINCIPAL COMPLETE WITH BANQUE DE REESCOMPTE AT DE PLACEMENT	09/23/1998

NFA ID 0243517 **BAREP ASSET MANAGEMENT USA INC**

PRINCIPAL ENDED WITH NEWEDGE GROUP	10/23/2001
PRINCIPAL COMPLETE WITH NEWEDGE GROUP	10/08/1992
PRINCIPAL ADDED WITH NEWEDGE GROUP	09/30/1992

NFA ID 0002905 **COWEN AND COMPANY LLC**

PRINCIPAL WITHDRAWN	04/01/2003
PRINCIPAL APPROVED	09/08/1999

NFA ID 0338032 **LYXOR ASSET MANAGEMENT SAS**

PRINCIPAL WITHDRAWN	01/13/2022
PRINCIPAL APPROVED	10/04/2012
PRINCIPAL PENDING	09/27/2012

NFA ID 0221520 **NEWEDGE USA LLC**

PRINCIPAL WITHDRAWN	01/02/2015
PRINCIPAL APPROVED	11/24/2014
PRINCIPAL PENDING	11/21/2014

NFA ID 0344862 **SG AMERICAS SECURITIES LLC**

PRINCIPAL APPROVED	08/16/2010
PRINCIPAL PENDING	08/12/2010

NFA ID 0434505 **SOCIETE GENERALE INTERNATIONAL LIMITED**

PRINCIPAL APPROVED	02/24/2016
PRINCIPAL PENDING	02/24/2016

NFA ID 0305014 **SOCIETE GENERALE NEW YORK BRANCH**

PRINCIPAL WITHDRAWN	01/22/2015
PRINCIPAL APPROVED	11/21/2000
PRINCIPAL PENDING	10/02/2000

Outstanding Requirements

Annual Due Date: 6/1/2022

4S SUBMISSIONS IN REVIEW

Disciplined Employee Summary



Business Information

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

Name	SOCIETE GENERALE S A
Form of Organization	CORPORATION
Country	FRANCE
Federal EIN	521128875
Business Address	
Street Address 1	17 COURS VALMY
City	PARIS LA DÉFENSE
Zip/Postal Code	92987 CEDEX
Country	FRANCE
Phone Number	+12122785656
Fax Number	Not provided
Email	LAURA.SCHISGALL@SGCIB.COM
Website/URL	HTTPS://WHOLESALE.BANKING.SOCIETEGENERALE.COM/
CRD/IARD ID	Not provided CORPORATION F



Other Names

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

SG ENERGY IN DECOMMISSION MODE

DBA NOT IN USE

SG OR SOC GEN

DBA IN USE

SGCIB SG CORPORATE & INVESTMENT BANK

DBA IN USE

SGSS SG SECURITIES SERVICES

DBA NOT IN USE



Location of Business Records

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

Street Address 1	PLEASE SEE ADDENDUM
Street Address 2	17 COURS VALMY
City	PARIS LA DEFENSE
Zip/Postal Code	92987 CEDEX
Country	FRANCE



U.S. Address for the Production of Business Records

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

Office Of	SOCIETE GENERALE NEW YORK BRANCH
Street Address 1	245 PARK AVENUE
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10167



Principal Information

Viewed on May 20, 2022

NFA ID 0244282 SOCIETE GENERALE S A

Individual Information

NFA ID	0468636
Name	BINI SMAGHI, LORENZO
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	08-31-2016

NFA ID	0483698
Name	CARTIER, SYLVAIN
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	10-27-2021

NFA ID	0519751
Name	CONNELLY, WILLIAM LEON ALFRED
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2019

NFA ID	0520793
Name	CONTAMINE, JEROME MARIE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2019

NFA ID	0520775
Name	COTE, DIANE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2019

NFA ID	0546913
Name	DUMAS, CLAIRE ELISABETH
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	05-10-2022

NFA ID	0532453
Name	FLEURY, ALEXANDRE DARIUS
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	10-05-2021

NFA ID	0463442
Name	HAZOU, KYRA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	03-18-2014

NFA ID	0457015
Name	HOUSSAYE, FRANCE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	07-15-2013

NFA ID	0493911
Name	KRUPA, SLAWOMIR
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	10-27-2021

NFA ID	0537036
Name	LANDON, STEPHANE
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED

Effective Date 03-29-2021

NFA ID 0497529
Name LATTUADA, CHRISTOPHE BERNARD
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 03-24-2022

NFA ID 0531188
Name MESSEMER, ANNETTE HILDEGARD
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 07-01-2020

NFA ID 0494732
Name MESTRALLET, GERARD
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 08-30-2016

NFA ID 0500283
Name NIN GENOVA, JUAN MARIA
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 01-26-2017

NFA ID 0457018
Name OUDEA, FREDERIC ROBERT ANDRE
Title(s) CHIEF EXECUTIVE OFFICER
10% or More Interest No
Status APPROVED
Effective Date 05-13-2013

NFA ID 0543268
Name POUPART LAFARGE, HENRI
Title(s) DIRECTOR
10% or More Interest No

Status	APPROVED
Effective Date	01-04-2022

NFA ID	0543230
Name	PRAUD, JOHAN AMAURY
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-14-2021

NFA ID	0519822
Name	ROCHET, LUBOMIRA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2019

NFA ID	0494720
Name	SCHAAPVELD, ALEXANDRA ELISABETH JOHANNA MARIA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	09-30-2016

NFA ID	0536723
Name	SIMON BARBOUX, GREGOIRE
Title(s)	CHIEF COMPLIANCE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	02-10-2021

NFA ID	0543267
Name	WETTER, SEBASTIEN MICHEL JACQUES MARIE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-14-2021

Holding Company Information
Not provided



Entity Profile Information

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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PRINCIPAL APPROVED	02/24/2016
PRINCIPAL PENDING	02/24/2016
NFA ID 0305014 SOCIETE GENERALE NEW YORK BRANCH	
PRINCIPAL WITHDRAWN	01/22/2015
PRINCIPAL APPROVED	11/21/2000
PRINCIPAL PENDING	10/02/2000

Outstanding Requirements

Annual Due Date: 6/1/2022

4S SUBMISSIONS IN REVIEW

Disciplined Employee Summary



Disciplinary Information - Criminal Disclosures

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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 April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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

Online Registration System
Disciplinary Information - Firm Regulatory Disclosure Matter Page

NFA ID 0244282 - SOCIETE GENERALE S A

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

☐ D ☐ E ☐ F ☐ G ☐ H ☐ I

Regulatory Case Information

REGULATORY INFORMATION

Regulatory/Civil Action initiated by:
NON-U.S. REGULATOR Name of Regulatory Body: AUTORITE DES MARCHES FINANCIERS (AMF)

CASE INFORMATION

Case Number: TRA-2017-09
Case Status: FINAL
Date Resolved:

APRIL 2017

Were any of the following sanctions imposed?:
Other: CEASE AND DESIST AND CIVIL MONETARY PAYMENT

Comments

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

In the Matter of SG SA, TRA-2017-09 (April 5 2017): SOCIETE GENERALE entered into a settlement agreement with the The French Autorité des Marchés Financiers ("AMF") following a March 2015 audit related to SG's independent research and financial analysis activities dated March 2015. The AMF alleged, with respect to a limited number of samples tested, that SG:

(i) Failed to include, certain required information in its research notes or that the latter contained erroneous statements, non-factual statements and were not systematically reviewed by Compliance in violation of AMF articles 313-27, 315-1, 315-3, 315-5, 315-6 and 315-7

(ii) Failed to implement a supervision framework, procedure and controls to mitigate non-compliance risks with the AMF regulation on the topic in violation of AMF articles 313-1, 313-2 and 313-3

(iii) Failed to adequately manage confidential information in the context of its investment research activity in violation of AMF articles 313-2 and 315-16.

A. Who was involved: AMF Commission

B. When it occurred: March 20, 2015

C. What the allegations were: See above

D. Final determination, if any: monetary payment of 450,000 euros

E. Date of the determination: April 5, 2017

F. Summary of the circumstances: See above, this disclose item relates to Question E on the Form 7-R

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, 300 S. Riverside Plaza, Suite 1800, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

Show All entries

Search:

Description	Uploaded File
TRA-2017-09 - ACCORD DE COMPOSITION ADMINISTRATIVE CONCLU LE 5 AVRIL 2017 AVEC LA SOCIETE GENERALE	TRA201709 Accord de composition administrative conclu le 5 avril 2017 avec la Societe Generale.pdf

◀ Back to Summary

Online Registration System
Disciplinary Information - Firm Regulatory Disclosure Matter Page

NFA ID 0244282 - SOCIETE GENERALE S A

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

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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:
NON-U.S. REGULATOR Name of Regulatory Body: AUTORITE DES MARCHES FINANCIERS (AMF)

CASE INFORMATION

Case Number: SAN-2016-01
Case Status: FINAL
Date Resolved:

JANUARY 2016

Were any of the following sanctions imposed?:

Other: CEASE AND DESIST AND CIVIL MONETARY PENALTY

Comments

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

In the Matter of SG SA, SAN-2016-01 (January 11, 2016): The French Autorité des Marchés Financiers ("AMF") Sanction Commission alleged that, from January 1, 2008 through June 30, 2010, SG (i) failed to, directly or through its external provider, report to the AMF or other European regulators at least 61 million transactions and misreported to the AMF and others European regulators a number of transactions details, in violation of the French monetary code (articles L. 533-9 and L. 621-7-1) as well as AMF regulations and (ii) failed to implement an adequate supervision framework for its delegated reporting in violation of the French monetary code (L. 533-10 and L. 313-1 to 313-3) and AMF regulations. The AMF Commission on Sanction ordered, in a decision issued on January 11, 2016, SG to pay a monetary fine of 2,000,000 euros for a breach of its transaction reporting obligations to the regulators under the MIF regulation as transposed in French law. The decision is published on the AMF website.

- A. Who was involved: AMF Sanction Commission
- B. When it occurred: 1st November 2007 through 30 June 2010
- C. What the allegations were: under-reporting of transactions, misreporting of transaction details and lack of supervision of third-party provider for delegated reporting.
- D. Final determination, if any: monetary penalty of 2 million euros.
- E. Date of the determination: January 11, 2016
- F. Summary of the circumstances: See above, this disclose item relates to Question E on the Form 7-R

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, 300 S. Riverside Plaza, Suite 1800, Chicago, Illinois 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

Show

All



entries

Search:

Description	Uploaded File
SAN-2016-01-DECISION-DE-LA-COMMISSION-DES-SANCTIONS-DU-11-JANVIER-2016	san201601decisiondelacommissiondessanctionsdu11janvier2016.pdf

◀ Back to Summary

Online Registration System
Disciplinary Information - Firm Regulatory Disclosure Matter Page

NFA ID 0244282 - SOCIETE GENERALE S A

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.

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Disclosure Questions

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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.

ON NOVEMBER 19, 2018, SOCIETE GENERALE NEW YORK BRANCH, ENTERED INTO A CONSENT ORDER WITH THE NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES TO RESOLVE AN ENFORCEMENT ACTION BASED ON THE NYDFS FINDING THAT FROM 2003 TO 2013 SG FAILED TO TAKE SUFFICIENT STEPS TO ENSURE COMPLIANCE WITH U.S. SANCTIONS LAWS AND REGULATIONS IN A TIMELY MANNER. THE NYDFS FURTHER FOUND I THAT INDIVIDUALS RESPONSIBLE FOR ORIGINATING U.S. DOLLAR USD TRANSACTIONS OUTSIDE OF THE UNITED STATES HAD A MINIMAL UNDERSTANDING OF U.S. SANCTIONS LAWS AND REGULATIONS AS THEY RELATED TO SUDAN, IRAN, CUBA, NORTH KOREA, OR OTHER U.S. SANCTIONS COUNTRIES; II THAT SG EXECUTED MORE THAN 9,000 OUTBOUND USD PAYMENTS, VALUED AT OVER 13 BILLION, IN AN IMPROPER, NON-TRANSPARENT MANNER, MORE THAN 12.5 BILLION OF WHICH INVOLVED IRAN, NEARLY 130 MILLION WERE CONNECTED TO CUBA, AND APPROXIMATELY 29 MILLION WERE TIED TO SUDAN; III THAT SG EXECUTED MORE THAN 2,600 OUTBOUND USD PAYMENTS, VALUED AT APPROXIMATELY 8.3 BILLION, IN VIOLATION OF APPLICABLE U.S. ECONOMIC SANCTIONS, THE VAST MAJORITY OF WHICH WERE LINKED TO CUBA AND IV THAT SG MADE FALSE ENTRIES IN THE BANK'S BOOKS, REPORTS AND STATEMENT AND OMITTED AND CAUSED TO BE OMITTED MATERIAL INFORMATION. THIS CONDUCT RESULTED IN MULTIPLE VIOLATIONS OF NEW YORK STATE LAWS AND REGULATIONS. SG AGREED TO PAY A PENALTY OF 325,000,000 AND TO UNDERTAKE CERTAIN SPECIFIED REMEDIAL ACTIONS. A COPY OF THE CONSENT ORDER IS AVAILABLE ON THE NYDFS WEBSITE. SG ALSO ENTERED INTO CERTAIN RELATED SETTLEMENT AGREEMENTS, SPECIFICALLY A DEFERRED PROSECUTION AGREEMENT WITH THE U.S. DEPARTMENT OF JUSTICE WITH A PENALTY OF 717.2 MILLION, A DPA WITH THE NEW YORK COUNTY DISTRICT ATTORNEY'S OFFICE WITH A PENALTY OF 162.8 MILLION, A SETTLEMENT AGREEMENT WITH THE U.S. DEPARTMENT OF TREASURY'S OFFICE OF FOREIGN ASSET CONTROL WITH A PENALTY OF 53.9 MILLION, AND AN ORDER TO CEASE AND DESIST AND ORDER OF ASSESSMENT OF A CIVIL MONEY

Supporting Documentation

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NFA ID 0244282 - SOCIETE GENERALE S A

All the DMP section data has been loaded.

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.

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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

OD OE OF OG OH OI

Regulatory Case Information

REGULATORY INFORMATION

Regulatory/Civil Action initiated by:
Name of Regulatory Body:

CASE INFORMATION

- 2 Case Number:
- 2 Case Status:
- 2 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.

THE INFORMATION RESPONSIVE TO QUESTIONS D, E AND G ("DISCIPLINARY INFORMATION - REGULATORY DISCLOSURES") ON PAGE 20 OF SG'S FORM 7-R HAS BEEN SUBMITTED BY THE APPLICANT IN A SEPARATE ADDENDUM, WHICH HAS BEEN SENT VIA E-MAIL TO NFA.FUTURES.ORG. DUE TO THE APPLICANT'S LENGTHY EXISTENCE (IN ITS ORIGINAL FORM, THE APPLICANT WAS FORMED IN 1864), THE APPLICANT HAS NOT PROVIDED RESPONSES TO ANY QUESTIONS IN THIS APPLICATION, INCLUDING QUESTIONS D, E AND G, WITH RESPECT TO EVENTS OCCURRING PRIOR TO 2007 (OTHER THAN AS OTHERWISE INDICATED). IN ADDITION, DUE TO THE APPLICANT'S GLOBAL SCOPE AND LARGE SIZE, THE APPLICANT ALSO HAS ONLY DISCLOSED MATTERS THAT HAVE PREVIOUSLY BEEN DISCLOSED PUBLICLY BY (OR ABOUT) THE APPLICANT EITHER IN ITS 2012 REGISTRATION DOCUMENT ("DOCUMENT DE RÉFÉRENCE," FILED WITH THE AUTORITÉ DES MARCHÉS FINANCIERS ("AMF") ON MARCH 2, 2012), SINCE THE DATE OF SUCH FILING OR OTHERWISE. MOREOVER, APPLICANTS ANSWERS TO QUESTIONS IN THIS APPLICATION, INCLUDING QUESTIONS D, E AND G, ONLY RELATE TO ACTIVITIES THAT OCCURRED IN SOCIETE GENERALE ITSELF AND NOT IN ITS SUBSIDIARIES OR AFFILIATES.

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, 300 S. Riverside Plaza, Suite 1800, 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 Disclosures

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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

Online Registration System

Disciplinary Information - Firm Financial Disclosure Matter Page

NFA ID 0244282 - SOCIETE GENERALE S A

All the DMP section data has been loaded.

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

Back to Summary

Amend

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:

Show Question

0 1

Case Information

BANKRUPTCY CASE INFORMATION

- United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed:
- Case Number:

ADVERSARY CASE INFORMATION

- 1 Court where the adversary action was filed:
- 2 Court Location:
- 3 Case Number of Adversary Action:
- 4 Adversary Action Status:

Comments

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

THE INFORMATION RESPONSIVE TO QUESTION J ("DISCIPLINARY INFORMATION -FINANCIAL DISCLOSURES") ON PAGE 20 OF SG'S FORM 7-R HAS BEEN SUBMITTED BY THE APPLICANT IN A SEPARATE ADDENDUM, WHICH HAS BEEN SENT VIA E-MAIL TO NFA.FUTURES.ORG. DUE TO THE APPLICANT'S LENGTHY EXISTENCE (IN ITS ORIGINAL FORM, THE APPLICANT WAS FORMED IN 1864), THE APPLICANT HAS NOT PROVIDED RESPONSES TO ANY QUESTIONS IN THIS APPLICATION, INCLUDING QUESTION J, WITH RESPECT TO EVENTS OCCURRING PRIOR TO 2007 (OTHER THAN AS OTHERWISE INDICATED). IN ADDITION, DUE TO THE APPLICANT'S GLOBAL SCOPE AND LARGE SIZE, THE APPLICANT HAS ASSUMED A MATERIALITY THRESHOLD FOR PROVIDING ANSWERS TO THIS INCLUDING QUESTION J OF \$30 MILLION. THE APPLICANT ALSO HAS ONLY DISCLOSED MATTERS THAT HAVE PREVIOUSLY BEEN DISCLOSED PUBLICLY BY (OR ABOUT) THE APPLICANT EITHER IN ITS 2012 REGISTRATION DOCUMENT ("DOCUMENT DE RÉFÉRENCE," FILED WITH THE AUTORITÉ DES MARCHÉS FINANCIERS ("AMF") ON MARCH 2, 2012), SINCE THE DATE OF SUCH FILING OR OTHERWISE. MOREOVER, APPLICANT'S ANSWERS TO QUESTIONS IN THIS APPLICATION, INCLUDING QUESTION J, ONLY RELATE TO ACTIVITIES THAT OCCURRED IN SOCIÉTÉ GÉNÉRALE ITSELF AND NOT IN ITS SUBSIDIARIES OR AFFILIATES.

Supporting Documentation

You must provide NFA 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, .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, 300 S. Riverside Plaza, Suite 1800, 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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Enforcement/Compliance Communication Contact Information

Viewed on April 12, 2022

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Membership Information

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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? Yes

THE SECURITIES AND EXCHANGE COMMISSION

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM



Membership Contact Information

Viewed on April 12, 2022

NFA ID 0244282 SOCIETE GENERALE S A

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NFA ID

0244282

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Branch Office Manager List

SOCIETE GENERALE S A

No information available.

Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

Firm Profile

- Branch Office Manager List
- Swap Associated Person List
- Employee List (by office)
- Guarantee Agreement Information
- Exempt Foreign Firm Information
- Part 4 Exemptions

Internal Processing

- View Registration Information
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Registration and Membership

- Current Registration Status
- Registration History

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