



Entity Profile Information

Viewed on September 06, 2022

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Current Status Information

Branch ID	Status	Effective Date
	NFA MEMBER APPROVED	05/07/2013
	SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012

Status History Information

Status	Effective Date
NFA MEMBER APPROVED	05/07/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
NFA MEMBER PENDING	12/20/2012
SWAP DEALER PENDING	12/20/2012

NFA ID 0324375 COWEN EXECUTION SERVICES LLC

PRINCIPAL WITHDRAWN	07/12/2017
PRINCIPAL APPROVED	08/20/2014
PRINCIPAL PENDING	08/20/2014

NFA ID 0440676 CUTWATER INVESTOR SERVICES CORP

PRINCIPAL WITHDRAWN	08/17/2017
PRINCIPAL APPROVED	01/13/2016
PRINCIPAL PENDING	01/12/2016

NFA ID 0442521 HEDGEMARK ADVISORS LLC

PRINCIPAL WITHDRAWN	02/07/2018
PRINCIPAL APPROVED	06/03/2014
PRINCIPAL PENDING	06/03/2014

Outstanding Requirements

Annual Due Date: 6/1/2023

4S SUBMISSIONS IN REVIEW

ANNUAL MEMBERSHIP DUES REQUIRED FOR 12/1/2022

ANNUAL MEMBERSHIP DUES REQUIRED FOR 3/1/2023

Disciplined Employee Summary



Business Information

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Name	BANK OF NEW YORK MELLON THE
Form of Organization	OTHER
State	NEW YORK
Country	UNITED STATES

Federal EIN	Not provided
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Business Address

Street Address 1	240 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES

Phone Number	212-815-3427
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Fax Number	212-3130838
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Email	RICHARD.IZZO@BNYMELLON.COM
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Website/URL	Not provided
-------------	---------------------

CRD/IARD ID	Not provided
	OTHER
	F



Other Names

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

BANK OF NEW YORK

DBA NOT IN USE



Location of Business Records

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES



Principal Information

Viewed on September 06, 2022

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Individual Information

NFA ID	0469982
Name	COOK, LINDA ZARDA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	03-06-2017

NFA ID	0485375
Name	ECHEVARRIA, JOSEPH JAMES
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-14-2015

NFA ID	0542838
Name	ENGLE, BRIDGET
Title(s)	CHIEF OPERATING OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	09-24-2021

NFA ID	0539222
Name	GILLILAND, MARGUERITE AMY
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-04-2021

NFA ID	0365537
Name	GOLDSTEIN, JEFFREY ALAN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-22-2014

NFA ID **0539299**
Name **GOWRAPPAN, KUMARA GURU**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-04-2021**

NFA ID **0533109**
Name **IZZO, RALPH**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-18-2020**

NFA ID **0216625**
Name **KELLY, EDMUND FRANCIS**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-03-2013**

NFA ID **0494793**
Name **LYNCH, ROBERT EDWARD**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-09-2020**

NFA ID **0436090**
Name **OCONNOR, SANDRA ELIZABETH**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-09-2022**

NFA ID **0277661**
Name **PORTNEY, EMILY HOPE**
Title(s) **CHIEF FINANCIAL OFFICER**
10% or More Interest **No**
Status **APPROVED**

Effective Date **11-11-2020**

NFA ID **0453767**
Name **ROBINSON, ELIZABETH ERIN**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-07-2017**

NFA ID **0523660**
Name **SANTHANA KRISHNAN, SENTHILKUMAR**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-31-2019**

NFA ID **0455287**
Name **SCOTT, SAMUEL C**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-03-2013**

NFA ID **0532424**
Name **TERRELL, FREDERICK O**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-11-2020**

NFA ID **0549465**
Name **TUMMINIO, DONNA M**
Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-17-2022**

NFA ID **0453798**
Name **VINCE, ROBIN ANTONY**
Title(s) **CHIEF EXECUTIVE OFFICER**
10% or More Interest **No**

Status	APPROVED
Effective Date	07-07-2022

NFA ID	0529504
Name	VITALE, JASON DOMINICK
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	04-03-2020

NFA ID	0501559
Name	VOS, ADAM EDWARD
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	12-30-2016

NFA ID	0522369
Name	ZOLLAR, ALFRED WARREN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-24-2019

Holding Company Information

NFA ID	0291527
Full Name	BANK OF NEW YORK MELLON CORPORATION THE
10% or More Interest	Yes
Status	APPROVED
Effective Date	01-07-2013



Principal Name and Financial Interest

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Past Firms

Sponsor ID	Sponsor Name	Title(s)	10% or more interest?
0324375	COWEN EXECUTION SERVICES LLC		N
0440676	CUTWATER INVESTOR SERVICES CORP		Y
0442521	HEDGEMARK ADVISORS LLC		Y



Non-U.S. Regulator Information

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

FINANCIAL SERVICES AGENCY (JAPAN) BANK OF JAPAN KANTO FINANCIAL BUREAU (JAPAN)
NATIONAL BANK OF BELGIUM DUBAI FINANCIAL SERVICES AUTHORITY (DFSA) BAFIN
(GERMANY) DEUTSCHE BUNDESBANK (GERMANY) CENTRAL BANK OF IRELAND BANCA
D'ITALIA-SUPERVISIONE BANCHE (ITALY) CSSF, DEPARTMENT SUPERVISION OF BANKS
(LUXEMBOURG) NEDERLANDSCHE BANK (PRUDENTIAL SUPERVISION) NETHERLANDS AFM -
AUTHORITY OF FINANCIAL MARKETS (MARKET CONDUCT SUPERVISION) NETHERLANDS FSA
(CONDUCT BUSINESS UNIT) UK APRA - BANK LICENCE (AUSTRALIA) ASIC - MARKET
PARTICIPANT (AUSTRALIA) CBRC SHANGHAI OFFICE (CHINA-SHANGHAI) CBRC BEIJING
OFFICE (CHINA-BEIJING) HKMA (HONG KONG) FINANCIAL SUPERVISORY SERVICE (KOREA)
MAS - SINGAPORE BRANCH BANKING BUREAU, FINANCIAL SUPERVISORY COMMISSION
(TAIPEI) BANK INDONESIA (JAKARTA) BANK NEGARA MALAYSIA (KUALA LUMPUR) BANK OF
THAILAND (BANGKOK) BANGKO SENTRAL NG PILIPINAS (MANILA) RESERVE BANK OF INDIA
(MUMBAI)



Disciplinary Information - Criminal Disclosures

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

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

Online Registration System

Disciplinary Information - Criminal Disclosure Matter Summary

NFA ID

0420990

Q

BANK OF NEW YORK MELLON THE

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 Criminal Disclosure Matter Summary (2 DMPs)

Show

100

▼

entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	16323	12/20/2012	2005 NON-PROSECUTION AGREEMENT				
	16327	12/20/2012	[NOT A MATTER] BANK OF NEW YORK MELLON CORPORATE HISTORY				

? Archived Criminal Disclosure Matter Summary

There are currently no archived DMPs.



Disciplinary Information - Regulatory Disclosures

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

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

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

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

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

- the allegations; and
- the final disposition.

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

Question D

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

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

No

Question E

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

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

Yes

Question F

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

No

Question G

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

No

Question H

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

No

Question I

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

No

Online Registration System

Disciplinary Information - Regulatory Disclosure Matter Summary

NFA ID

0420990



BANK OF NEW YORK MELLON THE

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.

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+ Add DMP

Current Regulatory Disclosure Matter Summary (19 DMPs)

Show 100 entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	16336	01/03/2019	SEC RELEASE NO. 33-10586; ADMINISTRATIVE PROCEEDING FILE NO. 3-18933				
	16334	07/24/2017	FEDERAL RESERVE-DOCKET NO. 17- 016-CMP-HC				
	16335	06/24/2016	JUNE 13, 2016 SEC ADMINISTRATIVE PROCEEDING FILE NO. 3-17286				
	16337	01/07/2016	ATTORNEY GENERAL OF THE STATE OF NEW YORK				
	16332	01/07/2016	UNITED STATES ATTORNEY FOR THE SOUTHERN DISTRICT OF NEW YORK				
	16333	07/21/2015	U.S. DEPARTMENT OF LABOR, U.S. SECURITIES AND EXCHANGE COMMISSION				
	16338	07/21/2015	U.K. FINANCIAL CONDUCT AUTHORITY, CASE # 122467				
	16318	07/21/2015	SUPREME COURT OF NEW YORK, NEW YORK COUNTY, INDEX NO. 114735/09				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	16317	<u>07/21/2015</u>	U.S. DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK - CASE # 11-06969				
	16319	<u>08/07/2013</u>	SEC AUCTION RATE SECURITIES, JANUARY 9, 2007, SEC FILE NO. 3-12526				
	16326	<u>12/20/2012</u>	2006 WRITTEN AGREEMENT WITH THE FEDERAL RESERVE BANK OF NEW YORK AND THE NYS BANKING DEPT				
	16321	<u>12/20/2012</u>	2006 WRITTEN AGREEMENT WITH THE NY FED AND NYS BANKING DEPARTMENT				
	16322	<u>12/20/2012</u>	2007 RUSSIAN FEDERATION CUSTOMS				
	16325	<u>12/20/2012</u>	AGREEMENTS BETWEEN MELLON BANK NA AND THE US ATTORNEY'S OFFICE FOR THE WESTERN DISTRICT OF PA				
	16329	<u>12/20/2012</u>	BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM (RE: BNYM)				
	16331	<u>12/20/2012</u>	BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT				
	16330	<u>12/20/2012</u>	FEDERAL CUSTOMS SERVICE OF THE RUSSIAN FEDERATION CLAIM				
	16324	<u>12/20/2012</u>	SECURITIES & EXCHANGE COMMISSION ("SEC")				
	16328	<u>12/20/2012</u>	UNITED STATES ATTORNEY FOR THE SOUTHERN DISTRICT OF NEW YORK				

🔍 Archived Regulatory Disclosure Matter Summary

There are currently no archived DMPs.



Disciplinary Information - Financial Disclosures

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

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

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

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

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

- the allegations; and
- the final disposition.

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

Question J

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

Yes

Online Registration System

Disciplinary Information - Financial Disclosure Matter Summary

NFA ID

0420990

Q

BANK OF NEW YORK MELLON THE

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)

Show

100

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Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	16320	12/20/2012	SENTINEL MANAGEMENT GROUP, INC.				

Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.



Registration Contact Information

Viewed on October 19, 2021

NFA ID 0420990 BANK OF NEW YORK MELLON THE

First Name	RICHARD
Last Name	IZZO
Title	DIRECTOR
Street Address 1	COMPLIANCE DEPARTMENT
Street Address 2	240 GREENWICH STREET
Street Address 3	101-1250
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-3427
Fax	212-313-0838
Email	RICHARD.IZZO@BNYMELLON.COM



Enforcement/Compliance Communication Contact Information

Viewed on September 06, 2022

NFA ID 0420990 BANK OF NEW YORK MELLON THE

First Name	DONNA
Last Name	TUMMINIO
Title	CCO SWAP DEALER
Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-3982
Fax	212-313-0838
Email	DONNA.TUMMINIO@BNYMELLON.COM



Membership Contact Information

Viewed on September 06, 2022

NFA ID 0420990 BANK OF NEW YORK MELLON THE

Membership Contact

First Name	DONNA
Last Name	TUMMINIO
Title	CCO SWAP DEALER
Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-3982
Fax	212-313-0838
Email	DONNA.TUMMINIO@BNYMELLON.COM

Accounting Contact

First Name	FERNANDO
Last Name	COSTA
Title	DIRECTOR
Street Address 1	240 GREENWICH STREET
Street Address 2	101-0400
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-5045
Email	FERNANDO.COSTA@BNYMELLON.COM

Arbitration Contact

First Name	JOELLE
Last Name	EKUNWE
Title	MANAGING COUNSEL
Street Address 1	240 GREENWICH STREET
Street Address 2	LEGAL DEPARTMENT
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-635-1823
Email	JOELLE.EKUNWE@BNYMELLON.COM

Compliance Contact

First Name	DONNA
Last Name	TUMMINIO
Title	CCO SWAP DEALER
Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-3982
Fax	212-313-0838
Email	DONNA.TUMMINIO@BNYMELLON.COM

Chief Compliance Officer Contact

First Name	DONNA
Last Name	TUMMINIO
Title	CCO SWAP DEALER
Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-3982
Fax	212-313-0838
Email	DONNA.TUMMINIO@BNYMELLON.COM



Online Registration System

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- 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

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- Filing History

Branch Office Manager List

NFA ID

BANK OF NEW YORK MELLON THE

No information available.

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