



Entity Profile Information

Viewed on November 30, 2023

NFA ID 0443649 HSBC BANK USA NA

Current Status Information

Branch ID	Status	Effective Date
	ALSO SEE NFA ID 0434534	
	SWAP DEALER REGISTERED	08/15/2023
	NFA MEMBER APPROVED	05/15/2013

Status History Information

Status	Effective Date
ALSO SEE NFA ID 0434534	
SWAP DEALER REGISTERED	08/15/2023
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

Annual Due Date: 6/1/2024

ANNUAL MEMBERSHIP DUES REQUIRED FOR 3/1/2024

Disciplined Employee Summary



Business Information

Viewed on February 26, 2024

NFA ID 0443649 HSBC BANK USA NA

Name	HSBC BANK USA NA
Form of Organization	US FEDERALLY CHARTERED BANK

Federal EIN	201177241
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Business Address

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

Phone Number	302-652-4673
Fax Number	302-652-4927

Email	NICHOLAS.M.SAHADI@US.HSBC.COM
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Website/URL	WWW.US.HSBC.COM
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CRD/IARD ID	Not provided
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Location of Business Records

Viewed on November 30, 2023

NFA ID 0443649 HSBC BANK USA NA

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



Principal Information

Viewed on February 26, 2024

NFA ID 0443649 HSBC BANK USA NA

Individual Information

NFA ID	0561211
Name	AVILES DE KOSTES, EDITH VALENTINA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	02-09-2024

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

NFA ID	0292276
Name	DALTON, RICHARD KENNETH
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	01-22-2024

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

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

NFA ID **0561370**
Name **HANKINSON, DANIEL**
Title(s) **CHIEF FINANCIAL OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-22-2024**

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

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 **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 **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 **0486363**
Name **SAHADI, NICHOLAS MITCHELL**
Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-04-2024**

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

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	HSBC OVERSEAS HOLDING UK LIMITED
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-27-2012

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



Non-U.S. Regulator Information

Viewed on November 30, 2023

NFA ID 0443649 HSBC BANK USA NA

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

Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

DMP Filing System

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

NFA ID

1443649

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.

+ Add DMP

Current Financial Disclosure Matter Summary (1 DMP)

Show100 ▾ 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.



Disciplinary Information - Financial Disclosures

Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

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.

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+ Add DMP

Current Financial Disclosure Matter Summary (1 DMP)							
<div><div>Show</div><div>100</div><div>entries</div></div> <div>Search: <input type="text"/></div>							
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

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There are currently no archived DMPs.



Registration Contact Information

Viewed on November 30, 2023

NFA ID 0443649 HSBC BANK USA NA

First Name	ROBERT
Last Name	LUCKMAN
Title	SENIOR ASSISTANCE VICE PRESIDENT
Street Address 1	227 W MONROE
Street Address 2	SUITE 1810
City	CHICAGO
State (United States only)	ILLINOIS
Zip/Postal Code	60606
Country	UNITED STATES
Phone	224-880-8555
Email	ROBERT.D.LUCKMAN@US.HSBC.COM



Enforcement/Compliance Communication Contact Information

Viewed on February 26, 2024

NFA ID 0443649 HSBC BANK USA NA

First Name	NICHOLAS
Last Name	SAHADI
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	452 FIFTH AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-4771
Email	NICHOLAS.M.SAHADI@US.HSBC.COM



Membership Information

Viewed on February 21, 2023

NFA ID 0443649 HSBC BANK USA NA

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

Viewed on February 26, 2024

NFA ID 0443649 HSBC BANK USA NA

Membership Contact

First Name	NICHOLAS
Last Name	SAHADI
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	452 FIFTH AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-4771
Email	NICHOLAS.M.SAHADI@US.HSBC.COM

Accounting Contact

First Name	ROBERT
Last Name	LUCKMAN
Title	SENIOR ASSISTANT VICE PRESIDENT
Street Address 1	227 W. MONROE STREET
Street Address 2	SUITE 100
City	CHICAGO
State (United States only)	ILLINOIS
Zip/Postal Code	60606
Country	UNITED STATES
Phone	224-880-8555
Email	ROBERT.D.LUCKMAN@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	NICHOLAS
Last Name	SAHADI
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	452 FIFTH AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-4771
Email	NICHOLAS.M.SAHADI@US.HSBC.COM

Chief Compliance Officer Contact

First Name	NICHOLAS
Last Name	SAHADI
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	452 FIFTH AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10018
Country	UNITED STATES
Phone	212-525-4771
Email	NICHOLAS.M.SAHADI@US.HSBC.COM



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- 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
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

Hardcopies

- Filing History

Branch Office Manager List

NFA ID 0443649

HSBC BANK USA NA

No information available.

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Firm Profile

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Internal Processing

- View Registration Information
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- TL's Due to Withdraw
- Notices

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>
01/04/2024		BUSINESS LOCATIONS CHANGED	LUCKMANR
11/16/2023		BUSINESS LOCATIONS CHANGED	LUCKMANR
11/13/2023		BUSINESS LOCATIONS CHANGED	BOWERSA1
05/15/2023		FIRM REGULATORY DMP ADDED - 18978	LUCKMANR
05/15/2023		FIRM REGULATORY DMP UPDATED - 18977	LUCKMANR
05/15/2023		FIRM REGULATORY DMP ADDED - 18977	LUCKMANR
12/28/2022		BUSINESS LOCATIONS CHANGED	NAZIFIA1
12/28/2022		BUSINESS LOCATIONS CHANGED	NAZIFIA1
05/24/2021		BUSINESS LOCATIONS CHANGED	NAZIFIA1
07/25/2019		BUSINESS LOCATIONS CHANGED	NAZIFIA1
11/02/2018		BUSINESS LOCATIONS CHANGED	NAZIFIA1
09/28/2018		BUSINESS LOCATIONS CHANGED	NAZIFIA1
07/26/2018		HOLDING COMPANY DELETED FOR ID 0455686	NAZIFIA1
07/26/2018		HOLDING COMPANY DELETED FOR ID 0455685	NAZIFIA1
07/19/2018		BUSINESS LOCATIONS CHANGED	NAZIFIA1
06/13/2018		BUSINESS LOCATIONS CHANGED	NAZIFIA1
10/06/2017		FIRM REGULATORY MATTER INFORMATION FILED	NAZIFIA1
10/06/2017		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION	NAZIFIA1

	<u>ANSWERED NO</u>	
10/05/2017	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	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