



Fiscal Year End (mm/dd):

0401



Fiscal Year End

Close help

0620

Does the firm use an affiliate to clear counterparty trades?

☒ Yes ☐ No

Provide full legal entity name of the affiliate

MANAGE RELATIONSHIPS

NFA ID	Full legal entity name of affiliate	Start Date
No Data		

Provide current organizational charts showing the reporting lines to the CEO, CRO, CFO, CCO and head(s) of fixed income trading, currencies and commodities.

Select Document Type:

--Please Select--

Select a document to attach to the filing:



Browse...

No files selected.

You do not have any documents attached to this filing.

Is the firm subject to any blocking, privacy, or secrecy laws that would restrict it from sharing information with NFA during an examination or otherwise?

0611

☒ Yes ☐ No

Please submit a list of those specific laws.



Browse...

No files selected.

You do not have any documents attached to this filing.

Does the firm produce research reports that are subject to CFTC Regulation 23.605(a)(9)?

0621

☒ Yes ☐ No

Does the firm act as a counterparty to Special Entities as defined in CFTC Regulation 23.401(c)?

0622

☒ Yes ☐ No

Does the firm act as an advisor to Special Entities as defined in CFTC Regulation 23.440?

0623

☒ Yes ☐ No

Number of counterparties that elect to segregate funds under CFTC Regulations 23.701 to 23.704.

0612



Provide the firm's average monthly notional amount (in millions USD) over the last 12 months for each of the following asset classes.

If the firm does not deal in a specific asset class, enter "0".

Close help

Interest Rate

0624

Credit

0625

Foreign Exchange

0626

Equities

0627

Commodities

0628

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Does the firm rely on substituted compliance by satisfying specific swap provisions of the CFTC regulations by complying with comparable regulatory requirements in the relevant foreign jurisdiction?

0614

☒ Yes ☐ No

Select applicable CFTC Regulations:

0629

CFTC Regulation 3.3 (Chief Compliance Officer)

☐ Yes ☐ No

7212

CFTC Regulation 23.101 (Minimum Capital Requirements)

☐ Yes ☐ No

0630

CFTC Regulation 23.150 – 23.161 (Margin)

☐ Yes ☐ No

0631

CFTC Regulation 23.202 (Daily Trading Records)

☐ Yes ☐ No

0632

CFTC Regulation 23.203 (Swap Data Recordkeeping)

☐ Yes ☐ No

0633

CFTC Regulation 23.204 (Swap Data Reporting)

☐ Yes ☐ No

0634

CFTC Regulation 23.205 (Real-Time Public Reporting)

☐ Yes ☐ No

0635

CFTC Regulation 23.400 – 23.451 (Business Conduct Standards)

☐ Yes ☐ No

0636

CFTC Regulation 23.506 (Swap Processing and Clearing)

☐ Yes ☐ No

0637

CFTC Regulation 23.501 (Swap Confirmations)

☐ Yes ☐ No

0638

CFTC Regulation 23.502 (Portfolio Reconciliation)

☐ Yes ☐ No

CFTC Regulation 23.503 (Portfolio Compression) 0639
☐ Yes ☐ No

CFTC Regulation 23.504 (Swap Trading Relationship) 0640
☐ Yes ☐ No

CFTC Regulation 23.505 (End-User Exception Documentation) 0641
☐ Yes ☐ No

CFTC Regulation 23.600 (Risk Management Program) 0642
☐ Yes ☐ No

CFTC Regulation 23.601 (Monitoring of Position Limits) 9812
☐ Yes ☐ No

CFTC Regulation 23.602 (Diligent Supervision) 0643
☐ Yes ☐ No

CFTC Regulation 23.603 (Business Continuity and Disaster Recovery) 0644
☐ Yes ☐ No

CFTC Regulation 23.605 (Conflicts of Interest) 0645
☐ Yes ☐ No

CFTC Regulation 23.606-23.607 (Disclosure of Information to the CFTC and Anti-Trust) 0646
☐ Yes ☐ No

CFTC Regulation 23.700 – 23.704 (Segregation) 0647
☐ Yes ☐ No

Does the firm participate in a consolidated entity ISSP for Cybersecurity? 0650
☒ Yes ☐ No

List the CFTC-registered swap data repositories the SD reports to:

0651
☐ ICE Trade Vault

0652
☐ DTCC Data Repository LLC

0653
☐ CME Swap Data Repository

7213
☐ KOR Reporting Inc.

Number of individuals acting as SD associated persons as defined in CFTC Regulation 1.3 in the following geographical regions

EMEA (Europe, Middle East, Africa)

0654 _____

APAC (Asia, Pacific)

0655 _____

AMER (North, Central and South America)

0656 _____

Business Location to Conduct NFA Exams

0616

Digital Asset Products

Does the firm hold or transact in spot cryptocurrency linked derivatives or other digital asset linked derivatives?

0657
☒ Yes ☐ No

Does the firm hold or transact in spot cryptocurrency or other digital assets?

0658
☒ Yes ☐ No