

SUPPLEMENTAL INFORMATION LIST: 4s SUBMISSIONS/GENERAL INFORMATION

	General Information	Supplemental Information to Upload Under Call 4SSI
<u>1</u>	Swap Dealer (SD) and Major Swap Participant (MSP) Entity Organizational Structure	<ul style="list-style-type: none"> Organizational chart showing the firm's affiliate relationships and locations Organizational chart showing key reporting lines to CEO, CFO, CRO and CCO Divisional organizational charts Organizational chart of the Operations Department showing reporting lines and key functions
<u>2</u>	Business Background	<ul style="list-style-type: none"> List of products traded by the firm Description of primary client market segments
	4s Submissions	Supplemental Information to Upload Under Call 4SK1
<u>1</u>	Designation of a Chief Compliance Officer; Required Compliance Policies; and Annual Report of a Swap Dealer and Major Swap Participant	<ul style="list-style-type: none"> Name and contact information of the CCO Description of criteria used by the firm to assess the CCO's background and skills Description of CCO's background and skills Official action by senior officer or board of directors such as board resolution appointing the CCO and providing the CCO with responsibility and authority List of entities for which the CCO acts in that capacity

Continued:

	4s Submissions	Supplemental Information to Upload Under Call 4SJ3
<u>2</u>	Implementation of Conflicts of Interest Policies and Procedures by Swap Dealers and Major Swap Participant	<ul style="list-style-type: none"> • Description of the firm's compensation guidelines for research analysts • Submission of the firm's procedures for disclosures outlining material incentives and material conflicts of interest regarding the decision of a counterparty to execute a derivative on a SEF or DCM or to clear a derivative through a DCO
	4s Submissions	Supplemental Information to Upload Under Call 4SJ1
<u>3</u>	Duties of Swap Dealers and Major Swap Participants-Risk Management	<ul style="list-style-type: none"> • Organizational chart of the firm's risk management unit • Information regarding the senior risk management personnel's background • List of firm's individuals and positions to whom the risk management unit reports • List of senior management within each business trading unit • Identification of any holding company through which the firm participates in a consolidated entity risk management program • New product approval policies and procedures
	4s Submissions	Supplemental Information to Upload Under Call 4SJ2
<u>4</u>	Duties of Swap Dealers and Major Swap Participants-Business Continuity and Disaster Recovery	<ul style="list-style-type: none"> • Business continuity and disaster recovery plan • List of locations of back-up facilities that are geographically separate from the firm's primary facilities • Contact information of two employees that the Commission can contact in case of emergency or other disruption