



## Entity Profile Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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### Current Status Information

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Branch ID	Status	Effective Date
	<b>ALSO SEE NFA ID 0434534</b>	
	NFA MEMBER APPROVED	05/15/2013
	SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012

### Status History Information

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Status	Effective Date
<b>ALSO SEE NFA ID 0434534</b>	
NFA MEMBER APPROVED	05/15/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
NFA MEMBER PENDING	12/18/2012
SWAP DEALER PENDING	12/18/2012

### Outstanding Requirements

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Annual Due Date: 6/1/2023

4S SUBMISSIONS IN REVIEW

### Disciplined Employee Summary

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## Business Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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Name	<b>HSBC BANK USA NA</b>
Form of Organization	<b>US FEDERALLY CHARTERED BANK</b>

Federal EIN	<b>201177241</b>
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### Business Address

Street Address 1	<b>1800 TYSONS BOULEVARD, SUITE 50</b>
City	<b>TYSONS</b>
State (United States only)	<b>VIRGINIA</b>
Zip/Postal Code	<b>22102</b>
Country	<b>UNITED STATES</b>

Phone Number	<b>302-652-4673</b>
Fax Number	<b>302-652-4927</b>

Email	<b>CHRISTINE.A.CALARCO@US.HSBC.COM</b>
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Website/URL	<b>WWW.US.HSBC.COM</b>
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CRD/IARD ID	<b>Not provided</b>
	<b>US FEDERALLY CHARTERED BANK</b>
	<b>F</b>





## Location of Business Records

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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Street Address 1	<b>452 FIFTH AVENUE</b>
City	<b>NEW YORK</b>
State	<b>NEW YORK</b>
Zip/Postal Code	<b>10018</b>
Country	<b>UNITED STATES</b>





## Principal Information

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Viewed on April 19, 2023

NFA ID 0443649 HSBC BANK USA NA

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### Individual Information

NFA ID	<b>0544072</b>
Name	<b>BAILEY, DEBORAH PARKER</b>
Title(s)	<b>DIRECTOR</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>03-07-2022</b>

NFA ID	<b>0516507</b>
Name	<b>CALARCO, CHRISTINE ANNE</b>
Title(s)	<b>CHIEF COMPLIANCE OFFICER</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>09-26-2018</b>

NFA ID	<b>0553422</b>
Name	<b>ELMGART, PADMA</b>
Title(s)	<b>DIRECTOR</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>02-23-2023</b>

NFA ID	<b>0545796</b>
Name	<b>FLOWERS, MELVIN LOUIS</b>
Title(s)	<b>DIRECTOR</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>05-11-2022</b>

NFA ID	<b>0469907</b>
Name	<b>HARTMANN, WILLIAM LLOYD</b>
Title(s)	<b>DIRECTOR</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>01-11-2023</b>



NFA ID **0527670**  
Name **HENDERSON, JASON RYAN**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **04-13-2020**

NFA ID **0536229**  
Name **KEEFE, GERALD FRANCIS**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **05-14-2021**

NFA ID **0497278**  
Name **KROEGER, BARRY**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **06-24-2016**

NFA ID **0552193**  
Name **LARSON, CAROL HULIT**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **01-11-2023**

NFA ID **0545792**  
Name **MADISON, GEORGE WHEELER**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **05-11-2022**

NFA ID **0525756**  
Name **MAHTANI, KAVITA**  
Title(s) **CHIEF FINANCIAL OFFICER**  
10% or More Interest **No**  
Status **APPROVED**



Effective Date **11-22-2019**

NFA ID **0454121**  
Name **MISTRETТА, NANCY GOLDSMITH**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-13-2013**

NFA ID **0500004**  
Name **OSSANNA, MARCO**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **12-01-2020**

NFA ID **0289945**  
Name **POLSKY, LISA K**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-23-2023**

NFA ID **0547870**  
Name **PRIVITERA, MICHAEL LEONARD**  
Title(s) **CHIEF OPERATING OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **06-10-2022**

NFA ID **0525742**  
Name **ROBERTS, MICHAEL MURRAY**  
Title(s) **CHIEF EXECUTIVE OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **12-09-2019**

NFA ID **0449206**  
Name **ROBERTSON, BRIAN**  
Title(s) **DIRECTOR**  
10% or More Interest **No**



Status **APPROVED**  
Effective Date **07-20-2018**

NFA ID **0544044**  
Name **SCHROEDER, ALICE DAVEY**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **03-07-2022**

NFA ID **0488361**  
Name **SHERBURNE, JANE**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **08-13-2015**

NFA ID **0541346**  
Name **TRABOULSI, ALFRED**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **11-22-2021**

#### **Holding Company Information**

NFA ID **0453422**  
Full Name **HSBC HOLDINGS PLC**  
10% or More Interest **Yes**  
Status **APPROVED**  
Effective Date **12-27-2012**

NFA ID **0455687**  
Full Name **HSBC NORTH AMERICA HOLDINGS INC**  
10% or More Interest **Yes**  
Status **APPROVED**  
Effective Date **12-27-2012**

NFA ID **0455684**



Full Name	<b>HSBC OVERSEAS HOLDING UK LIMITED</b>
10% or More Interest	<b>Yes</b>
Status	<b>APPROVED</b>
Effective Date	<b>12-27-2012</b>

NFA ID	<b>0063886</b>
Full Name	<b>HSBC USA INC</b>
10% or More Interest	<b>Yes</b>
Status	<b>APPROVED</b>
Effective Date	<b>12-27-2012</b>





## Non-U.S. Regulator Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

Country	Regulator Name
CAYMAN ISLANDS	CAYMAN ISLANDS MONETARY AUTHORITY
HONG KONG	HONG KONG MONETARY AUTHORITY
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
CANADA	OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS
BRAZIL	BANCO CENTRAL DO BRASIL/BRAZILIAN CENTRAL BANK
CHILE	SUPERINTENDENCIA DE BANCOS E INSTITUCIONES FINANCIERAS CHILE
COLOMBIA	SUPERINTENDENCIA FINANCIERA DE COLOMBIA
URUGUAY	BANCO CENTRAL DEL URUGUAY
SINGAPORE	MONETARY AUTHORITY OF SINGAPORE
ARGENTINA	BANCO CENTRAL DE LA REPUBLICA ARGENTINA
CHINA	CHINA BANKING REGULATORY COMMISSION
ISRAEL	BANK OF ISRAEL





## Disciplinary Information - Criminal Disclosures

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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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?

**Yes**



Criminal Disclosure Matter Summary: NONE





## Disciplinary Information - Regulatory Disclosures

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

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

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

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

- the allegations; and
- the final disposition.

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



Question D

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

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

**No**

Question E

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

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

**Yes**

Question F

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

**No**

Question G

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

**Yes**



Question H

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

**Yes**

Question I

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

**Yes**



Online Registration System

Disciplinary Information - Regulatory Disclosure Matter Summary

NFA ID

0443649



HSBC BANK USA NA

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

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

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to [registration@nfa.futures.org](mailto:registration@nfa.futures.org).

+ Add DMP

Current Regulatory Disclosure Matter Summary (9 DMPs)							
Show <div>100</div> entries		Search: <div></div>					
Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
<a href="#">E</a>	18978	<a href="#">05/15/2023</a>	CFTC DOCKET NO. 23-27	FINAL	5/2023		
<a href="#">E</a>	18977	<a href="#">05/15/2023</a>	CFTC DOCKET NO. 23-26	FINAL	5/2023	<a href="#">05/15/2023</a>	
	16448	<a href="#">10/06/2017</a>	FOREIGN EXCHANGE TRADING PRACTICES				
	16449	<a href="#">10/05/2017</a>	FRB FOREIGN EXCHANGE TRADING				
	16450	<a href="#">03/02/2016</a>	FEBRUARY 2016: CIVIL ACTION NO.:16-0199				
	16447	<a href="#">10/21/2015</a>	DEPT. OF THE TREASURY COMPTROLLER OF THE CURRENCY				
	16444	<a href="#">12/18/2012</a>	APRIL 2011 - OFFICE OF THE COMPTROLLER OF THE CURRENCY - CEASE AND DESIST ORDER				
	16445	<a href="#">12/18/2012</a>	DECEMBER 2012 - DEFERRED PROSECUTION & CONSENT ORDERS W/ REGULATORY AND LAW ENFORCEMENT AUTHORITIES				
	16443	<a href="#">12/18/2012</a>	OCTOBER 2010 - OFFICE OF THE COMPTROLLER OF THE CURRENCY - CEASE AND DESIST ORDER				
Archived Regulatory Disclosure Matter Summary ^							
There are currently no archived DMPs.							





## Disciplinary Information - Financial Disclosures

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

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

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

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

- the allegations; and
- the final disposition.

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

### Question J

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

**Yes**



DMP Filing System

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

NFA ID

1443649

Q

HSBC BANK USA NA

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

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

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to [registration@nfa.futures.org](mailto:registration@nfa.futures.org).

+ Add DMP

Current Financial Disclosure Matter Summary (1 DMP)

Show 100 entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	16446	10/20/2014	FINANCIAL DISCLOSURE				

Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.





## Registration Contact Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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First Name	<b>ISABEL</b>
Last Name	<b>PIERRE ISABELLE</b>
Street Address 1	<b>1421 W SHURE DRIVE</b>
Street Address 2	<b>SUITE 100</b>
City	<b>ARLINGTON HEIGHTS</b>
State (United States only)	<b>ILLINOIS</b>
Zip/Postal Code	<b>60004</b>
Country	<b>UNITED STATES</b>
Phone	<b>224-880-7048</b>
Fax	<b>224-383-3385</b>
Email	<b>ISABEL.X.PIERRI-ISABELLE@US.HSBC.COM</b>





## Enforcement/Compliance Communication Contact Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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First Name	<b>CHRISTINE</b>
Last Name	<b>CALARCO</b>
Title	<b>CHIEF COMPLIANCE OFFICER</b>
Street Address 1	<b>1 WEST 39TH STREET</b>
City	<b>NEW YORK</b>
State (United States only)	<b>NEW YORK</b>
Zip/Postal Code	<b>10018</b>
Country	<b>UNITED STATES</b>
Phone	<b>212-525-2234</b>
Fax	<b>212-525-0319</b>
Email	<b>CHRISTINE.A.CALARCO@US.HSBC.COM</b>





## Membership Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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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**  
**THE FEDERAL DEPOSIT INSURANCE CORPORATION**  
**THE OFFICE OF THE COMPTROLLER OF THE CURRENCY**





## Membership Contact Information

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Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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### Membership Contact

First Name	CHRISTINE
Last Name	CALARCO
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	1 WEST 39TH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-2234
Fax	212-525-0319
Email	CHRISTINE.A.CALARCO@US.HSBC.COM

### Accounting Contact

First Name	ISABEL
Last Name	PIERRI ISABELLE
Title	VICE PRESIDENT
Street Address 1	1421 W. SHURE DRIVE
Street Address 2	SUITE 100
City	ARLINGTON HEIGHTS
State (United States only)	ILLINOIS
Zip/Postal Code	60004
Country	UNITED STATES
Phone	224-880-7048
Fax	224-383-3385
Email	ISABEL.X.PIERRI-ISABELLE@US.HSBC.COM



**Arbitration Contact**

First Name	MARK
Last Name	STEFFENSEN
Title	GENERAL COUNSEL
Street Address 1	452 FIFTH AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-8119
Fax	646-366-6121
Email	MARK.A.STEFFENSEN@US.HSBC.COM

**Compliance Contact**

First Name	CHRISTINE
Last Name	CALARCO
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	1 WEST 39TH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-2234
Fax	212-525-0319
Email	CHRISTINE.A.CALARCO@US.HSBC.COM



**Chief Compliance Officer Contact**

First Name	CHRISTINE
Last Name	CALARCO
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	1 WEST 39TH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-2234
Fax	212-525-0319
Email	CHRISTINE.A.CALARCO@US.HSBC.COM





# Online Registration System

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## Search

- For an Individual
- For a Firm, Holding Company or Sole Proprietor
- For a Pool
- By Social Security Number

## Branch Office Manager List

NFA ID 0443649

HSBC BANK USA NA

**No information available.**

## Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

## Firm Profile

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

## Internal Processing

- View Registration Information
- Outstanding Requirements
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

## Registration and Membership

- Current Registration Status
- Registration History

## Hardcopies

- Filing History



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# Online Registration System

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## Search

- For an Individual
- For a Firm, Holding Company or Sole Proprietor
- For a Pool
- By Social Security Number

## Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

## Firm Profile

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

## Internal Processing

- View Registration Information
- Outstanding Requirements
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

## Registration and Membership

- Current Registration Status
- Registration History

## Hardcopies

- Filing History

## Filing History

NFA ID 0443649

HSBC BANK USA NA

Sponsor ID

**Filter By:**  
[Form Message](#)

<u>Process Date</u>	<u>Sponsor NFA ID</u>	<u>Form Message</u>	<u>User Name</u>
05/15/2023		<a href="#">FIRM REGULATORY DMP ADDED - 18978</a>	LUCKMANR
05/15/2023		<a href="#">FIRM REGULATORY DMP UPDATED - 18977</a>	LUCKMANR
05/15/2023		<a href="#">FIRM REGULATORY DMP ADDED - 18977</a>	LUCKMANR
12/28/2022		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
12/28/2022		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
05/24/2021		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
07/25/2019		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
11/02/2018		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
09/28/2018		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
07/26/2018		<a href="#">HOLDING COMPANY DELETED FOR ID 0455686</a>	NAZIFIA1
07/26/2018		<a href="#">HOLDING COMPANY DELETED FOR ID 0455685</a>	NAZIFIA1
07/19/2018		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
06/13/2018		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NAZIFIA1
10/06/2017		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	NAZIFIA1
10/06/2017		<a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>	NAZIFIA1
10/05/2017		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	NAZIFIA1



10/05/2017	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</u>	NAZIFIA1
10/05/2017	<u>FIRM REGULATORY DISCLOSURE QUESTION E CHANGED</u>	NAZIFIA1
10/05/2017	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</u>	NAZIFIA1
10/05/2017	<u>FIRM REGULATORY DISCLOSURE QUESTION E CHANGED</u>	NAZIFIA1
05/23/2017	<u>BUSINESS LOCATIONS CHANGED</u>	NAZIFIA1
05/23/2017	<u>BUSINESS LOCATIONS CHANGED</u>	NAZIFIA1
10/17/2016	<u>BUSINESS LOCATIONS CHANGED</u>	MATSUMOTO1
03/02/2016	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	CAMPANIONIM1
03/02/2016	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</u>	CAMPANIONIM1
03/02/2016	<u>FIRM REGULATORY DISCLOSURE QUESTION I CHANGED</u>	CAMPANIONIM1
10/21/2015	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	CHAVIERIE
09/01/2015	<u>BUSINESS LOCATIONS CHANGED</u>	CHAVIERIE
02/02/2015	<u>BUSINESS LOCATIONS CHANGED</u>	CAMPANIONIM1
01/29/2015	<u>BUSINESS LOCATIONS CHANGED</u>	CAMPANIONIM1
10/20/2014	<u>FIRM FINANCIAL MATTER INFORMATION FILED</u>	CAMPANIONIM1
10/20/2014	<u>FIRM FINANCIAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</u>	CAMPANIONIM1
10/20/2014	<u>FIRM FINANCIAL DISCLOSURE QUESTION J CHANGED</u>	CAMPANIONIM1
01/31/2014	<u>BUSINESS LOCATIONS CHANGED</u>	CHAVIERIE
12/20/2013	<u>BUSINESS LOCATIONS CHANGED</u>	CHAVIERIE
10/29/2013	<u>FIRM CRIMINAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</u>	CHAVIERIE
10/29/2013	<u>FIRM CRIMINAL DISCLOSURE QUESTION C CHANGED</u>	CHAVIERIE
12/18/2012	<u>FIRM APPLICATION FILED</u>	CHAVIERIE

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