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# National Futures Association

Firm Application (7R) Filed December 13, 2012

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**OMB Number** 3038-0072

**NFA ID** 0443823 CREDIT SUISSE INTERNATIONAL

**Submitted By** CASALEF FRANCINE CASALE

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## Instructions

**READ THESE INSTRUCTIONS CAREFULLY BEFORE COMPLETING OR REVIEWING THE APPLICATION. THE FAILURE TO ANSWER ALL QUESTIONS COMPLETELY AND ACCURATELY OR THE OMISSION OF REQUIRED INFORMATION MAY RESULT IN THE DENIAL OR REVOCATION OF REGISTRATION.**

### DEFINED TERMS

Words that are underlined in this form are defined terms and have the meanings contained in the Definition of Terms section.

### GENERAL

Read the Instructions and Questions Carefully

A question that is answered incorrectly because it was misread or misinterpreted can result in severe consequences, including denial or revocation of registration. Although this applies to all questions in the application, it is particularly important to the questions in the Disciplinary Information Section.

Rely Only on Advice from NFA Staff

A question that is answered incorrectly because of advice received from a lawyer, employer, a judge or anyone else (other than a member of NFA's Registration, Compliance, Legal or Information Center ("RCLI") departments) can result in severe consequences, including denial or revocation of registration. This also applies to all questions in the form, but is particularly important regarding the Disciplinary Information Section. If the language of a question in the Disciplinary Information Section requires disclosure of a matter, a "Yes" answer to the question is required no matter what other advice has been received from anyone other than NFA's RCLI staff. Additionally, the applicant or registrant remains responsible for failures to disclose even if someone completes the form on the applicant's or registrant's behalf.

Update the Information on the Application

If information provided on the application changes or a matter that would have required disclosure on the application occurs after the application is filed, the new information must be promptly filed. APs and Principals should advise their Sponsors of the new information, and the Sponsor must file the update on their behalf. The failure to promptly update information can result in severe consequences, including denial or revocation of registration.

Compliance with Disclosure Requirements of Another Regulatory Body is not Sufficient

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With some exceptions, which are described below in the Regulatory and Financial Questions sections, if any question requires the provision of information, that information must be provided. In particular, if a question in the Disciplinary Information Section requires disclosure of a matter, the question must be answered "Yes" and additional documents must be provided even if the matter has been disclosed to another regulatory body such as FINRA, an exchange or a state regulator. Similarly, disclosure is required even if another regulatory body does NOT require disclosure of the same matter.

## Call NFA with Questions

If there is any question about whether particular information must be provided, whether a particular matter must be disclosed or whether a particular question requires a "Yes" answer, call the NFA Information Center at (312) 781-1410. Representatives are available from 8:00 a.m. to 5:00 p.m., Central Time, Monday through Friday. If the advice of NFA staff is sought, a written record containing the date of the conversation, the name of the NFA staff person giving the advice and a description of the advice should be made during the conversation and kept in the event an issue concerning disclosure of the matter arises later.

## DISCIPLINARY INFORMATION SECTION

### Criminal Disclosures

Some common mistakes in answering the criminal disclosure questions involve expungements, diversion programs and similar processes. The Commodity Futures Trading Commission requires a "Yes" answer even if the matter has been expunged or the records sealed, there was no adjudication or finding of guilt, the guilty plea was vacated or set aside or the matter was dismissed upon completion of the diversion program.

Another common error regarding criminal matters concerns matters that do not involve the futures industry. All criminal matters must be disclosed, even if a matter is unrelated to the futures industry, unless the case was decided in a juvenile court or under a Youth Offender law.

### Regulatory Disclosures

Regulatory actions taken by the Commodity Futures Trading Commission, NFA or domestic futures exchanges do not need to be disclosed since NFA is already aware of them once they are entered into NFA's BASIC system.

### Financial Disclosures

It is not necessary to disclose arbitration or CFTC reparations matters unless the applicant or registrant has failed to pay an award issued in a futures-related arbitration or an order entered in a

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reparations matter.

Only adversary actions that a bankruptcy trustee or a trustee's attorney files must be disclosed. Adversary actions that creditors file are not disclosable. A person named as a party to an adversary action in a bankruptcy proceeding must disclose the action, even if the person is not the bankrupt person.

### ADDITIONAL DOCUMENTS

For any matter that caused a "Yes" answer, a written explanation detailing the events and conduct must be provided. That explanation can be entered on the Matter pages by giving it a name, e.g., the docket number of the case, and describing it in the text box. Alternatively, the explanation can be sent in hard copy format to NFA.

In addition to the required explanation, other documents about the matter must be sent to NFA. If court documents are unavailable, a letter from the court verifying that must be sent to NFA. If documents other than court documents are unavailable, the person must provide a written explanation for their unavailability.

Like answering the questions correctly, providing all documents to NFA is important. Failure to do so will delay the registration process and may result in a denial of the application.

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## Definition of Terms

(The following terms are defined solely for the purpose of using NFA's Online Registration System.)

**10% OR MORE INTEREST:** direct or indirect ownership of 10% or more of an applicant's or registrant's stock; entitlement to vote or empowered to sell 10% or more of an applicant's or registrant's voting securities; contribution of 10% or more of an applicant's or registrant's capital; or entitlement to 10% or more of an applicant's or registrant's net profits.

**ADJUDICATION:** in a criminal case, a determination by the court that the defendant is guilty or not guilty.

**ADVERSARY ACTION:** a lawsuit arising in or related to a bankruptcy case commenced by a creditor or bankruptcy trustee by filing a complaint with the bankruptcy court.

**ALIAS:** another name utilized by an individual or previously used by an entity.

**CHARGE:** a formal complaint, information, indictment or equivalent instrument containing an accusation of a crime.

**DBA:** abbreviation for Doing Business As. The firm is doing its futures, retail off-exchange forex or swaps business by this name.

### DESIGNATED SUPERVISOR:

Solely for the purpose of determining whether the Branch Manager Examination (Series 30) is required, Designated Supervisor means a person who is registered with FINRA (formerly known as NASD) as a General Securities Representative and has been designated to act as the supervisor of an office that is not an Office of Supervisory Jurisdiction ("non-OSJ"), provided that:

- either the futures activity conducted in the non-OSJ that is subject to the Designated Supervisor's supervision is limited to activity not requiring the Series 3 Examination and both the Designated Supervisor and the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports have otherwise satisfied NFA's Proficiency Requirements appropriate to their supervisory activities; or
- the activity that is conducted in the non-OSJ that requires the Series 3 Examination is supervised by the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports and both the Designated Supervisor and Branch Office Manager have passed the Series 3 Examination.

**ENJOINED:** subject to an injunction.

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**ENTITY:** any person other than an individual.

**FELONY:** any crime classified as a felony and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of more than one year. The term also includes a general court martial.

**FINANCIAL SERVICES INDUSTRY:** the commodities, securities, accounting, banking, finance, insurance, law or real estate industries.

**FOUND:** subject to a determination that conduct or a rule violation has occurred. The term applies to dispositions of any type, including but not limited to consent decrees or settlements in which the findings are neither admitted nor denied or in which the findings are for settlement or record purposes only.

**INTERNAL REVENUE CODE:**

Section 7203: Willful Failure to File Return, Supply Information or Pay Tax

Section 7204: Fraudulent Statement or Failure to Make Statement

Section 7205: Fraudulent Withholding Exemption Certificate or Failure to Supply Information

Section 7207: Fraudulent Returns, Statements or Other Documents

**INVESTMENT RELATED STATUTES:**

- The Commodity Exchange Act
- The Securities Act of 1933
- The Securities Exchange Act of 1934
- The Public Utility Holding Company Act of 1935
- The Trust Indenture Act of 1939
- The Investment Advisers Act of 1940
- The Investment Company Act of 1940
- The Securities Investors Protection Act of 1970
- The Foreign Corrupt Practices Act of 1977
- Chapter 96 of Title 18 of the United States Code
- Any similar statute of a State or foreign jurisdiction
- Any rule, regulation or order under any such statutes; and
- The rules of the Municipal Securities Rulemaking Board

**MISDEMEANOR:** any crime classified as a misdemeanor and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of at least six days but not more than one year. By way of example, an offense for which the maximum period of imprisonment is 60 days would be considered a misdemeanor. The term also includes a special court martial.

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**OTHER NAME:** For firms or sole proprietors, any other name that the applicant uses or has used in the past for its futures, retail off-exchange forex or swaps business but not the name of any other legal entity that the applicant has an affiliation or association with (see **DBA**). For individuals, this is any name the person is or has been known by. For example, a maiden name, an alias name that you use or are known by, or a previous name if you have changed your legal name.

**PERSON:** an individual, association, partnership, corporation, limited liability company, limited liability partnership, trust, or other form of business organization.

**PRINCIPAL:** an individual who is:

- a sole proprietor of a sole proprietorship; or
- a general partner of a partnership; or
- a director, president, chief executive officer, chief operating officer or chief financial officer of a corporation, limited liability company or limited partnership; or
- in charge of a business unit, division or function of a corporation, limited liability company or limited partnership if the unit, division or function is subject to regulation by the Commission; or
- a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; or

an individual who directly or indirectly, through agreement, holding companies, nominees, trusts or otherwise:

- is the owner of 10% or more of the outstanding shares of any class of a registrant's stock; or
- is entitled to vote 10% or more of any class of a registrant's voting securities; or
- has the power to sell or direct the sale of 10% or more of any class of a registrant's voting securities; or
- has contributed 10% or more of a registrant's capital; or
- is entitled to receive 10% or more of a registrant's net profits; or
- has the power to exercise a controlling influence over a registrant's activities that are subject to regulation by the Commission; or

an **entity** that:

- is a general partner of a registrant; or
  - is the direct owner of 10% or more of any class of a registrant's securities; or
  - has directly contributed 10% or more of a registrant's capital unless such capital contribution consists of subordinated debt contributed by:
    - an unaffiliated bank insured by the Federal Deposit Insurance Corporation; or
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- a United States branch or agency of an unaffiliated foreign bank that is licensed under the laws of the United States and regulated, supervised and examined by United States government authorities having regulatory responsibility for such financial institutions; or

- an insurance company subject to regulation by any State.

**SELF-REGULATORY ORGANIZATION (SRO):** a private, non-governmental organization authorized to set and enforce standards or conduct for an industry. NFA, FINRA (formerly known as NASD), and the securities and futures exchanges in the U.S. are examples of domestic SROs.

**UNITED STATES CRIMINAL CODE:**

Section 152:	Concealment of assets, making false claims or bribery in connection with a bankruptcy
Section 1341, 1342 or 1343:	Mail fraud
Chapter 25:	Counterfeiting and forgery
Chapter 47:	Fraud or false statements in a matter within the jurisdiction of a United States department or agency
Chapter 95 or 96:	Racketeering and Racketeering Influence

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### Privacy Act and Paperwork Reduction Act Notice

The information in Forms 7-R, 7-W, 8-R and 8-T and on the fingerprint card is being collected pursuant to authority granted in Sections 2c, 4f, 4k, 4n, 4s, 8a and 19 of the Commodity Exchange Act [7 U.S.C. §§ 6f, 6k, 6n, 6s, 12a and 23]. Under Section 2c, it is unlawful for anyone to engage in off-exchange foreign currency futures transactions or off-exchange foreign currency leveraged, margined or financed transactions with persons who are not eligible contract participants without registration, or exemption from registration, as a retail foreign exchange dealer, futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor, as appropriate. Under Section 4d of the Commodity Exchange Act [7 U.S.C. §6d], it is unlawful for anyone to act as a futures commission merchant or introducing broker without being registered in that capacity under the Act. Under Section 4m of the Commodity Exchange Act [7 U.S.C. §6m], it is unlawful for a commodity trading advisor or commodity pool operator to make use of the mails or any means or instrumentality of interstate commerce in connection with his business as a commodity trading advisor or commodity pool operator without being registered in the appropriate capacity under the Act, except that a commodity trading advisor who, during the course of the preceding 12 months, has not furnished commodity trading advice to more than 15 persons and does not hold himself out generally to the public as a commodity trading advisor, need not register. Under Section 4s of the Commodity Exchange Act [7 U.S.C. §6s], it is unlawful for anyone to act as a swap dealer or major swap participant without being registered in that capacity under the Act. Under Section 19 of the Commodity Exchange Act [7 U.S.C. §23] and Section 31.5 of the CFTC's regulations, it is unlawful for anyone to act as a leverage transaction merchant without being registered in that capacity under the Act.

The information requested in Form 7-R is designed to assist NFA and the CFTC, as appropriate, in determining whether the application for registration should be granted or denied and to maintain the accuracy of registration files. The information in Form 7-W is designed to assist NFA and the CFTC in determining whether it would be contrary to the requirements of the Commodity Exchange Act, or any rule, regulation or order thereunder, or the public interest to permit withdrawal from registration.

The information requested in Form 8-R and on the fingerprint card will be used by the CFTC or NFA, as appropriate, as a basis for initiating an inquiry into the individual's fitness to be an associated person, floor broker or floor trader or to be a principal of a futures commission merchant, swap dealer, major swap participant, retail foreign exchange dealer, introducing broker, commodity trading advisor, commodity pool operator, leverage transaction merchant or non-natural person floor trader. Portions of the information requested in Form 8-R will be used by the CFTC and, in appropriate cases, by NFA, to confirm the registration of certain associated persons. The information requested in Form 8-T will be used by the CFTC, and, in appropriate cases, by NFA, to record the registration status of the individual and, in appropriate cases, as a basis for further inquiry into the individual's fitness to remain in business subject to the CFTC's jurisdiction.

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With the exception of the social security number, all information in Forms 8-R and 8-T must be furnished. Disclosure of the social security number is voluntary. Disclosure of the Federal employer identification number is voluntary. The social security number and the Federal employer identification number are sought pursuant to the Debt Collection Improvement Act of 1996. Under the Debt Collection Improvement Act, a social security number or a taxpayer identifying number furnished to the CFTC as part of the registration process can be used for purposes of collecting and reporting on any debt owed to the U.S. Government, including civil monetary penalties. The furnishing of a social security number or Federal employer identification number, however, assists the CFTC and NFA in identifying individuals and firms and therefore expedites the processing of those forms.

The failure by an applicant, registrant or principal to timely file a properly completed Form 7-R and all other related required filings may result in the denial of an application for registration or withdrawal thereof or, in the case of an annual records maintenance fee, treating the registrant as having petitioned for withdrawal. Failure by an applicant, registrant or principal to timely file or cause to be filed a properly completed Form 8-R or 8-T, any other required related filings, or a fingerprint card may result in the lapse, denial, suspension or revocation of registration, withdrawal of the application or other enforcement or disciplinary action by the CFTC or NFA.

With the exception of the fingerprint card, any information contained in the Personal Information Section and any information contained in Matter Information pages related to the Disciplinary Information Sections on Form 8-R and on Form 8-T or Item 7 on Form 8-W, the Forms 7-R, 7-W, 8-R and 8-T are considered by the CFTC to be public records and will be available for inspection by any person. Copies will be maintained by National Futures Association, Registration Department, Suite 1800, 300 S. Riverside Plaza, Chicago, IL 60606-6615. Further, the CFTC or NFA may disclose the fingerprint card and any other information described above to third parties pursuant to routine uses which the CFTC has published in the Federal Register or as otherwise authorized under the Privacy Act, [5 U.S.C. §552a], and the Commodity Exchange Act. Disclosure of such information may be made by the CFTC as follows: (1) in connection with administrative proceedings or matters in litigation; (2) in connection with investigations; (3) where the information is furnished to regulatory, self-regulatory and law enforcement or other governmental agencies to assist them in meeting responsibilities assigned to them by law or made available to any member of Congress who is acting in his or her capacity as a member of Congress; (4) where disclosure is required under the Freedom of Information Act [5 U.S.C. §552]; (5) in connection with an employer's hiring or retention of an employee; (6) in connection with the verification of information submitted for sponsorship purposes; (7) in other circumstances in which the withholding of such information appears unwarranted; and (8) in connection with legally required or authorized reports. Disclosure may be made by NFA in accordance with rules approved by the CFTC.

If an individual believes that the placing in the CFTC's or NFA's public files of any of the information contained in the Personal Information Section or in Matter Information pages related

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to Disciplinary Information on Form 8-R and on Form 8-T or Item 7 on Form 8-W, or on the fingerprint card would constitute an unwarranted invasion of his personal privacy, the individual may petition the CFTC, pursuant to 17 CFR 145.9, to treat such information as confidential in response to requests under the Freedom of Information Act (FOIA) [5 U.S.C. §552]. The CFTC will make no determination as to confidential treatment of information submitted unless and until the information is the subject of an FOIA request. The filing of a petition for confidential treatment, however, does not guarantee that the information will be treated confidentially in response to an FOIA request.

Forms which have not been prepared and executed in compliance with applicable requirements may not be acceptable for filing. Acceptance of this form shall not constitute any finding that the information is true, current or complete. Misstatements or omissions of fact may constitute federal criminal violations [7 U.S.C. §13 and 18 U.S.C. §1001] or grounds for disqualification from registration.

This notice is provided in accordance with the requirements of the Privacy Act [5 U.S.C. §552a(e)(3)] and summarizes some of an individual's rights under the Privacy Act [5 U.S.C. §552a] and the Freedom of Information Act [5 U.S.C. §552]. Individuals desiring further information should consult the CFTC's regulations under the Privacy Act, 17 CFR Part 146, and under the Freedom of Information Act, 17 CFR Part 145, and the CFTC's annual notice, published in the Federal Register, pursuant to the Privacy Act, of the existence and character of each system of records maintained by the CFTC.

You are not required to provide the information requested on a form subject to the Paperwork Reduction Act unless the form displays a valid OMB Control Number.

The time needed to complete and file Form 7-R, Form 3-R, Form 7-W, Form 8-R and Form 8-T and Form 8-W may vary depending upon individual circumstances. The estimated average times are:

Form 7-R

FCM	0.5 hours
SD	1.0 hours
MSP	1.0 hours
RFED	0.5 hours
IB	0.4 hours
CPO	0.4 hours
CTA	0.4 hours
FT	0.5 hours

Form 3-R	0.1 hours
Form 7-W	0.1 hours
Form 8-R	0.8 hours
Form 8-T	0.2 hours

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Form 8-W 0.1 hours.



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## Registration Categories

NFA MEMBER

SWAP DEALER

## Membership Information

Not applicable.





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### Business Information

<b>Business Address</b>	1 CABOT SQUARE LONDON E14 4QJ UNITED KINGDOM
<b>Phone Number</b>	44 207888 1600
<b>Fax Number</b>	Not provided.
<b>E-mail Address</b>	MARK.HART@CREDIT-SUISSE.COM
<b>Website / URL</b>	WWW.CREDIT-SUISSE.COM
<b>Federal EIN</b>	2500199
<b>CRD ID</b>	Not provided.
<b>Form of Organization</b>	OTHER
<b>Location</b>	UNITED KINGDOM
<b>Other Names</b>	CREDIT SUISSE FINANCIAL PRODUCTS DBA NOT IN USE  CREDIT SUISSE FIRST BOSTON INTERNATIONAL DBA NOT IN USE

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## Location of Business Records

### Business Records Address

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

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

CREDIT SUISSE SECURITIES (USA) LLC  
11 MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES



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### Holding Company Information

Name: CREDIT SUISSE AG  
10% or more interest? YES

Name: CREDIT SUISSE GROUP AG  
10% or more interest? YES



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## Regulator Information

### Non-U.S. Regulator(s) During The Past Five Years

FSA

**U.S. Regulator(s)**

THE SECURITIES AND EXCHANGE COMMISSION



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## Disciplinary Information

### Criminal Disclosures

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

**THE FIRM OR SOLE PROPRIETOR MUST ANSWER "YES" TO THE QUESTIONS ON THIS PAGE 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 FIRM OR SOLE PROPRIETOR MAY ANSWER "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.**

A. Has the firm or sole proprietor ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony in any domestic, foreign or military court? **YES**

B. Has the firm or sole proprietor ever pled guilty to or been convicted or found guilty of any misdemeanor in any domestic, foreign or military court which involves: **NO**

- 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 United States Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or

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securities?

C. Is the firm or sole proprietor a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions? **NO**

For any "Yes" answer to the questions above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer? **NO**



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## Regulatory Disclosures

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

D. In any case brought by a domestic or foreign governmental body (other than the CFTC), has the firm or sole proprietor ever been permanently or temporarily enjoined 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: **NO**

- 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?

E. In any case brought by a domestic or foreign governmental body (other than the CFTC), has the firm or sole proprietor ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to: **YES**

- have violated any provision of any investment-related statute or regulation; 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?

F. Has the firm or sole proprietor ever been debarred by any agency of the United States from contracting with the United States? **NO**

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

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H. Are any of the orders or other agreements described in Question G currently in effect against the firm or sole proprietor? **NO**

I. Is the firm or sole proprietor a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions? **NO**

For any "Yes" answer to the questions above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer? **NO**





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### Financial Disclosures

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

J. Has the firm or sole proprietor ever been the subject of an adversary action brought by, or on behalf of, a bankruptcy trustee? **NO**

For any "Yes" answer to the question above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer? **N/A**



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## National Futures Association

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**Submitted By** CASALEF FRANCINE CASALE

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### Contact Information

#### Registration Contact

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### Arbitration Contact

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**Enforcement/Compliance Communication Contact**

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**Enforcement/Compliance Communication Contact**

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### Firm Certification Statement

BY FILING THIS FORM 7-R, THE APPLICANT AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S

certification that the answers and the information provided in the Form 7-R are true, complete and accurate and that in light of the circumstances under which the applicant has given them, the answers and statements in the Form 7-R are not misleading in any material respect;

certification that the person who electronically files the Form 7-R on behalf of the applicant is authorized by the applicant to file the Form 7-R and to make the certifications, representations, requests, acknowledgements, authorizations and agreements contained in this agreement;

certification that, if the applicant is an applicant for registration as an SD or MSP, the applicant undertakes that, no later than ninety (90) days following the date this Form 7-R is filed, it will be and shall remain in compliance with the requirement of Section 4s(b)(6) of the Act that, except to the extent otherwise specifically provided by rule, regulation or order, the applicant will not permit any person associated with it who is subject to a statutory disqualification to effect or be involved in effecting swaps on behalf of the applicant, if the applicant knows, or in the exercise of reasonable care should know, of the statutory disqualification. For the purpose of this certification, "statutory disqualification" refers to the matters addressed in Sections 8a(2) and 8a(3) of the Act and "person" means an "associated person of a swap dealer or major swap participant" as defined in Section 1a(4) of the Act and CFTC regulations thereunder;

acknowledgement that the applicant is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 7-R;

acknowledgement that the applicant is responsible at all times for maintaining the information in the Form 7-R in a complete, accurate and current manner by electronically filing updates to the information contained therein;

acknowledgement that the applicant may not act as an FCM, RFED, IB, CPO, CTA or FT until registration has been granted, that the applicant may not act as a Forex Firm or Forex Dealer Member until approval as a Forex Firm or designation as an approved Forex Dealer Member has been granted and that the applicant may not act as a Swap Firm until approval as a Swap Firm has been granted; in the case of an IB, until registration or a temporary license has been granted; or in the case of an SD or MSP, until registration or provisional registration has been granted;

or until confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5 is granted;

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authorization that NFA may conduct an investigation to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 and, if applicable, NFA membership and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which investigation may include contacting foreign regulatory and law enforcement authorities, including the submission of documents and information to NFA that NFA, in its discretion, may require in connection with the applicant's application for registration, confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 or NFA membership;

authorization and request that any person, including but not limited to contract markets, furnish upon request to NFA or any agent acting on behalf of NFA any information requested by NFA in connection with any investigation conducted by NFA to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5;

agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA;

agreement that, if the applicant is a foreign applicant:

subject to any applicable blocking, privacy or secrecy laws, the applicant's books and records will be available for inspection by the CFTC, the U.S. Department of Justice ("DOJ") and NFA for purposes of determining compliance with the Act, CFTC Regulations and NFA Requirements;

subject to any applicable blocking, privacy or secrecy laws, such books and records will be produced on 72 hours notice at the location in the United States stated in the Form 7-R or, in the case of an IB, CPO or CTA confirmed as exempt from registration pursuant to CFTC Regulation 30.5, at the location specified by the CFTC or DOJ, provided, however, if the applicant is applying for registration as an FCM, SD, MSP or RFED, upon specific request, such books and records will be produced on 24 hours notice except for good cause shown;

the applicant will immediately notify NFA of any changes to the location in the United States where such books and records will be produced;

except as the applicant has otherwise informed the CFTC in writing, the applicant is not subject to any blocking, privacy or secrecy laws which would interfere with or create an obstacle to full inspection of the applicant's books and records by the CFTC, DOJ and NFA;

subject to any applicable blocking, privacy or secrecy laws, the failure to provide the CFTC,

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DOJ or NFA with access to its books and records in accordance with this agreement may be grounds for enforcement and disciplinary sanctions, denial, suspension or revocation of registration, withdrawal of confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5, and denial, suspension or termination of NFA membership; and

subject to any applicable blocking, privacy or secrecy laws, the applicant for registration shall provide to NFA copies of any audit or disciplinary report related to the applicant for registration issued by any non-U.S. regulatory authority or non-U.S. self-regulatory organization and any required notice that the applicant for registration provides to any non-U.S. regulatory authority or non-U.S. self-regulatory organization and shall provide these copies both as part of this application and thereafter immediately upon the applicant for registration's receipt of any such report or provision of any such notice;

representation that if the applicant is an applicant for exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5:

the applicant does not act as an IB, CPO or CTA, respectively, in connection with trading on or subject to the rules of a designated contract market in the United States by, for or on behalf of any U.S. customer, client or pool;

the applicant irrevocably agrees to the jurisdiction of the Commission and state and federal courts located in the U.S. with respect to activities and transactions subject to Part 30 of the CFTC's regulations; and

the applicant would not be statutorily disqualified from registration under §8a(2) or §8a(3) of the Act and is not disqualified from registration pursuant to the laws or regulations of its home country;

an express agreement that, whenever admitted to NFA membership, the applicant and its employees shall become and remain bound by all NFA requirements, including without limitation all applicable NFA Bylaws, Compliance Rules, Financial Requirements, Registration Rules, Code of Arbitration and Member Arbitration Rules, as then and thereafter in effect, and that this agreement shall apply each time the applicant becomes a Member of NFA; and

if the applicant is applying for NFA membership, certification that the applicant has authorized the person filing this application for NFA membership to file it on the Applicant's behalf.

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### Confidential Matter Information

#### Criminal Disclosures

**Matter Name** DISTRICT COURT OF TOKYO - MARCH 2001

**Matter Details** CRIMINIAL CASE # 1: -

NAME OF ENTITY: CSFP, TOKYO BRANCH

REGULATOR: DISTRICT COURT OF TOKYO

JURISDICTION: JAPAN

DATE: MARCH 2001

SUMMARY:

IN MARCH OF 2001, THE TOKYO DISTRICT COURT FOUND CREDIT SUISSE FINANCIAL PRODUCTS (CSFP) NOW CREDIT SUISSE INTERNATIONAL (CSI) GUILTY OF VIOLATING SECURITIES REGULATIONS, AND FOR OBSTRUCTING A GOVERNMENT INVESTIGATION.

THE COURT FOUND THAT THE BANK HAD TRIED TO HIDE DOCUMENTS FROM THE FSA WHEN THEY TRIED TO EXAMINE THE PREMISES. CSFP STATED THAT JUNIOR STAFF PANICKED AND DID NOT HAND OVER DOCUMENTATION REQUESTED BY THE REGULATOR AS REQUESTED.

CREDIT SUISSE GROUP (PARENT) STATED THAT IT REGRETS THE ACTIONS OF CERTAIN FORMER EMPLOYEES OF THE TOKYO BRANCH OF CSFP, BUT HAS MAINTAINED THAT IT DOES NOT BELIEVE THE CORPORATION SHOULD HAVE BEEN FOUND GUILTY SOLELY FOR THE ACTIONS COMMITTED BY A FEW FORMER BRANCH EMPLOYEES.

THE TOKYO DISTRICT COURT IMPOSED A FINE OF 40 MILLION YEN, (\$333,500).

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### Regulatory Disclosures

**Matter Name** CNMV NOVEMBER 1997 - IBEX - SPAIN (R1)

**Matter Details** REGULATORY CASE # 1:

NAME OF ENTITY: CSFP, UK BRANCH

REGULATOR: COMISION NACIONAL DEL MARCADO DE VALORES (CNMV)

JURISDICTION: SPAIN

DATE: NOVEMBER, 1997

SUMMARY:

THE SPANISH STOCK MARKET , COMISION NACIONAL DEL MARCADO DE VALORES (CNMV) FINED CREDIT SUISSE FINANCIAL PRODUCTS 285 MILLION PESETAS (1.9 MILLION) STATING THAT THE FIRM MANIPULATED SHARE PRICES THAT AFFECTED IBEX STOCK INDEX IN SPAIN.

**Matter Name** FSA AUGUST 1999 - CSFP TOKYO (R2)

**Matter Details** REGULATORY CASE 2:

NAME OF ENTITY: CSFP, TOKYO BRANCH

REGULATOR: FINANCIAL SUPERVISORY AGENCY (FSA)

JURISDICTION: JAPAN

DATE: AUGUST, 1999

SUMMARY: THE CSFP, TOKYO BRANCH WAS FOUND TO HAVE CARRIED OUT THE FOLLOWING ACTIVITIES:

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A) CONDUCTED SYSTEMATIC EVASIONS AND OBSTRUCTIONS OF ON-SITE INSPECTIONS BY THE FINANCIAL SUPERVISORY AGENCY. SUCH IS CONSIDERED TO CONSTITUTE AN "ACT OF EVADING AND OBSTRUCTING THE INSPECTIONS" STATED IN THE BANKING LAW ARTICLE 63-3;

B) CONDUCTED BUSINESSES WHICH DEEPLY UNDERMINE THE SOUNDNESS OF THE JAPANESE FINANCIAL MARKETS AND FINANCIAL INSTITUTIONS THROUGH VOLUMINOUS REPETITIVE AND CONTINUOUS PRODUCTIONS AND SALES OF FINANCIAL PRODUCTS EXTREMELY INAPPROPRIATE FROM THE STAND POINT OF ADEQUATE DISCLOSURE OF ITS CUSTOMERS' FINANCIAL CONDITIONS. SUCH CONSTITUTES AN "ACT DETRIMENTAL TO PUBLIC INTERESTS" STATED IN THE BANKING LAW ARTICLE 27;

C) VIOLATED THE BANKING LAW ARTICLE 12, THE SECURITIES AND EXCHANGE LAW ARTICLE 65 AND OTHER RELATED LAWS BY ACTIVELY SOLICITING SUCH PRODUCTS AS STOCK PRICE LINKED BONDS THROUGH COMPILING AND EXPLAINING PROPOSALS BY THE BANK ITSELF.

BASED ON THE ABOVE FINDINGS, THE FOLLOWING ADMINISTRATIVE ACTIONS ARE TAKEN:

(1) REVOCATION OF BANK LICENSE WHICH TOOK EFFECT ON NOVEMBER 30, 1999 (PURSUANT TO THE BANKING LAW ARTICLE 27);

(2) SUSPENSION OF THE BUSINESS OF THE BRANCH FOR THE PERIOD FROM AUGUST 5, 1999 TO NOVEMBER 29, 1999, IN WHICH UNWINDING OF EXISTING TRANSACTIONS AND OPERATION INCIDENTAL THERETO ARE EXCLUDED FROM THE SCOPE OF THE SUSPENSION. (PURSUANT TO THE BANKING LAW ARTICLE 27).

**Matter Name** SFA - DECEMBER 2001 - CSFB INTERNATIONAL - DECEMBER 2001 (R3)

**Matter Details** REGULATORY CASE 3:

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NAME OF ENTITY: CREDIT SUISSE FIRST BOSTON  
INTERNATIONAL

REGULATOR: SECURITIES AND FUTURES AUTHORITY LIMITED

JURISDICTION: UNITED KINGDOM

DATE: DECEMBER 20 2001

SUMMARY: IN OCTOBER 2000 SFA INSTITUTED DISCIPLINARY PROCEEDINGS AGAINST CREDIT SUISSE FIRST BOSTON INTERNATIONAL ("CSFB INTERNATIONAL"). THE PROCEEDINGS AROSE FROM CSFB INTERNATIONAL'S FAILURE TO ADEQUATELY SUPERVISE AND CONTROL COMPLEX DERIVATIVE TRANSACTIONS CONDUCTED BY AN EMPLOYEE WITH TWO CUSTOMERS OF THE FIRM. THE PROCEEDINGS AGAINST CSFB INTERNATIONAL WERE SETTLED BEFORE N2 WITH THE FOLLOWING OUTCOME:

- CSFB INTERNATIONAL HAS BEEN REPRIMANDED AND FINED £400,000 AND REQUIRED TO PAY A CONTRIBUTION OF £30,600 TOWARDS SFA'S COSTS

AS A RESULT, CSFB INTERNATIONAL HAS ACCEPTED THAT THIS WAS A BREACH OF FSA PRINCIPLE 9 BY FAILING TO ORGANIZE ITS INTERNAL AFFAIRS IN A RESPONSIBLE MANNER.

**Matter Name** FSA - CSFB INTERNATIONAL - DECEMBER 2002 (R4)

**Matter Details** REGULATORY CASE 4:

NAME OF ENTITY: CREDIT SUISSE FIRST BOSTON  
INTERNATIONAL

REGULATOR: FINANCIAL SERVICES AUTHORITY

JURISDICTION: UNITED KINGDOM

DATE: DECEMBER 11, 2002

SUMMARY: BETWEEN APRIL 1995 AND DECEMBER 1998,  
CREDIT SUISSE FINANCIAL PRODUCTS (NOW KNOWN AS

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CREDIT SUISSE FIRST BOSTON INTERNATIONAL) ("CSFP"/"THE COMPANY") ENGAGED IN CONDUCT DESIGNED DELIBERATELY TO MISLEAD THE JAPANESE REGULATORY AND TAX AUTHORITIES AS TO THE SCOPE OF THE BUSINESS BEING CONDUCTED BY IT, OR ON ITS BEHALF, IN JAPAN AND FAILED TO ORGANIZE AND CONTROL ITS ACTIVITIES IN JAPAN IN A RESPONSIBLE MANNER. CSFP ADMITS TO THESE MATTERS AND HAS AGREED TO PAY A FINANCIAL PENALTY OF £4,000,000.

THE FSA CONSIDERS THAT CSFP BREACHED FORMER PRINCIPLES 9 AND 10 AND HAS THEREBY COMMITTED AN ACT OF MISCONDUCT WITHIN THE MEANING OF RULE 7-23A(3) OF SFA'S RULES.

**Matter Name** FSA - UK - CREDIT SUISSE INTERNATIONAL - AUGUST 2008 (R5)

**Matter Details** REGULATORY CASE 5:

NAME OF ENTITY: CREDIT SUISSE INTERNATIONAL

REGULATOR: FINANCIAL SERVICES AUTHORITY

JURISDICTION: UNITED KINGDOM

DATE: AUGUST 13, 2008

SUMMARY: BETWEEN 30 SEPTEMBER 2007 AND 19 FEBRUARY 2008, THE UK OPERATIONS OF CREDIT SUISSE BREACHED PRINCIPLE 2 OF THE FSA'S PRINCIPLES FOR BUSINESS BY FAILING TO CONDUCT THEIR BUSINESS WITH DUE SKILL, CARE AND DILIGENCE AND BREACHED PRINCIPLE 3 OF THE FSA'S PRINCIPLES FOR BUSINESS BY FAILING TO TAKE REASONABLE CARE TO ORGANIZE AND CONTROL THEIR AFFAIRS RESPONSIBLY AND EFFECTIVELY, WITH ADEQUATE RISK MANAGEMENT SYSTEMS.

IN BREACH OF PRINCIPLE 2, THE UK OPERATIONS OF CREDIT SUISSE FAILED TO USE THEIR CONTROLS OVER A HIGHLY COMPLEX BUSINESS EFFECTIVELY. THEY FAILED ADEQUATELY TO SUPERVISE THE COMPLEX BUSINESS OF

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THE SCG WHICH REQUIRED CLOSE SUPERVISION AND DID NOT TRANSLATE IDENTIFIED CONCERNS ABOUT THE PRICING OF CERTAIN ASSET-BACKED POSITIONS WITHIN THE SCG INTO TANGIBLE OR TIMELY ACTIONS.  
STATUTORY AND REGULATORY PROVISIONS

THESE BREACHES RELATE TO THE PRICING OF CERTAIN ASSET-BACKED SECURITIES HELD BY THE STRUCTURED CREDIT GROUP ("THE SCG") WITHIN THE INVESTMENT BANKING DIVISION OF CREDIT SUISSE. CREDIT SUISSE ANNOUNCED ON 19 FEBRUARY 2008 THAT IT HAD IDENTIFIED EVIDENCE OF MISMARKINGS AND PRICING ERRORS BY A SMALL NUMBER OF TRADERS IN THE SCG, AND THAT IT WAS THEREFORE REPRICING CERTAIN ASSET-BACKED POSITIONS. A SIGNIFICANT PROPORTION OF THE REPRICING WAS ATTRIBUTABLE TO POSITIONS HELD BY THE UK OPERATIONS OF CREDIT SUISSE.  
IN BREACH OF PRINCIPLE 3, THE UK OPERATIONS OF CREDIT SUISSE FAILED TO PUT ADEQUATE SYSTEMS AND CONTROLS IN PLACE TO DETECT IN A TIMELY MANNER THE MISMARKS AND PRICING ERRORS THAT LED TO THE REPRICING. THEY FAILED TO RECOGNISE UNTIL MID-FEBRUARY 2008 THAT CERTAIN OF THE SCG'S ASSET-BACKED POSITIONS WERE SUBSTANTIALLY OVER-VALUED.

ACCORDINGLY, FSA IMPOSES A FINANCIAL PENALTY ON THE UK OPERATIONS OF CREDIT SUISSE IN THE AMOUNT OF £5.6 MILLION.

**Matter Name** BRAZILIAN SECURITIES COMMISSION - CRDTI SUISSE INTERNATIONAL - OCTOBER 2009 (R6)

**Matter Details** REGULATORY CASE 6:

NAME OF ENTITY: CREDIT SUISSE INTERNATIONAL

REGULATOR: BRAZILIAN SECURITIES COMMISSION

JURISDICTION: BRAZIL

DATE: OCTOBER 2009

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**Submitted By** CASALEF FRANCINE CASALE

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### SUMMARY:

ON OCTOBER 23, 2007 CVM, THE BRAZILIAN SECURITIES MARKET REGULATOR, CONTACTED CREDIT SUISSE INTERNATIONAL ("CSI") IN BRAZIL REGARDING AN INVESTIGATION INTO INSIDER TRADING OF EMBRAER, A BRAZILIAN AIRCRAFT MAKER. ON DECEMBER 10, 2005 CS BRAZIL WAS ENGAGED BY ONE OF THE SHAREHOLDERS OF EMBRAER TO ACT AS ITS FINANCIAL ADVISOR WITH REGARD TO A PLANNED RESTRUCTURING OF THE COMPANY. APPARENTLY INFORMATION ABOUT THE PLANNED RESTRUCTURING LEAKED TO THE MARKET, RESULTING IN AN INCREASE OF TRADING ACTIVITIES AND SHARE PRICES BETWEEN DECEMBER 2005 AND JANUARY 2006, WHEN THE PROPOSED RESTRUCTURING WAS OFFICIALLY INFORMED TO THE SHAREHOLDERS. DURING THIS TIME FRAME, CSI PURCHASED EMBRAER SHARES AT THE SÃO PAULO STOCK EXCHANGE – BOVESPA, SUBSTANTIALLY INCREASING ITS LONG POSITION IN SUCH SECURITIES. ON OCTOBER 20, 2009 CSI AND THE BRAZILIAN SECURITIES REGULATOR (CVM) AGREED TO SETTLE THE INVESTIGATION. CSI AGREED TO PAY BRL 19.2 MM TO CVM (APPROX \$11 MILLION USD AT THE THEN PREVAILING RATES). THE SETTLEMENT AGREEMENT WAS EXECUTED BY CS ON JAN. 11, 2010.

**Matter Name** FSA - (UK) CREDIT SUISSE INTERNATIONAL - APRIL 2010 - (R7)

**Matter Details** REGULATORY CASE 7:

NAME OF ENTITY: CREDIT SUISSE INTERNATIONAL

REGULATOR: FINANCIAL SERVICES AUTHORITY

JURISDICTION: UNITED KINGDOM

DATE: APRIL 8, 2010

SUMMARY: BETWEEN 5 NOVEMBER 2007 AND 20 NOVEMBER 2008, CREDIT SUISSE BREACHED CHAPTER 17 OF THE SUPERVISION MANUAL, WHICH IS PART OF THE FSA HANDBOOK (SUP 17) IN THAT IT FAILED TO SUBMIT ACCURATE TRANSACTION REPORTS IN RESPECT OF APPROXIMATELY 40

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MILLION TRANSACTIONS.

ACCORDINGLY, THE FSA IMPOSES A FINANCIAL PENALTY ON THE FIRM IN THE AMOUNT OF £1.75 MILLION.

**Matter Name** BRAZILIAN SECURITIES COMMISSION - CREDIT SUISSE INTERNATIONAL - BRAZIL - DECEMBER 2010 (R13)

**Matter Details** REGULATORY CASE 13:

NAME OF ENTITY: CREDIT SUISSE INTERNATIONAL

REGULATOR: BRAZILIAN SECURITIES COMMISSION

JURISDICTION: BRAZIL

DATE: DECEMBER 2010

SUMMARY:

THIS IS AN INSIDER TRADING INVESTIGATION INITIATED BY THE BRAZILIAN SECURITIES REGULATOR AGAINST CS INTERNATIONAL. ON NOVEMBER 30, 2010 CS INTERNATIONAL AND ANOTHER CS ENTITY, CS PROPRIO FUND WERE FINED ~USD 15 MILLION FOR INSIDER TRADING. WE APPEALED THE DECISION AND THE CASE IS PENDING DECISION.

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Amendment 1 and 2 - June 10, 2013



OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

### FIRM REGULATORY DISCLOSURE QUESTION I CHANGED

**QUESTION:** Is the firm or sole proprietor a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

**ANSWER:** YES

**FILED BY:** CASALEF

**FILED ON:** 6/10/2013 1:31:00 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

### FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO

<b>SDDI PROCESS:</b>	FIRMWEB
<b>SDDI SECTION:</b>	REGULATORY DISCLOSURES
<b>SUPPLEMENTAL DOCUMENTATION:</b>	NO
<b>FILED BY:</b>	CASALEF
<b>FILED ON:</b>	6/10/2013 1:31:00 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

Amendments 3, 4 and 5 - November 22, 2013

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES**

<b>SDDI PROCESS:</b>	FIRMWEB
<b>SDDI SECTION:</b>	REGULATORY DISCLOSURES
<b>SUPPLEMENTAL DOCUMENTATION:</b>	YES
<b>FILED BY:</b>	CASALEF
<b>FILED ON:</b>	11/22/2013 9:58:22 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

### FIRM REGULATORY DISCLOSURE QUESTION H CHANGED

**QUESTION:** Are any of the orders or other agreements described in Question G currently in effect against the firm or sole proprietor?

**ANSWER:** YES

**FILED BY:** CASALEF

**FILED ON:** 11/22/2013 9:59:41 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES**

<b>SDDI PROCESS:</b>	FIRMWEB
<b>SDDI SECTION:</b>	REGULATORY DISCLOSURES
<b>SUPPLEMENTAL DOCUMENTATION:</b>	YES
<b>FILED BY:</b>	CASALEF
<b>FILED ON:</b>	11/22/2013 9:59:41 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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Amendments 6 and 7 - May 15, 2014

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED**

**FIRST NAME:** FRANCINE  
**LAST NAME:** CASALE  
**TITLE:** ASSISTANT VICE PRESIDENT  
**STREET ADDRESS 1:** 11 MADISON AVENUE  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** NEW YORK  
**STATE:** NEW YORK  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 10010  
**PHONE NUMBER:** 212-538-9635  
**FAX NUMBER:** 212-322-0272  
**E-MAIL ADDRESS:** FRANCINE.CASALE@CREDIT-SUISSE.COM  
**FILED BY:** BONNETL1  
**FILED ON:** 5/15/2014 4:45:42 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

**User ID** BONNETL1

---

### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** MARK.HART@CREDIT-SUISSE.COM



---

## National Futures Association

Business Locations (3R)

Page 2

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

**User ID** BONNETL1

---

### Location of Business Records

**Business Records Address**

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**U.S. Address for Production of Business Records**

CREDIT SUISSE SECURITIES (USA) LLC  
11 MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES



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## National Futures Association

Business Locations (3R)

Page 3

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

**User ID** BONNETL1

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### Contact Information

#### Registration Contact

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UNITED STATES  
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## National Futures Association

Business Locations (3R)

Page 4

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

**User ID** BONNETL1

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### Arbitration Contact

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### Chief Compliance Officer

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E-mail: MARK.HART@CREDIT-SUISSE.COM

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## National Futures Association

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Business Locations (3R)

Page 5

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

**User ID** BONNETL1

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**Enforcement/Compliance Communication Contact**

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E-mail: MARK.HART@CREDIT-SUISSE.COM

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** May 15, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** LORRAINE BONNET

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### Registrant Certification Statement

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Amendment 8 - July 14, 2014

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** July 14, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

---

### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** MARK.HART@CREDIT-SUISSE.COM





**National Futures Association**

Page 2

**OMB Number** 3038-0072

**NFA ID** 0443823

**User ID** GRANTT2

**Location of Business Records**

**Business Records Address**

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**U.S. Address for Production of Business Records**

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## National Futures Association

Business Locations (3R)

Page 3

**Filed** July 14, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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#### Registration Contact

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## National Futures Association

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Business Locations (3R)

Page 4

**Filed** July 14, 2014

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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## National Futures Association

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Business Locations (3R)

Page 5

**Filed** July 14, 2014

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**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** July 14, 2014

**OMB Number** 3038-0072

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**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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Amendment 9 - January 9, 2015

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** January 09, 2015  
**Registrant** CREDIT SUISSE INTERNATIONAL  
**Submitted By** TRISHA GRANT

**OMB Number** 3038-0072  
**NFA ID** 0443823  
**User ID** GRANTT2

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### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** MARK.HART@CREDIT-SUISSE.COM

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## National Futures Association

Business Locations (3R)

Page 2

**Filed** January 09, 2015  
**Registrant** CREDIT SUISSE INTERNATIONAL  
**Submitted By** TRISHA GRANT

**OMB Number** 3038-0072  
**NFA ID** 0443823  
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### Location of Business Records

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UNITED KINGDOM

**U.S. Address for Production of Business Records**

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NEW YORK, NY 10010  
UNITED STATES





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## National Futures Association

Business Locations (3R)

Page 3

**Filed** January 09, 2015  
**Registrant** CREDIT SUISSE INTERNATIONAL  
**Submitted By** TRISHA GRANT

**OMB Number** 3038-0072  
**NFA ID** 0443823  
**User ID** GRANTT2

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### Contact Information

#### Registration Contact

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## National Futures Association

Business Locations (3R)

Page 4

**Filed** January 09, 2015  
**Registrant** CREDIT SUISSE INTERNATIONAL  
**Submitted By** TRISHA GRANT

**OMB Number** 3038-0072  
**NFA ID** 0443823  
**User ID** GRANTT2

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### Arbitration Contact

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E-mail: MARK.HART@CREDIT-SUISSE.COM

### Chief Compliance Officer

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LONDON E14 4QJ  
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## National Futures Association

Business Locations (3R)

Page 5

<b>Filed</b>	January 09, 2015	<b>OMB Number</b>	3038-0072
<b>Registrant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

---

### Enforcement/Compliance Communication Contact

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LONDON E14 4QJ  
UNITED KINGDOM  
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## National Futures Association

Business Locations (3R)

Page 6

**Filed** January 09, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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Amendment 10 - April 14, 2015

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** April 14, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

---

### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
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**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** MARK.HART@CREDIT-SUISSE.COM

**National Futures Association**

Page 2

**OMB Number** 3038-0072

**NFA ID** 0443823

**User ID** GRANTT2

## Location of Business Records

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11 MADISON AVENUE  
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## National Futures Association

Business Locations (3R)

Page 3

**Filed** April 14, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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## National Futures Association

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Business Locations (3R)

Page 4

**Filed** April 14, 2015

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**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Compliance Contact

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CHIEF COMPLIANCE OFFICER  
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UNITED KINGDOM  
Phone: 44 207888 4681  
E-mail: MARK.HART@CREDIT-SUISSE.COM

### Chief Compliance Officer

MARK HART  
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UNITED KINGDOM  
Phone: 44 207883 4681  
E-mail: MARK.HART@CREDIT-SUISSE.COM

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## National Futures Association

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Business Locations (3R)

Page 5

**Filed** April 14, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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**Enforcement/Compliance Communication Contact**

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** April 14, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

---

### Registrant Certification Statement

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Amendments 11 and 12 - May 13, 2015

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** May 13, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.



**National Futures Association**

Page 2

**OMB Number** 3038-0072

**NFA ID** 0443823

**User ID** GRANTT2

**Location of Business Records**

**Business Records Address**

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**U.S. Address for Production of Business Records**

CREDIT SUISSE SECURITIES (USA) LLC  
11 MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES



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## National Futures Association

Business Locations (3R)

Page 3

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## National Futures Association

Business Locations (3R)

Page 4

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**OMB Number** 3038-0072

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# National Futures Association

Business Locations (3R)

Page 5

**Filed** May 13, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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## National Futures Association

Business Locations (3R)

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## National Futures Association

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Business Locations (3R)

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## National Futures Association

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Business Locations (3R)

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Amendment 13 - May 20, 2015

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Business Locations (3R)

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**NFA ID** 0443823

**Submitted By** TRISHA GRANT

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### Business Information

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**Phone Number** 44 207888 1600

**Fax Number** Not provided.

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Business Locations (3R)

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Business Locations (3R)

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Business Locations (3R)

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## National Futures Association

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Business Locations (3R)

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Business Locations (3R)

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## National Futures Association

Business Locations (3R)

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Amendment 14 - June 1, 2015

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## National Futures Association

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**NFA ID** 0443823

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### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
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**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

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Amendments 15 and 16 - November 4, 2015

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED**

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**LAST NAME:** AJIBESIN  
**TITLE:** VICE PRESIDENT  
**STREET ADDRESS 1:** ONE MADISON AVE  
**STREET ADDRESS 2:** 9TH FLOOR  
**STREET ADDRESS 3:**  
**CITY:** NEW YORK  
**STATE:** NEW YORK  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 10010  
**PHONE NUMBER:** 1 212 325 6610  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** JOSEPH.AJIBESIN@CREDIT-SUISSE.COM  
**FILED BY:** GRANTT2  
**FILED ON:** 11/4/2015 1:14:25 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** November 04, 2015  
**Registrant** CREDIT SUISSE INTERNATIONAL  
**Submitted By** TRISHA GRANT

**OMB Number** 3038-0072  
**NFA ID** 0443823  
**User ID** GRANTT2

---

### Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

**Filed** November 04, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Location of Business Records

**Business Records Address**

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**U.S. Address for Production of Business Records**

CREDIT SUISSE SECURITIES (USA) LLC  
11 MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES



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## National Futures Association

Business Locations (3R)

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**Filed** November 04, 2015

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**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Contact Information

#### Registration Contact

SEAN DRISCOLL  
DIRECTOR  
ONE MADISON AVENUE  
9TH FLOOR  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212-538-4402  
E-mail: SEAN.DRISCOLL@CREDIT-SUISSE.COM

#### Membership Contact

SEAN DRISCOLL  
DIRECTOR  
ONE MADISON AVENUE  
9TH FLOOR  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212-538-4402  
E-mail: SEAN.DRISCOLL@CREDIT-SUISSE.COM

#### Accounting Contact

JASON FORRESTER  
MANAGING DIRECTOR  
17 COLUMBUS COURTYARD  
LONDON E14 4DA  
UNITED KINGDOM  
Phone: 44 20 7883 0754  
E-mail: JASON.FORRESTER@CREDIT-SUISSE.COM

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## National Futures Association

Business Locations (3R)

Page 4

**Filed** November 04, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Arbitration Contact

DAMIAN BISSEKER  
DIRECTOR  
ONE CABOT SQUARE  
LONDON  
UNITED KINGDOM  
Phone: 44 207888 2029  
Fax: 44 207888 8085  
E-mail: DAMIAN.BISSEKER@CREDIT-SUISSE.COM

### Compliance Contact

SEAN DRISCOLL  
DIRECTOR  
ONE MADISON AVENUE  
9TH FLOOR  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212-538-4402  
E-mail: SEAN.DRISCOLL@CREDIT-SUISSE.COM

### Chief Compliance Officer

JOSEPH SCORDATO  
CHIEF COMPLIANCE OFFICER - MANAGING DIR.  
ONE MADISON AVE  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212 325 9895  
E-mail: JOSEPH.SCORDATO@CREDIT-SUISSE.COM

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## National Futures Association

Business Locations (3R)

Page 5

**Filed** November 04, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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**Enforcement/Compliance Communication Contact**

MICHELE VAN TASSEL  
DIRECTOR  
ONE MADISON AVENUE  
9TH FLOOR  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212-538-4184  
E-mail: MICHELE.VANTASSEL@CREDIT-SUISSE.COM

**Enforcement/Compliance Communication Contact**

SEAN DRISCOLL  
DIRECTOR  
ONE MADISON AVENUE  
9TH FLOOR  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212-325-4402  
E-mail: SEAN.DRISCOLL@CREDIT-SUISSE.COM

**Enforcement/Compliance Communication Contact**

JOSEPH SCORDATA  
CHIEF COMPLIANCE OFFICER  
ONE MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES  
Phone: 212 325 9895  
E-mail: JOSEPH.SCORDATO@CREDIT-SUISSE.COM

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** November 04, 2015

**OMB Number** 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Registrant Certification Statement

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.



Amendment 17 - November 18, 2015

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# National Futures Association

Part 30.5 Exemption

Page 1

<b>Filed</b>	November 18, 2015	<b>OMB Number</b>	3038-0072
<b>Applicant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

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## Privacy Act and Paperwork Reduction Act Notice

The information in Forms 7-R, 7-W, 8-R and 8-T and on the fingerprint card is being collected pursuant to authority granted in Sections 2c, 4f, 4k, 4n, 4s, 8a and 19 of the Commodity Exchange Act [7 U.S.C. §§ 6f, 6k, 6n, 6s, 12a and 23]. Under Section 2c, it is unlawful for anyone to engage in off-exchange foreign currency futures transactions or off-exchange foreign currency leveraged, margined or financed transactions with persons who are not eligible contract participants without registration, or exemption from registration, as a retail foreign exchange dealer, futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor, as appropriate. Under Section 4d of the Commodity Exchange Act [7 U.S.C. §6d], it is unlawful for anyone to act as a futures commission merchant or introducing broker without being registered in that capacity under the Act. Under Section 4m of the Commodity Exchange Act [7 U.S.C. §6m], it is unlawful for a commodity trading advisor or commodity pool operator to make use of the mails or any means or instrumentality of interstate commerce in connection with his business as a commodity trading advisor or commodity pool operator without being registered in the appropriate capacity under the Act, except that a commodity trading advisor who, during the course of the preceding 12 months, has not furnished commodity trading advice to more than 15 persons and does not hold himself out generally to the public as a commodity trading advisor, need not register. Under Section 4s of the Commodity Exchange Act [7 U.S.C. §6s], it is unlawful for anyone to act as a swap dealer or major swap participant without being registered in that capacity under the Act. Under Section 19 of the Commodity Exchange Act [7 U.S.C. §23] and Section 31.5 of the CFTC's regulations, it is unlawful for anyone to act as a leverage transaction merchant without being registered in that capacity under the Act.

The information requested in Form 7-R is designed to assist NFA and the CFTC, as appropriate, in determining whether the application for registration should be granted or denied and to maintain the accuracy of registration files. The information in Form 7-W is designed to assist NFA and the CFTC in determining whether it would be contrary to the requirements of the Commodity Exchange Act, or any rule, regulation or order thereunder, or the public interest to permit withdrawal from registration.

The information requested in Form 8-R and on the fingerprint card will be used by the CFTC or NFA, as appropriate, as a basis for initiating an inquiry into the individual's fitness to be an associated person, floor broker or floor trader or to be a principal of a futures commission merchant, swap dealer, major swap participant, retail foreign exchange dealer, introducing broker, commodity trading advisor, commodity pool operator, leverage transaction merchant or non-natural person floor trader. Portions of the information requested in Form 8-R will be used by the CFTC and, in appropriate cases, by NFA, to confirm the registration of certain associated persons. The information requested in Form 8-T will be used by the CFTC, and, in appropriate cases, by NFA, to record the registration status of the individual and, in appropriate cases, as a basis for further inquiry into the individual's fitness to remain in business subject to the CFTC's jurisdiction.

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## National Futures Association

Part 30.5 Exemption

Page 2

<b>Filed</b>	November 18, 2015	<b>OMB Number</b>	3038-0072
<b>Applicant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

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With the exception of the social security number, all information in Forms 8-R and 8-T must be furnished. Disclosure of the social security number is voluntary. Disclosure of the Federal employer identification number is voluntary. The social security number and the Federal employer identification number are sought pursuant to the Debt Collection Improvement Act of 1996. Under the Debt Collection Improvement Act, a social security number or a taxpayer identifying number furnished to the CFTC as part of the registration process can be used for purposes of collecting and reporting on any debt owed to the U.S. Government, including civil monetary penalties. The furnishing of a social security number or Federal employer identification number, however, assists the CFTC and NFA in identifying individuals and firms and therefore expedites the processing of those forms.

The failure by an applicant, registrant or principal to timely file a properly completed Form 7-R and all other related required filings may result in the denial of an application for registration or withdrawal thereof or, in the case of an annual records maintenance fee, treating the registrant as having petitioned for withdrawal. Failure by an applicant, registrant or principal to timely file or cause to be filed a properly completed Form 8-R or 8-T, any other required related filings, or a fingerprint card may result in the lapse, denial, suspension or revocation of registration, withdrawal of the application or other enforcement or disciplinary action by the CFTC or NFA.

With the exception of the fingerprint card, any information contained in the Personal Information Section and any information contained in Matter Information pages related to the Disciplinary Information Sections on Form 8-R and on Form 8-T or Item 7 on Form 8-W, the Forms 7-R, 7-W, 8-R and 8-T are considered by the CFTC to be public records and will be available for inspection by any person. Copies will be maintained by National Futures Association, Registration Department, Suite 1800, 300 S. Riverside Plaza, Chicago, IL 60606-6615. Further, the CFTC or NFA may disclose the fingerprint card and any other information described above to third parties pursuant to routine uses which the CFTC has published in the Federal Register or as otherwise authorized under the Privacy Act, [5 U.S.C. §552a], and the Commodity Exchange Act. Disclosure of such information may be made by the CFTC as follows: (1) in connection with administrative proceedings or matters in litigation; (2) in connection with investigations; (3) where the information is furnished to regulatory, self-regulatory and law enforcement or other governmental agencies to assist them in meeting responsibilities assigned to them by law or made available to any member of Congress who is acting in his or her capacity as a member of Congress; (4) where disclosure is required under the Freedom of Information Act [5 U.S.C. §552]; (5) in connection with an employer's hiring or retention of an employee; (6) in connection with the verification of information submitted for sponsorship purposes; (7) in other circumstances in which the withholding of such information appears unwarranted; and (8) in connection with legally required or authorized reports. Disclosure may be made by NFA in accordance with rules approved by the CFTC.

If an individual believes that the placing in the CFTC's or NFA's public files of any of the information contained in the Personal Information Section or in Matter Information pages related

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# National Futures Association

Part 30.5 Exemption

Page 3

<b>Filed</b>	November 18, 2015	<b>OMB Number</b>	3038-0072
<b>Applicant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

to Disciplinary Information on Form 8-R and on Form 8-T or Item 7 on Form 8-W, or on the fingerprint card would constitute an unwarranted invasion of his personal privacy, the individual may petition the CFTC, pursuant to 17 CFR 145.9, to treat such information as confidential in response to requests under the Freedom of Information Act (FOIA) [5 U.S.C. §552]. The CFTC will make no determination as to confidential treatment of information submitted unless and until the information is the subject of an FOIA request. The filing of a petition for confidential treatment, however, does not guarantee that the information will be treated confidentially in response to an FOIA request.

Forms which have not been prepared and executed in compliance with applicable requirements may not be acceptable for filing. Acceptance of this form shall not constitute any finding that the information is true, current or complete. Misstatements or omissions of fact may constitute federal criminal violations [7 U.S.C. §13 and 18 U.S.C. §1001] or grounds for disqualification from registration.

This notice is provided in accordance with the requirements of the Privacy Act [5 U.S.C. §552a(e)(3)] and summarizes some of an individual's rights under the Privacy Act [5 U.S.C. §552a] and the Freedom of Information Act [5 U.S.C. §552]. Individuals desiring further information should consult the CFTC's regulations under the Privacy Act, 17 CFR Part 146, and under the Freedom of Information Act, 17 CFR Part 145, and the CFTC's annual notice, published in the Federal Register, pursuant to the Privacy Act, of the existence and character of each system of records maintained by the CFTC.

You are not required to provide the information requested on a form subject to the Paperwork Reduction Act unless the form displays a valid OMB Control Number.

The time needed to complete and file Form 7-R, Form 3-R, Form 7-W, Form 8-R and Form 8-T and Form 8-W may vary depending upon individual circumstances. The estimated average times are:

Form 7-R

FCM	0.5 hours
SD	1.0 hours
MSP	1.0 hours
RFED	0.5 hours
IB	0.4 hours
CPO	0.4 hours
CTA	0.4 hours
FT	0.5 hours

Form 3-R	0.1 hours
Form 7-W	0.1 hours
Form 8-R	0.8 hours
Form 8-T	0.2 hours

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## National Futures Association

Part 30.5 Exemption

Page 4

**Filed** November 18, 2015

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**Applicant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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Form 8-W 0.1 hours.



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## National Futures Association

Part 30.5 Exemption

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**Filed** November 18, 2015

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**Applicant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Exemption Categories

INTRODUCING BROKER



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## National Futures Association

Part 30.5 Exemption

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<b>Filed</b>	November 18, 2015	<b>OMB Number</b>	3038-0072
<b>Applicant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

---

### Business Information

<b>Business Address</b>	1 CABOT SQUARE LONDON, E14 4QJ UNITED KINGDOM
<b>Phone Number</b>	44 207888 1600
<b>Fax Number</b>	Not provided.
<b>E-mail Address</b>	Not provided.
<b>Website / URL</b>	WWW.CREDIT-SUISSE.COM
<b>Federal EIN</b>	WJ0001444
<b>CRD ID</b>	Not provided.
<b>Other Names</b>	CREDIT SUISSE FINANCIAL PRODUCTS CREDIT SUISSE FIRST BOSTON INTERNATIONAL

### Regulator Information

#### Non-U.S. Regulator Information

FINANCIAL CONDUCT AUTHORITY (FCA)  
PRUDENTIAL REGULATION AUTHORITY (PRA)

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## National Futures Association

Part 30.5 Exemption

Page 7

**Filed** November 18, 2015

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**Applicant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Agent Information

A Registered Futures Commission Merchant through which the applicant does business.





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## National Futures Association

Part 30.5 Exemption

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**Filed** November 18, 2015

**OMB Number** 3038-0072

**Applicant** CREDIT SUISSE INTERNATIONAL

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**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Doing Business With

0002397 CREDIT SUISSE SECURITIES USA LLC



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## National Futures Association

Part 30.5 Exemption

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**Filed** November 18, 2015

**OMB Number** 3038-0072

**Applicant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

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### Contact Information

#### Exempt Foreign Firm Contact

ANDREW BELLWOOD  
PRIME DERIVATIVES SERVICES EMEA COO  
1 CABOT SQUARE  
LONDON, E14 4QJ  
UNITED KINGDOM  
Phone: 44 207883 6512  
E-mail: ANDREW.BELLWOOD@CREDIT-SUISSE.COM

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# National Futures Association

Part 30.5 Exemption

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<b>Filed</b>	November 18, 2015	<b>OMB Number</b>	3038-0072
<b>Applicant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

---

## Firm Certification Statement

BY FILING THIS FORM 7-R, THE APPLICANT AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S

certification that the answers and the information provided in the Form 7-R are true, complete and accurate and that in light of the circumstances under which the applicant has given them, the answers and statements in the Form 7-R are not misleading in any material respect;

certification that the person who electronically files the Form 7-R on behalf of the applicant is authorized by the applicant to file the Form 7-R and to make the certifications, representations, requests, acknowledgements, authorizations and agreements contained in this agreement;

certification that, if the applicant is an applicant for registration as an SD or MSP, the applicant undertakes that, no later than ninety (90) days following the date this Form 7-R is filed, it will be and shall remain in compliance with the requirement of Section 4s(b)(6) of the Act that, except to the extent otherwise specifically provided by rule, regulation or order, the applicant will not permit any person associated with it who is subject to a statutory disqualification to effect or be involved in effecting swaps on behalf of the applicant, if the applicant knows, or in the exercise of reasonable care should know, of the statutory disqualification. For the purpose of this certification, "statutory disqualification" refers to the matters addressed in Sections 8a(2) and 8a(3) of the Act and "person" means an "associated person of a swap dealer or major swap participant" as defined in Section 1a(4) of the Act and CFTC regulations thereunder;

acknowledgement that the applicant is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 7-R;

acknowledgement that the applicant is responsible at all times for maintaining the information in the Form 7-R in a complete, accurate and current manner by electronically filing updates to the information contained therein;

acknowledgement that the applicant may not act as an FCM, RFED, IB, CPO, CTA or FT until registration has been granted, that the applicant may not act as a Forex Firm or Forex Dealer Member until approval as a Forex Firm or designation as an approved Forex Dealer Member has been granted and that the applicant may not act as a Swap Firm until approval as a Swap Firm has been granted; in the case of an IB, until registration or a temporary license has been granted; or in the case of an SD or MSP, until registration or provisional registration has been granted;

or until confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5 is granted;

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# National Futures Association

Part 30.5 Exemption

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<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

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authorization that NFA may conduct an investigation to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 and, if applicable, NFA membership and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which investigation may include contacting foreign regulatory and law enforcement authorities, including the submission of documents and information to NFA that NFA, in its discretion, may require in connection with the applicant's application for registration, confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 or NFA membership;

authorization and request that any person, including but not limited to contract markets, furnish upon request to NFA or any agent acting on behalf of NFA any information requested by NFA in connection with any investigation conducted by NFA to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5;

agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA;

agreement that, if the applicant is a foreign applicant:

subject to any applicable blocking, privacy or secrecy laws, the applicant's books and records will be available for inspection by the CFTC, the U.S. Department of Justice ("DOJ") and NFA for purposes of determining compliance with the Act, CFTC Regulations and NFA Requirements;

subject to any applicable blocking, privacy or secrecy laws, such books and records will be produced on 72 hours notice at the location in the United States stated in the Form 7-R or, in the case of an IB, CPO or CTA confirmed as exempt from registration pursuant to CFTC Regulation 30.5, at the location specified by the CFTC or DOJ, provided, however, if the applicant is applying for registration as an FCM, SD, MSP or RFED, upon specific request, such books and records will be produced on 24 hours notice except for good cause shown;

the applicant will immediately notify NFA of any changes to the location in the United States where such books and records will be produced;

except as the applicant has otherwise informed the CFTC in writing, the applicant is not subject to any blocking, privacy or secrecy laws which would interfere with or create an obstacle to full inspection of the applicant's books and records by the CFTC, DOJ and NFA;

subject to any applicable blocking, privacy or secrecy laws, the failure to provide the CFTC,

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## National Futures Association

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<b>Submitted By</b>	TRISHA GRANT	<b>User ID</b>	GRANTT2

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DOJ or NFA with access to its books and records in accordance with this agreement may be grounds for enforcement and disciplinary sanctions, denial, suspension or revocation of registration, withdrawal of confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5, and denial, suspension or termination of NFA membership; and

subject to any applicable blocking, privacy or secrecy laws, the applicant for registration shall provide to NFA copies of any audit or disciplinary report related to the applicant for registration issued by any non-U.S. regulatory authority or non-U.S. self-regulatory organization and any required notice that the applicant for registration provides to any non-U.S. regulatory authority or non-U.S. self-regulatory organization and shall provide these copies both as part of this application and thereafter immediately upon the applicant for registration's receipt of any such report or provision of any such notice;

representation that if the applicant is an applicant for exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5:

the applicant does not act as an IB, CPO or CTA, respectively, in connection with trading on or subject to the rules of a designated contract market in the United States by, for or on behalf of any U.S. customer, client or pool;

the applicant irrevocably agrees to the jurisdiction of the Commission and state and federal courts located in the U.S. with respect to activities and transactions subject to Part 30 of the CFTC's regulations; and

the applicant would not be statutorily disqualified from registration under §8a(2) or §8a(3) of the Act and is not disqualified from registration pursuant to the laws or regulations of its home country;

an express agreement that, whenever admitted to NFA membership, the applicant and its employees shall become and remain bound by all NFA requirements, including without limitation all applicable NFA Bylaws, Compliance Rules, Financial Requirements, Registration Rules, Code of Arbitration and Member Arbitration Rules, as then and thereafter in effect, and that this agreement shall apply each time the applicant becomes a Member of NFA; and

if the applicant is applying for NFA membership, certification that the applicant has authorized the person filing this application for NFA membership to file it on the Applicant's behalf.

---

Amendments 18 and 19 - August 10, 2016

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED**

**FIRST NAME:** JOSEPH  
**LAST NAME:** SCORDATA  
**TITLE:** CHIEF COMPLIANCE OFFICER  
**STREET ADDRESS 1:** ONE MADISON AVENUE  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** NEW YORK  
**STATE:** NEW YORK  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 10010  
**PHONE NUMBER:** 212 325 9895  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** JOSEPH.SCORDATO@CREDIT-SUISSE.COM  
**FILED BY:** GRANTT2  
**FILED ON:** 8/10/2016 9:39:22 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

# National Futures Association

Business Locations (3R)

Page 1

**Filed** August 10, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

## Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.



# National Futures Association

Business Locations (3R)

Page 2

**Filed** August 10, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

## Location of Business Records

### Business Records Address

1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

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

CREDIT SUISSE SECURITIES (USA) LLC  
11 MADISON AVENUE  
NEW YORK, NY 10010  
UNITED STATES

# National Futures Association

Business Locations (3R)

Page 3

**Filed** August 10, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

## Contact Information

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E-mail: SEAN.DRISCOLL@CREDIT-SUISSE.COM

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## Chief Compliance Officer

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Business Locations (3R)

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## Registrant Certification Statement

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certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.

Amendments 20 and 21 - May 9, 2017

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED**

**FIRST NAME:** SEAN  
**LAST NAME:** DRISCOLL  
**TITLE:** DIRECTOR  
**STREET ADDRESS 1:** ONE MADISON AVENUE  
**STREET ADDRESS 2:** 9TH FLOOR  
**STREET ADDRESS 3:**  
**CITY:** NEW YORK  
**STATE:** NEW YORK  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 10010  
**PHONE NUMBER:** 212-325-4402  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** SEAN.DRISCOLL@CREDIT-SUISSE.COM  
**FILED BY:** GRANTT2  
**FILED ON:** 5/9/2017 12:59:31 PM

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# National Futures Association

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Page 1

**Filed** May 09, 2017

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** TRISHA GRANT

**User ID** GRANTT2

## Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.

# National Futures Association

Business Locations (3R)

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Amendments 22 and 23 - February 27, 2019



# National Futures Association

Business Locations

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**Registrant** CREDIT SUISSE INTERNATIONAL

**NFA ID** 0443823

**Submitted By** KELLI FOX

**User ID** FOXK2

## Business Information

**Business Address** 1 CABOT SQUARE  
LONDON E14 4QJ  
UNITED KINGDOM

**Phone Number** 44 207888 1600

**Fax Number** Not provided.

**E-mail Address** Not provided.

# National Futures Association

Business Locations

Page 2

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Business Locations

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<b>Registrant</b>	CREDIT SUISSE INTERNATIONAL	<b>NFA ID</b>	0443823
<b>Submitted By</b>	KELLI FOX	<b>User ID</b>	FOXK2

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Amendment 24 - March 5, 2020

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

### U.S. REGULATOR INFORMATION ADDED

**U.S. REGULATOR(S):** THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM**FILED BY:** SANCHEZC2**FILED ON:** 3/5/2020 10:28:29 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.



Amendments 25 and 26 - October 4, 2021

## Firm Business Locations

### COMMODITY FUTURES TRADING COMMISSION NATIONAL FUTURES ASSOCIATION

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Filed on October 04, 2021

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

Submitted by LORRAINE BONNET (BONNETL1)

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#### Business Information

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Street Address 1	<b>1 CABOT SQUARE</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 4QJ</b>
Country	<b>UNITED KINGDOM</b>
Phone Number	<b>44 207888 1600</b>
Fax Number	<b>Not provided</b>
Email	<b>Not provided</b>
Website/URL	<b>WWW.CREDIT-SUISSE.COM</b>
CRD/IARD ID	<b>Not provided</b>

## Exempt Foreign Firm Contact Information

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### Exempt Foreign Firm Contact Address

First Name	ANDREW
Last Name	BELLWOOD
Title	PRIME DERIVATIVES SERVICES EMEA COO
Street Address 1	1 CABOT SQUARE
City	LONDON
Zip/Postal Code	E14 4QJ
Country	UNITED KINGDOM
Phone	44 207883 6512
Email	ANDREW.BELLWOOD@CREDIT-SUISSE.COM

## Location of Business Records

---

Street Address 1	<b>1 CABOT SQUARE</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 4QJ</b>
Country	<b>UNITED KINGDOM</b>

## Registration Contact Information

---

First Name	<b>ALFRED</b>
Last Name	<b>NUNN</b>
Title	<b>VICE PRESIDENT</b>
Street Address 1	<b>11 MADISON AVENUE</b>
Street Address 2	<b>11TH FLOOR</b>
City	<b>NEW YORK</b>
State (United States only)	<b>NEW YORK</b>
Zip/Postal Code	<b>10010</b>
Country	<b>UNITED STATES</b>
Phone	<b>212-538-6648</b>
Email	<b>ALFRED.NUNN@CREDIT-SUISSE.COM</b>

## Enforcement/Compliance Communication Contact Information

---

First Name **ALFRED**  
Last Name **NUNN**  
Title **VICE PRESIDENT**  
Street Address 1 **11 MADISON AVENUE**  
Street Address 2 **11TH FLOOR**  
City **NEW YORK**  
State (United States only) **NEW YORK**  
Zip/Postal Code **10010**  
Country **UNITED STATES**  
Phone **212-538-6648**  
Email **ALFRED.NUNN@CREDIT-SUISSE.COM**

First Name **NITABEN**  
Last Name **PATEL**  
Title **CCO**  
Street Address 1 **ONE CABOT SQUARE**  
City **LONDON**  
Zip/Postal Code **E14 4QJ**  
Country **UNITED KINGDOM**  
Phone **44 2078830624**  
Email **NITA.PATEL@CREDIT-SUISSE.COM**

First Name **MICHELE**  
Last Name **VAN TASSEL**  
Title **MANAGING DIRECTOR**  
Street Address 1 **11 MADISON AVENUE**  
Street Address 2 **11TH FLOOR**  
City **NEW YORK**  
State (United States only) **NEW YORK**  
Zip/Postal Code **10010**  
Country **UNITED STATES**  
Phone **212-538-4184**  
Email **MICHELE.VANTASSEL@CREDIT-SUISSE.COM**

## Membership Contact Information

---

### Membership Contact

First Name	ALFRED
Last Name	NUNN
Title	VICE PRESIDENT
Street Address 1	11 MADISON AVENUE
Street Address 2	11TH FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10010
Country	UNITED STATES
Phone	212-538-6648
Email	ALFRED.NUNN@CREDIT-SUISSE.COM

### Accounting Contact

First Name	ALFRED
Last Name	NUNN
Title	VICE PRESIDENT
Street Address 1	11 MADISON AVENUE
Street Address 2	11TH FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10010
Country	UNITED STATES
Phone	212-538-6648
Email	ALFRED.NUNN@CREDIT-SUISSE.COM

**Arbitration Contact**

First Name	DAMIAN
Last Name	BISSEKER
Title	DIRECTOR
Street Address 1	ONE CABOT SQUARE
City	LONDON
Country	UNITED KINGDOM
Phone	44 207888 2029
Fax	44 207888 8085
Email	DAMIAN.BISSEKER@CREDIT-SUISSE.COM

**Compliance Contact**

First Name	ALFRED
Last Name	NUNN
Title	VICE PRESIDENT
Street Address 1	11 MADISON AVENUE
Street Address 2	11TH FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10010
Country	UNITED STATES
Phone	212-538-6648
Email	ALFRED.NUNN@CREDIT-SUISSE.COM



**Chief Compliance Officer Contact**

First Name	<b>JAMES</b>
Last Name	<b>COULSON</b>
Title	<b>CHIEF COMPLIANCE OFFICER - MANAGING DIR.</b>
Street Address 1	<b>ONE CABOT SQUARE</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 4QJ</b>
Country	<b>UNITED KINGDOM</b>
Phone	<b>44 20 7883 4681</b>
Email	<b>JAMES.COULSON@CREDIT-SUISSE.COM</b>

## Registration Certification Statement

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BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

**ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED**

**FIRST NAME:** JAMES  
**LAST NAME:** COULSON  
**TITLE:** CHIEF COMPLIANCE OFFICER  
**STREET ADDRESS 1:** ONE CABOT SQUARE  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** LONDON  
**STATE:**  
**PROVINCE:**  
**COUNTRY:** UNITED KINGDOM  
**ZIP CODE:** E14 4QJ  
**PHONE NUMBER:** 44 20 7883 4681  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** JAMES.COULSON@CREDIT-SUISSE.COM  
**FILED BY:** BONNETL1  
**FILED ON:** 10/4/2021 9:05:47 AM

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certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.



## Current Principal List

NFA ID: 0443823 CREDIT SUISSE INTERNATIONAL  
as of 9/19/2022 8:39:50 AM

NFA ID	Name	Status	Effective Date
0350712	AGKPO, HIPPOLYTE GEORGES	PENDING	08/16/2022
0453466	CREDIT SUISSE AG	APPROVED	12/15/2012
0456539	CREDIT SUISSE GROUP AG	APPROVED	01/08/2013
0510400	DEVINE, JOHN	APPROVED	11/27/2018
		PENDING	10/17/2018
0536320	HONOLD, DORIS	APPROVED	04/06/2021
		PENDING	03/01/2021
0485770	HORNE, CHRISTOPHER	APPROVED	05/29/2015
		PENDING	05/20/2015
0549841	JENKINS, EDWARD	PENDING	09/07/2022
0549838	JONES, DAVID ROGER	APPROVED	08/17/2022
		PENDING	06/27/2022
0496948	MATHERS, DAVID RICHARD	APPROVED	06/16/2016
		PENDING	05/27/2016
0454834	MEDDINGS, RICHARD HENRY	APPROVED	09/14/2022
		PENDING	08/03/2022
0483448	OCUINN, SHANE P	APPROVED	08/02/2022
0549885	PANG, KWOK KIT KENNETH	APPROVED	09/08/2022
		PENDING	09/06/2022
0497615	PATEL, NITABEN	APPROVED	10/27/2021
		PENDING	07/09/2021
0504144	WADDINGTON, CAROLINE	APPROVED	06/27/2017
		PENDING	06/07/2017



## Principal Information

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Viewed on October 13, 2022

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

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### Individual Information

NFA ID	0350712
Name	AGKPO, HIPPOLYTE GEORGES
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	PENDING
Effective Date	08-16-2022

NFA ID	0550108
Name	DAVIES, DEBRA
Title(s)	DIRECTOR
10% or More Interest	No
Status	PENDING
Effective Date	09-22-2022

NFA ID	0510400
Name	DEVINE, JOHN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	11-27-2018

NFA ID	0536320
Name	HONOLD, DORIS
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	04-06-2021

NFA ID	0485770
Name	HORNE, CHRISTOPHER
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2015

NFA ID	0549841
Name	JENKINS, EDWARD
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	PENDING
Effective Date	09-07-2022

NFA ID	0549838
Name	JONES, DAVID ROGER
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	08-17-2022

NFA ID	0496948
Name	MATHERS, DAVID RICHARD
Title(s)	CHIEF EXECUTIVE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	06-16-2016

NFA ID	0454834
Name	MEDDINGS, RICHARD HENRY
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	09-14-2022

NFA ID	0483448
Name	OCUINN, SHANE P
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	08-02-2022

NFA ID	0549885
Name	PANG, KWOK KIT KENNETH
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED

Effective Date	09-08-2022
NFA ID	0497615
Name	PATEL, NITABEN
Title(s)	CHIEF COMPLIANCE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	10-27-2021

NFA ID	0504144
Name	WADDINGTON, CAROLINE
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	06-27-2017

#### Holding Company Information

NFA ID	0453466
Full Name	CREDIT SUISSE AG
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-15-2012

NFA ID	0456539
Full Name	CREDIT SUISSE GROUP AG
10% or More Interest	Yes
Status	APPROVED
Effective Date	01-08-2013

## Firm Regulatory Disclosure Matter Page

### NATIONAL FUTURES ASSOCIATION

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Filed on October 07, 2022

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

Submitted by ELIZABETH KURIYAMA (KURIYAMAE1)

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

☒ 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?

### Regulatory Case Information

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#### Regulatory Information

Regulatory/Civil Action initiated by OTHER FEDERAL AGENCY: COMMODITY FUTURES TRADING COMMISSION

#### Case Information

Case Number CFTC DOCKET NO. 22-47

Case Status FINAL

Date Resolved September 2022

Sanctions imposed

RESTRICTIONS/CONDITIONS

### Comments

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Allegations against CSSU and CSI include failure to maintain required records and failure to diligently supervise matters related to CSSU's and CSI's businesses as CFTC registrants. THE SETTLEMENT ORDER HAS THE FOLLOWING TERMS: (1) A FINE OF \$75 MILLION, WHICH WILL BE PAID BY OCTOBER 11, 2022; (2) A CEASE AND DESIST ORDER; (3) A COMPREHENSIVE REVIEW OF THE BANK'S COMPLIANCE FRAMEWORK RELATED TO THE PRESERVATION OF ELECTRONIC COMMUNICATIONS; (4) A WRITTEN REPORT OF THE FINDINGS OF THE REVIEW; (5) AN EVALUATION ONE YEAR FOLLOWING THE SUBMISSION OF THE REPORT; AND (6) A REQUIREMENT THAT THE BANK NOTIFY THE CFTC OF THE IMPOSITION OF ANY DISCIPLINE RELATED TO THE VIOLATION OF THE BANK'S POLICIES CONCERNING ELECTRONIC COMMUNICATIONS FOR A TWO-YEAR PERIOD.

### Supporting Documentation

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Description	CFTC SETTLEMENT SEPTEMBER 27, 2022
File Name	CFTC Enforcement Order 2247.pdf



## Principal Information

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Viewed on November 03, 2022

NFA ID 0443823 CREDIT SUISSE INTERNATIONAL

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### Individual Information

NFA ID	0350712
Name	AGKPO, HIPPOLYTE GEORGES
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	10-27-2022

NFA ID	0550108
Name	DAVIES, DEBRA
Title(s)	DIRECTOR
10% or More Interest	No
Status	PENDING
Effective Date	09-22-2022

NFA ID	0510400
Name	DEVINE, JOHN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	11-27-2018

NFA ID	0536320
Name	HONOLD, DORIS
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	04-06-2021

NFA ID	0485770
Name	HORNE, CHRISTOPHER
Title(s)	CHIEF EXECUTIVE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2015

NFA ID	0549841
Name	JENKINS, EDWARD
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	PENDING
Effective Date	09-07-2022

NFA ID	0549838
Name	JONES, DAVID ROGER
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	08-17-2022

NFA ID	0454834
Name	MEDDINGS, RICHARD HENRY
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	09-14-2022

NFA ID	0483448
Name	OCUINN, SHANE P
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	08-02-2022

NFA ID	0549885
Name	PANG, KWOK KIT KENNETH
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	09-08-2022

NFA ID	0497615
Name	PATEL, NITABEN
Title(s)	CHIEF COMPLIANCE OFFICER
10% or More Interest	No
Status	APPROVED

Effective Date	10-27-2021
NFA ID	0504144
Name	WADDINGTON, CAROLINE
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	06-27-2017

#### Holding Company Information

NFA ID	0453466
Full Name	CREDIT SUISSE AG
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-15-2012

NFA ID	0456539
Full Name	CREDIT SUISSE GROUP AG
10% or More Interest	Yes
Status	APPROVED
Effective Date	01-08-2013