



Business Information

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Name	SKANDINAVISKA ENSKILDA BANKEN AB PUBL
Form of Organization	LIMITED LIABILITY COMPANY
Country	SWEDEN

Federal EIN	98-0236707
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Business Address	
Street Address 1	KUNGSTRÄDGÅRD SGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE 10640
Country	SWEDEN

Phone Number	+4687639306
Fax Number	N/A

Email	THERESE.BENGTSSON@SEB.SE
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Website/URL	WWW.SEBCGROUP.COM
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CRD/IARD ID	5020329081
	LIMITED LIABILITY COMPANY
	F



Other Names

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

SCANDINAVIAN BANK
ALIAS

SKANDINAVISKA ENSKILDA BANKEN
ALIAS

SKANDINAVISKA ENSKILDA BANKEN LONDON BRANCH
DBA IN USE

SKANDINAVISKA ENSKILDA BANKEN NEW YORK BRANCH
DBA IN USE

SKANDINAVISKA ENSKILDA BANKEN SINGAPORE BRANCH
DBA IN USE



Location of Business Records

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Street Address 1	KUNGSTRÄDGÅRDSGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE-10640
Country	SWEDEN



U.S. Address for the Production of Business Records

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Office Of	SKANDINAVISKA ENSKILDA BANKEN, NEW YORK BRANCH
Street Address 1	245 PARK AVENUE NEW YORK CITY
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10167



Non-U.S. Regulator Information

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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

Country	Regulator Name
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
SINGAPORE	MONETARY AUTHORITY OF SINGAPORE
HONG KONG	HONG KONG MONETARY AUTHORITY
SWEDEN	THE SWEDISH FINANCIAL SUPERVISORY AUTHORITY
SWEDEN	NASDAQ STOCKHOLM AB
FINLAND	NASDAQ HELSINKI LTD
DENMARK	NASDAQ COPENHAGEN A/S



Disciplinary Information - Criminal Disclosures

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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

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

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

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

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

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

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

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

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

Question A

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

No

Question B

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

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

No

Question C

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

No



Disciplinary Information - Regulatory Disclosures

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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

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

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

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

- the allegations; and
- the final disposition.

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

Question D

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

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

No

Question E

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

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

Yes

Question F

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

No

Question G

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

No

Question H

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

No

Question I

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

No



Disciplinary Information - Financial Disclosures

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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

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

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

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

- the allegations; and
- the final disposition.

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

Question J

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

No



Registration Contact Information

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

First Name	THERESE
Last Name	BENGTSSON
Title	COMPLIANCE OFFICER
Street Address 1	KUNGSTRÄDGÅRD SGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE 10640
Country	SWEDEN
Phone	+46704622406
Fax	N/A
Email	THERESE.BENGTSSON@SEB.SE



Enforcement/Compliance Communication Contact Information

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

First Name	THERESE
Last Name	BENGTSSON
Title	COMPLIANCE OFFICER
Street Address 1	KUNGSTRÄDGÅRD SGATAN 8
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First Name	EVGUENI
Last Name	KOUZNETSOV
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Email	EVGUENI.KOUZNETSOV@SEB.SE

First Name	JOAKIM
Last Name	LINDBERG
Title	SWAP DEALER COMPLIANCE OFFICER
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City	STOCKHOLM
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Country	SWEDEN
Phone	+46704622702
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Membership Information

Viewed on May 29, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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

U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? Yes

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM



Membership Contact Information

Viewed on May 31, 2023

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Membership Contact

First Name	THERESE
Last Name	BENGTSSON
Title	COMPLIANCE OFFICER
Street Address 1	KUNGSTRÄDGÅRDSGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE 10640
Country	SWEDEN
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Accounting Contact

First Name	NODENE
Last Name	TAYLOR
Title	BUSINESS ADVISOR FICC
Street Address 1	KUNGSTRÄDGÅRDSGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE-10640
Country	SWEDEN
Phone	+46707635025
Fax	N/A
Email	NODENE.TAYLOR@SEB.SE

Arbitration Contact

First Name OLOF
Last Name KAJERDT
Title HEAD OF LEGAL
Street Address 1 KUNGSTRÄDGÅRD SGATAN 8
City STOCKHOLM
Zip/Postal Code SE-10640
Country SWEDEN
Phone +4687638314
Fax N/A
Email OLOF.KAJERDT@SEB.SE

Compliance Contact

First Name THERESE
Last Name BENG TSSON
Title COMPLIANCE OFFICER
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City STOCKHOLM
Zip/Postal Code SE 10640
Country SWEDEN
Phone +46704622406
Fax N/A
Email THERESE.BENG TSSON@SEB.SE

Chief Compliance Officer Contact

First Name	CECILIA
Last Name	WOLRATH EKENBCK
Title	HEAD OF GROUP COMPLIANCE
Street Address 1	KUNGSTRÄDGÅRD SGATAN 8
City	STOCKHOLM
Zip/Postal Code	SE-10640
Country	SWEDEN
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National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 1

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 2

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 3

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 4

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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 (formally 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.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 5

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 6

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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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 - means, with respect to an applicant, a registrant, or a person required to be registered under the Act:

an individual who is:

- a sole proprietor of a sole proprietorship;
- a general partner of a partnership;
- a director, president, chief executive officer, chief operating officer, chief financial officer or a person in charge of a business unit, division or function subject to regulation by the Commission of a corporation, limited liability company or limited liability partnership;
- a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; or
- a chief compliance officer; 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 an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to vote 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- has the power to sell or direct the sale of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to receive 10% or more of an applicant or registrant's net profits; or
- has the power to exercise a controlling influence over an applicant or registrant's activities that are subject to regulation by the Commission; or

an [entity](#) that:

- is a general partner of a partnership; or
 - is the direct owner of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities; or
-

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 7

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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an individual who or an [entity](#) that:

- has contributed 10% or more of an applicant or registrant's capital unless such capital contribution consists of subordinated debt contributed by:
 - an unaffiliated bank insured by the Federal Deposit Insurance Corporation;
 - an unaffiliated "foreign bank," as defined in 12 CFR 211.21(n) that currently operates an "office of a foreign bank," as defined in 12 CFR 211.21(t), which is licensed under 12 CFR 211.24(a);
 - such office of an unaffiliated, licensed foreign bank; or
 - an insurance company subject to regulation by any State.

provided such debt is not guaranteed by an individual who or entity that is not a principal of the applicant or registrant.

SELF-REGULATORY ORGANIZATION (SRO): a private, non-governmental organization authorized to set and enforce standards or conduct for an industry. NFA, FINRA (formally 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

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 8

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 9

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 10

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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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

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 12

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Registration Categories

NFA MEMBER

SWAP DEALER

Membership Information

Not applicable.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 13

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Business Information

Business Address	KUNGSTRÄDGÅRDSGATAN 8 STOCKHOLM SE 106 40 SWEDEN
Phone Number	+4687639391
Fax Number	N/A
E-mail Address	MATS.BECKMAN@SEB.SE
Website / URL	WWW.SEBGROUP.COM
Federal EIN	N/A
CRD ID	5020329081
Form of Organization	LIMITED LIABILITY COMPANY
Location	SWEDEN
Other Names	SCANDINAVIAN BANK ALIAS SKANDINAVISKA ENSKILDA BANKEN ALIAS SKANDINAVISKA ENSKILDA BANKEN LONDON BRANCH DBA IN USE SKANDINAVISKA ENSKILDA BANKEN NEW YORK BRANCH DBA IN USE SKANDINAVISKA ENSKILDA BANKEN SINGAPORE BRANCH DBA IN USE

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 14

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Location of Business Records

Business Records Address

KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN

U.S. Address for Production of Business Records

SKANDINAVISKA ENSKILDA BANKEN, NEW YORK BRANCH
245 PARK AVENUE NEW YORK CITY
NEW YORK, NY 10167
UNITED STATES

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 15

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Holding Company Information

Name: INVESTOR AB PUBL
10% or more interest? YES



National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 16

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Regulator Information

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

FINANSINSPEKTIONEN (SWEDISH FSA)
NASDAQ OMX STOCKHOLM AB
NASDAQ OMX HELSINKI LTD
NASDAQ OMX COPENHAGEN A/S
MONETARY AUTHORITY OF SINGAPORE(MAS)
FINANCIAL CONDUCT AUTHORITY (FCA)

U.S. Regulator(s)

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 17

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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? **NO**

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
-

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 18

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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? **N/A**



National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 19

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Regulatory Disclosures

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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](#)? **NO**

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 20

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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**

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 21

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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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**

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 22

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Contact Information

Registration Contact

MATS BECKMAN
HEAD OF COMPLIANCE
KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN
Phone: +4687639391
Fax: N/A
E-mail: MATS.BECKMAN@SEB.SE

Membership Contact

MATS BECKMAN
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KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN
Phone: +4687639391
Fax: N/A
E-mail: MATS.BECKMAN@SEB.SE

Accounting Contact

CAMILLA EKENBERG
ASSISTANT
KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN
Phone: +46850623822
Fax: N/A
E-mail: CAMILLA.EKENBERG@SEB.SE

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 23

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Arbitration Contact

OLOF KAJERDT
HEAD OF LEGAL
KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN
Phone: +4687638314
Fax: N/A
E-mail: OLOF.KAJERDT@SEB.SE

Compliance Contact

MATS BECKMAN
HEAD OF COMPLIANCE
KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
SWEDEN
Phone: +4687639391
Fax: N/A
E-mail: MATS.BECKMAN@SEB.SE

Chief Compliance Officer

GENT JANSSON
HEAD OF GROUP COMPLIANCE
KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM SE-10640
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National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 24

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Enforcement/Compliance Communication Contact

MATS BECKMAN
HEAD OF COMPLIANCE
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National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 25

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

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;

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 26

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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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,

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 27

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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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.

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 28

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

Confidential Matter Information

Regulatory Disclosures

Matter Name SEPTEMBER 1997 FEDERAL RESERVE CASE; FED CASE NO. 97-020-CMP-FB

Matter Details AUTHORITY AND SANCTION:

FEDERAL RESERVE BOARD AND THE NEW YORK STATE BANKING DEPARTMENT (NOW KNOWN AS THE NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES)
SANCTION: \$ 5 MILLION

FACTS IN BRIEF:

WITHOUT ADMITTING TO ANY ALLEGATIONS, SEB AGREED TO A CONSENT ORDER AND CIVIL MONEY PENALTY FOR ALLEGEDLY ENGAGING IN UNSAFE AND UNSOUND PRACTICES AND VIOLATIONS OF LAW AND REGULATIONS RELATED TO THE EXECUTION OF ALLEGEDLY FALSE OFF-MARKET INTERCOMPANY TRANSACTIONS AND THE MAINTENANCE OF AN OUT-OF-BALANCE CONDITION AMONG INTERCOMPANY ACCOUNTS, AND FOR THE NEW YORK BRANCH'S (AND ARTICLE XII CORPORATION'S) FILING OF ALLEGEDLY INACCURATE REGULATORY REPORTS FROM AT LEAST 1993 THROUGH 1994 AS A RESULT OF THE OFF-MARKET TRANSACTIONS AND AT LEAST 1993 THROUGH MID-1996 AS A RESULT OF THE OUT-OF-BALANCE CONDITION. SKANDINAVISKA ENSKILDA BANKEN CONSENTED TO A TOTAL PAYMENT OF \$5.0 MILLION TO BOTH THE FEDERAL RESERVE (\$2.5M) AND THE STATE OF NEW YORK BANKING DEPARTMENT (\$2.5M).

Matter Name JANUARY 2008 EUREX CASE;

Matter Details AUTHORITY AND SANCTION:

EUREX DEUTSCHLAND; SANCTION EUR 40,000

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 29

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

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FACTS IN BRIEF

THE EUREX EXCHANGE SANCTIONED SEB AND ONE OF ITS TRADERS FOR FAILING TO PROPERLY MONITOR AND CONTROL TRANSACTIONS DONE IN THE BANK'S NAME ON THE EUREX EXCHANGE.

Matter Name NOVEMBER 2009 FINANSINSPEKTIONEN CASE; FI DNR 08-7975; COURT FILE NO.17109-10

Matter Details AUTHORITY AND SANCTION:

FINANSINSPEKTIONEN (SWEDISH FSA)
SANCTION: 50 000 SEK (CURRENCY EQUIVALENT IN USD ROUGHLY \$ 9 000), SUBSEQUENTLY REDUCED TO 35 000 SEK BY THE DISTRICT COURT OF STOCKHOLM FOLLOWING AN APPEAL BY SEB.

FACTS IN BRIEF:

LATE DISCLOSURE OF MAJOR SHAREHOLDINGS IN A LISTED COMPANY: A CLIENT OF ONE OF SEB'S NON- SWEDISH INSURANCE COMPANIES BOUGHT SHARES – WITHIN AN INSURANCE WRAPPING – IN THE LISTED COMPANY MSC KONSULT AB. THIS CAUSED SEB TO EXCEED THE DISCLOSURE THRESHOLD 5 %, AND THE DISCLOSURE WAS MADE ONE DAY TOO LATE.

SEB APPEALED AGAINST THE DECISION, AND THE FINES WERE REDUCED BY THE DISTRICT COURT OF STOCKHOLM.

Matter Name MAY 2010 FINANSINSPEKTIONEN CASE; FI DNR 10-4313

Matter Details AUTHORITY AND SANCTION:

FINANSINSPEKTIONEN (SWEDISH FSA)
SANCTION: REPRIMAND + 2.5 MILLION SEK (CURRENCY EQUIVALENT IN \$ ROUGHLY 400 000)

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 30

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

FACTS IN BRIEF:

FAILED TRANSACTION REPORTING IN RESPECT OF CASH EQUITIES: IN 2009, TRANSACTION REPORTS IN RESPECT OF CERTAIN TRANSACTIONS ON THE UK MARKETS WERE LOST DUE TO A CHANGE IN SEB'S OWS-SYSTEM. THE ERROR IN TRANSACTION REPORTING WAS IDENTIFIED INTERNALLY BY SEB, AND WE INFORMED FINANSINSPEKTIONEN (THE SWEDISH FSA) ABOUT IT. A SPECIAL PROJECT WAS INITIATED DUE TO THE INCIDENT, AND IMPROVEMENTS WERE MADE TO OUR INTERNAL PROCESSES.

Matter Name OCTOBER 2011 FINANSINSPEKTIONEN CASE; FI DNR 10-5747

Matter Details AUTHORITY AND SANCTION:

FINANSINSPEKTIONEN (SWEDISH FSA)
SANCTION: 20 000 SEK (CURRENCY EQUIVALENT IN \$
ROUGHLY 3000)

FACTS IN BRIEF:

LATE DISCLOSURE OF MAJOR SHAREHOLDINGS IN A LISTED COMPANY: A CLIENT OF ONE OF SEB'S NON- SWEDISH INSURANCE COMPANIES BOUGHT SHARES – WITHIN AN INSURANCE WRAPPING – IN THE LISTED COMPANY NETONNET AB. THIS CAUSED SEB TO EXCEED THE DISCLOSURE THRESHOLD 5 %, AND THE DISCLOSURE WAS MADE TOO LATE.

Matter Name MAY 2011 FINANSINSPEKTIONEN CASE; FI DNR 11-5466

Matter Details AUTHORITY AND SANCTION:

FINANSINSPEKTIONEN (SWEDISH FSA)
SANCTION: REPRIMAND + 2 MILLION SEK (CURRENCY
EQUIVALENT IN \$ ROUGHLY 300 000)

FACTS IN BRIEF:

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 31

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

DEFICIENCIES IN RESPECT OF FUND DEPOSITORY OBLIGATIONS: SEB IS THE LARGEST INVESTMENT FUND DEPOSITORY IN SWEDEN. FOLLOWING A PEER REVIEW OF FUND DEPOSITORIES IN THE SWEDISH MARKET, FINANSINSPEKTIONEN CONCLUDED THAT SEB - AS AN INVESTMENT FUND DEPOSITORY – HAD FAILED TO MEET ALL ITS STATUTORY OBLIGATIONS, AND IMPOSED A SANCTION ON SEB. ALSO THE OTHER SWEDISH DEPOSITORIES (HANDELSBANKEN AND SWEDBANK) WERE SANCTIONED ON THE SAME BASIS. FINANSINSPEKTIONEN WAS HOWEVER SATISFIED THAT SEB HAD TAKEN ADEQUATE MEASURES TO REMEDY THE OBSERVED DEFICIENCIES.

Matter Name NOVEMBER 2011 CFTC CASE; CFTC CASE NO. 12-04

Matter Details AUTHORITY AND SANCTION:

CFTC; SANCTION: 150 000 \$ CIVIL MONETARY PENALTY

FACTS IN BRIEF

CFTC ISSUED AN ORDER FILING AND SETTLED CHARGES AGAINST ENSKILDA FUTURES LTD (EFL) – A WHOLLY OWNED SUBSIDIARY OF SEB AB REGISTERED AS AN FCM WITH THE NFA – AND SEB AB FOR FAILING TO DILIGENTLY SUPERVISE ACCOUNTS CARRIED BY EFL IN VIOLATION OF CFTC REGULATION 166.3. SEB WAS ORDERED TO PAY THE PENALTY JOINTLY AND SEVERALLY WITH EFL BECAUSE EFL WAS ACTING AS AN AGENT FOR SEB AB AND BECAUSE SEB AB ACTED AS EFL'S PRINCIPAL. THE DEFICIENCIES WAS DETECTED BY CME, AND REMEDIED BY SEB AB/EFL PRIOR TO THE DATE OF THE ORDER.

Matter Name JANUARY 2013 CFTC CASE; CFTC CASE NO. 13-17

Matter Details AUTHORITY AND SANCTION

THE CFTC; SANCTION: USD 125,000

National Futures Association

Firm Application (7R) Filed January 11, 2014

Page 32

OMB Number 3038-0072

NFA ID 0243341 SKANDINAVISKA ENSKILDA BANKEN AB PUBL

Submitted By BECKMANM2 MATS BECKMAN

FACTS IN BRIEF:

IN AN AGREED SETTLEMENT, ENSKILDA FUTURES LIMITED (EFL) – A WHOLLY OWNED SUBSIDIARY OF SEB AB REGISTERED AS AN FCM WITH THE NFA –AND SEB AB PAID USD 125,000 TO THE CFTC IN RELATION TO THE MISREPORTING OF EFL'S CAPITAL POSITION DURING A PERIOD IN 2011 AND DUE TO THE BREACH OF EFL'S MINIMUM CAPITAL REQUIREMENTS ON OCCASIONS DURING THIS PERIOD. THE PROBLEM AROSE DUE TO THE INCORRECT CALCULATION OF MARGIN TAKEN BY EFL FROM SEB, AS A RESULT OF WHICH THERE SHOULD HAVE BEEN A DEDUCTION OF THE UNCOLLECTED AMOUNT FROM EFL'S CAPITAL BASE CALCULATION. THE SITUATION WAS RECTIFIED THE MOMENT IT WAS RECOGNISED.

Matter Name MARCH 2013 FINANSINSPEKTIONEN CASE; FI DNR 12-12521

Matter Details AUTHORITY AND SANCTION:

FINANSINSPEKTIONEN (SWEDISH FSA)
SANCTION: 40 000 SEK (CURRENCY EQUIVALENT IN \$
ROUGHLY 6000)

FACTS IN BRIEF:

FINANSINSPEKTIONEN IMPOSED THE FINE DUE TO A SLIGHT DELAY (ONE DAY) IN REQUIRED FINANCIAL REPORTING FROM SEB'S BRANCH OFFICES IN OSLO AND NEW YORK.
