



Entity Profile Information

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

Current Status Information

Branch ID	Status	Effective Date
	ALSO SEE NFA ID 0230824	
	NFA MEMBER APPROVED	05/07/2013
	SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012

Status History Information

Status	Effective Date
ALSO SEE NFA ID 0230824	
NFA MEMBER APPROVED	05/07/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
NFA MEMBER PENDING	12/18/2012
SWAP DEALER PENDING	12/18/2012
COMMODITY POOL OPERATOR WITHDRAWN	11/30/1988
NFA MEMBER WITHDRAWN	11/30/1988
COMMODITY POOL OPERATOR REGISTERED	09/12/1986
NFA MEMBER APPROVED	09/12/1986
NFA MEMBER PENDING	08/15/1986
COMMODITY POOL OPERATOR PENDING	01/08/1986

Outstanding Requirements

Annual Due Date: 6/1/2024

4S SUBMISSIONS IN REVIEW

ANNUAL MEMBERSHIP DUES REQUIRED FOR 9/1/2023

ANNUAL MEMBERSHIP DUES REQUIRED FOR 12/1/2023

ANNUAL MEMBERSHIP DUES REQUIRED FOR 3/1/2024

ANNUAL QUESTIONNAIRE REQUIRED

Disciplined Employee Summary



Business Information

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

Name	CITIBANK N A
Form of Organization	US FEDERALLY CHARTERED BANK
Federal EIN	135266470
Business Address	
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone Number	212-816-6000
Fax Number	716-803-8983
Email	Not provided
Website/URL	Not provided
CRD/IARD ID	Not provided
	US FEDERALLY CHARTERED BANK
	F



Other Names

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

CITIBANK, N A -NAME CHANGE

DBA NOT IN USE

COMMINGLED ASSETSHIFT

DBA NOT IN USE

COMMINGLED BONDSHIFT

DBA NOT IN USE

COMMINGLED ENHANCED CASH

DBA NOT IN USE

COMMINGLED ENHANCED INDEX 500

DBA NOT IN USE

COMMINGLED EQUITY SWEEP

DBA NOT IN USE

COMMINGLED FIXED INCOME SWEEP

DBA NOT IN USE

COMMINGLED STOCKSHIFT

DBA NOT IN USE

COMMINGLED INDEX 500

DBA NOT IN USE

FIDUCIARY FUTURES MANAGEMENT DEPT OF

DBA NOT IN USE

SHORT TERM INVESTMENT FUND

DBA NOT IN USE



Location of Business Records

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

Street Address 1	388 GREENWICH STREET
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES



Principal Information

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

Individual Information

NFA ID	0454870
Name	CALLAN, ROSS JAMES
Title(s)	CHIEF OPERATING OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	06-04-2019

NFA ID	0535623
Name	DAILEY, GRACE ELAINE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	01-07-2021

NFA ID	0469342
Name	DESOER, BARBARA JEAN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	12-05-2013

NFA ID	0380240
Name	FERNANDEZ DE YBARRA, FRANCISCO
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	02-25-2013

NFA ID	0535627
Name	FRASER, JANE NIND
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	03-11-2021

NFA ID 0548064
Name FROIO, ANTHONY
Title(s) NO LISTED TITLE
10% or More Interest No
Status APPROVED
Effective Date 05-16-2022

NFA ID 0538012
Name GARG, SUNIL
Title(s) DIRECTOR
CHIEF EXECUTIVE OFFICER
10% or More Interest No
Status APPROVED
Effective Date 05-17-2021

NFA ID 0301812
Name HENNES, DUNCAN P
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 01-28-2014

NFA ID 0555903
Name HEPPOLETTE, JOHN DESMOND
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 05-03-2023

NFA ID 0508916
Name IRELAND, SUSAN LESLIE
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 11-09-2017

NFA ID 0550092
Name KHANDELWAL, VISHAL SURESH
Title(s) CHIEF FINANCIAL OFFICER
10% or More Interest No

Status APPROVED
Effective Date 09-06-2022

NFA ID 0551814
Name KOZIARA SWIATKOWSKI, EUGENIA
Title(s) NO LISTED TITLE
10% or More Interest No
Status APPROVED
Effective Date 10-31-2022

NFA ID 0518829
Name KURSMAN, SCOTT CHARLES
Title(s) CHIEF COMPLIANCE OFFICER
10% or More Interest No
Status APPROVED
Effective Date 07-18-2019

NFA ID 0522954
Name MORTON, ANDREW JOHN
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 06-27-2019

NFA ID 0496707
Name PINNIGER, ROBERT KEITH
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 06-02-2016

NFA ID 0551966
Name SHARMA, VANDANA
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 10-19-2022

NFA ID 0461775
Name TAYLOR, DIANA
Title(s) DIRECTOR

10% or More Interest	No
Status	APPROVED
Effective Date	12-21-2020

NFA ID	0488977
Name	TROMBETTA, SANTO
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	04-22-2020

NFA ID	0465452
Name	TURLEY, JAMES STANTON
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	08-23-2013

Holding Company Information

NFA ID	0455446
Full Name	CITICORP LLC
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-26-2012

NFA ID	0388448
Full Name	CITIGROUP INC
10% or More Interest	Yes
Status	APPROVED
Effective Date	02-27-2014



Branch Office

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

Not provided



Non-U.S. Regulator Information

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

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

Country	Regulator Name
---------	----------------

No Information Available	
--------------------------	--



Disciplinary Information - Criminal Disclosures

Viewed on June 05, 2023

NFA ID 0187177 CITIBANK N A

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

0187177



CITIBANK NA

To add a Disclosure Matter Page (DMP), click the Add DMP button.

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](#)**Archived 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
C	18454	05/24/2023	DUBAI MISDEMEANOURS COURT 5238/2022	FINAL	8/2022	05/17/2023 09/15/2022	
C	14167	01/13/2022	NATIONAL COURT OF CRIMINAL PROCEEDINGS IN ECONOMIC MATTERS 831/2014(7283)	FINAL	6/2014	09/09/2014	



Disciplinary Information - Regulatory Disclosures

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

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



Disciplinary Information - Financial Disclosures

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

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



Registration Contact Information

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

First Name	MATTHEW
Last Name	POLLACK
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-7252
Email	MATTHEW.POLLACK@CITI.COM



Enforcement/Compliance Communication Contact Information

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

First Name	SCOTT
Last Name	KURSMAN
Title	MANAGING DIRECTOR
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	917-579-0364
Email	SCOTT.C.KURSMAN@CITI.COM



Membership Information

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

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 FEDERAL DEPOSIT INSURANCE CORPORATION
THE OFFICE OF THE COMPTROLLER OF THE CURRENCY
THE SECURITIES AND EXCHANGE COMMISSION
THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM



Membership Contact Information

Viewed on May 23, 2023

NFA ID 0187177 CITIBANK N A

Membership Contact

First Name	KAREN
Last Name	PLOWE
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6183
Fax	716-803-8983
Email	KAREN.PLOWE@CITI.COM

Accounting Contact

First Name	NICHOLE
Last Name	WHITE
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6173
Email	NICHOLE.SCHWARTZKOPF@CITI.COM

Arbitration Contact

First Name	MARY
Last Name	REISERT
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	212-816-0092
Email	MARY.REISERT@CITI.COM

Compliance Contact

First Name	SCOTT
Last Name	KURSMAN
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	917-579-0364
Email	SCOTT.C.KURSMAN@CITI.COM

Chief Compliance Officer Contact

First Name	SCOTT
Last Name	KURSMAN
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	917-579-0364
Email	SCOTT.C.KURSMAN@CITI.COM