



## Entity Profile Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Current Status Information

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Branch ID	Status	Effective Date
	NFA MEMBER APPROVED	11/15/2013
	SWAP DEALER PROVISIONALLY REGISTERED	10/09/2013
	EXEMPT FOREIGN FIRM APPROVED	11/20/1998
	<b>NFA ID 0519517 CITIGROUP GLOBAL MARKETS EUROPE AG</b>	
	PRINCIPAL APPROVED	04/24/2019

### Status History Information

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Status	Effective Date
NFA MEMBER APPROVED	11/15/2013
SWAP DEALER PROVISIONALLY REGISTERED	10/09/2013
NFA MEMBER PENDING	10/02/2013
SWAP DEALER PENDING	10/02/2013
EXEMPT FOREIGN FIRM APPROVED	11/20/1998
EXEMPT FOREIGN FIRM PENDING	11/11/1998
<b>NFA ID 0519517 CITIGROUP GLOBAL MARKETS EUROPE AG</b>	
PRINCIPAL APPROVED	04/24/2019
PRINCIPAL PENDING	04/23/2019

### Outstanding Requirements

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Annual Due Date: 12/1/2022

4S SUBMISSIONS IN REVIEW

ANNUAL MEMBERSHIP DUES REQUIRED FOR 6/1/2022  
ANNUAL MEMBERSHIP DUES REQUIRED FOR 9/1/2022  
DOCUMENTS REQUIRED FOR REGULATORY DISCLOSURES  
FOREIGN INDUSTRY CHECK PENDING

### Disciplined Employee Summary

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### Exempt Foreign Firm Information

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<b>NFA ID</b>	<b>Agent Name</b>	<b>Start Date</b>	<b>End Date</b>
0002026	CITIGROUP GLOBAL MARKETS INC	10/1/2012	

<b>NFA ID</b>	<b>Regulator Name</b>	<b>Start Date</b>	<b>End Date</b>
0316743	FINANCIAL CONDUCT AUTHORITY	11/20/1998	

<b>NFA ID</b>	<b>Doing Business With</b>	<b>Start Date</b>	<b>End Date</b>
0443305	EFFISSIMO CAPITAL MANAGEMENT PTE LTD	4/16/2020	
0495157	EFFISSIMO PARTNERS	4/16/2020	
0488686	PEARL DIVER CAPITAL LLP	8/17/2015	4/9/2019
0461493	JUPITER INVESTMENT MANAGEMENT LIMITED	12/11/2013	
0461442	ICAP ENERGY AS	4/29/2013	
0459466	ENTERPRISE COMMODITY SERVICES LIMITED	3/7/2013	9/4/2013
0410306	NORTHWEST INVESTMENT MANAGEMENT HONG KONG LTD	12/28/2012	1/7/2015
0318217	PVM OIL ASSOCIATES LTD	10/26/2012	12/5/2013
0303496	SOCIETE GENERALE	7/20/2011	
0411526	MAKO FINANCIAL MARKETS PARTNERSHIP LLP	9/10/2009	

<b>Exemption Category</b>	<b>Exemption Type</b>	<b>Statement Date</b>
FUTURES COMMISSION MERCHANT	30.10	9/30/1998



## Business Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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Name	CITIGROUP GLOBAL MARKETS LIMITED
Form of Organization	CORPORATION
Country	UNITED KINGDOM

Federal EIN	Not provided
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Business Address	
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM

Phone Number	+44 20 7508-2668
Fax Number	+44 20 7508-6968

Email	LESLIE.COOMBS@CITI.COM
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Website/URL	Not provided
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CRD/IARD ID	Not provided CORPORATION F
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## Exempt Foreign Firm Contact Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Exempt Foreign Firm Contact Address

First Name	SUMANA
Last Name	SINHA
Title	GLOBAL EXPENSES MANAGEMENT TEAM
Street Address 1	CITIGROUP CENTRE 1 5TH FLOOR
Street Address 2	33 CANADA SQUARE
City	CANARY WHARF
Province	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	011-44-207-986-6327
Email	TRADING.EXPENSES@CITI.COM



## Other Names

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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SALOMON BROTHERS INTERNATIONAL LIMITED  
ALIAS

SALOMON BROTHERS INTERNATIONAL LTD  
DBA NOT IN USE



## Location of Business Records

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM



## U.S. Address for the Production of Business Records

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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Office Of	CITIGROUP GLOBAL MARKETS INC.
Street Address 1	388 GREENWICH STREET
Street Address 2	ATTENTION: LEGAL & COMPLIANCE
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10013



## Principal Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Individual Information

NFA ID 0495776  
Name ARDUINI, LEONARDO  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 06-16-2016

NFA ID 0468062  
Name BARDRICK, JAMES  
Title(s) CHIEF EXECUTIVE OFFICER  
10% or More Interest No  
Status APPROVED  
Effective Date 11-07-2013

NFA ID 0538968  
Name CLARK, SALLY  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 08-06-2021

NFA ID 0484489  
Name FALL, WILLIAM  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 08-06-2021

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 10-03-2013



NFA ID 0519823  
Name FLOWERDAY, DAVID LEONARD  
Title(s) CHIEF COMPLIANCE OFFICER  
10% or More Interest No  
Status APPROVED  
Effective Date 03-18-2019

NFA ID 0527216  
Name JAIN, DEEPAK  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 02-26-2020

NFA ID 0540535  
Name KHAN, RAHMAN ALI  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 08-06-2021

NFA ID 0219095  
Name LATHROP, CAREY FRANKLIN  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 04-23-2020

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 04-24-2020

NFA ID 0485735  
Name MOULDS, JONATHAN PAUL  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED

Effective Date 03-08-2022

NFA ID 0543500  
Name TASSELL, ANNE MAREE  
Title(s) DIRECTOR  
10% or More Interest No  
Status PENDING  
Effective Date 04-01-2022

NFA ID 0461775  
Name TAYLOR, DIANA  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 10-09-2013

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 04-23-2020

NFA ID 0515189  
Name WIMBORNE, ZOE VICTORIA  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 03-02-2022

#### Holding Company Information

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



## Principal Name and Financial Interest

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Current Firms

Sponsor ID	Sponsor Name	Title(s)	10% or more interest?
0519517	CITIGROUP GLOBAL MARKETS EUROPE AG		Y



## Non-U.S. Regulator Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

Country	Regulator Name
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
UNITED KINGDOM	PRUDENTIAL REGULATORY AUTHORITY



## Agent Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Current Agent

Agent ID	Agent Name	Start Date
0002026	CITIGROUP GLOBAL MARKETS INC	10/1/2012

### Agent History

Agent ID	Agent Name	Start Date	End Date
No information available			



## Doing Business With

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Doing Business With - Current

NFA ID	Name	Start Date
No Information Available		

### Doing Business With - History

NFA ID	Name	Start Date	End Date
No Information Available			



## Disciplinary Information - Criminal Disclosures

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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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





## Disciplinary Information - Regulatory Disclosures

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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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?

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

## Disciplinary Information - Criminal Disclosure Matter Summary

### DMP Filing System

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

NFA ID   CITIGROUP GLOBAL MARKETS LIMITED

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](mailto:registration@nfa.futures.org).

### Archived Criminal Disclosure Matter Summary

There are currently no archived DMPs.



## Disciplinary Information - Regulatory Disclosures

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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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?

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

## Disciplinary Information - Regulatory Disclosure Matter Summary

### DMP Filing System

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

NFA ID: 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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 Regulatory Disclosure Matter Summary (5 DMPs)

Show 100 entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	15096	06/07/2019	JUNE 2019, FINANCIAL SERVICES AGENCY OF JAPAN				
	15095	03/19/2017	GERMAN EQUITIES - DELAY IN FILING DISCLOSURES				
	15099	10/30/2013	MTS TRADING SUSPENSION 2005				
	15098	10/30/2013	LATE DISCLOSURE OF SUBSTANTIAL SHAREHOLDING IN SINGAPORE LISTED SECURITIES				
	15097	10/02/2013	2009 - CONSOB AND BREACH OF SHORT-SELLING RULES				

### Archived Regulatory Disclosure Matter Summary (4 DMPs)

Show 100 entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
E	15829	12/02/2019	PRUDENTIAL REGULATION AUTHORITY (UK) ...	FINAL	11/2019		
	15102	10/02/2013	2004 - CAPITAL BREACH DATED 27 JANUARY 2004				
	15104	10/02/2013	FINANCIAL SERVICES AUTHORITY (FSA)' PRIVATE WRITTEN WARNING LETTER DATED 18 AUGUST 2006				
	15103	10/02/2013	FINANCIAL SERVICES AUTHORITY FINAL NOTICE 28 JUNE 2005				





## Disciplinary Information - Financial Disclosures

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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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

## Disciplinary Information - Financial Disclosure Matter Summary

### DMP Filing System

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

NFA ID   CITIGROUP GLOBAL MARKETS LIMITED

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 (2 DMPs)

Show  entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	15100	10/02/2013	LEHMAN BROTHERS BANKRUPTCY PROCEEDINGS				
	15101	10/02/2013	TRIBUNE COMPANY BANKRUPTCY				

### Archived Financial Disclosure Matter Summary

There are currently no archived DMPs.



## Registration Contact Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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First Name	LESLIE
Last Name	COOMBS
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	N/A
Email	LESLIE.COOMBS@CITI.COM



## Enforcement/Compliance Communication Contact Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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First Name	LESLIE
Last Name	COOMBS
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM



## Membership Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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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? No



## Membership Contact Information

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Viewed on April 06, 2022

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Membership Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

### Accounting Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

Arbitration Contact

First Name LESLIE  
Last Name COOMBS  
Street Address 1 33 CANADA SQUARE  
City LONDON  
Zip/Postal Code E14 5LB  
Country UNITED KINGDOM  
Phone +44 20 7508 4987  
Email LESLIE.COOMBS@CITI.COM

Compliance Contact

First Name LESLIE  
Last Name COOMBS  
Street Address 1 33 CANADA SQUARE  
City LONDON  
Zip/Postal Code E14 5LB  
Country UNITED KINGDOM  
Phone +44 20 7508 4987  
Email LESLIE.COOMBS@CITI.COM

Chief Compliance Officer Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	33 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5LB
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM



- Search
  - For an Individual
  - For a Firm, Holding Company or Sole Proprietor
  - For a Pool
  - By Social Security Number
- Disciplinary Information
  - Disclosures
  - 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
  - Time Registration Information
  - Outstanding Requirements
  - Withdrawal Date
  - TLO Due to Withdraw
  - Notices
- Registration and Membership
  - Current Registration Status
  - Registration History
- Handcopies
  - Filing History

### Branch Office Manager List

NFA ID  Enter

CITIGROUP GLOBAL MARKETS LIMITED

No information available.

## Filing History

NFA ID	<input type="text" value="0291281"/>	Enter	CITIGROUP GLOBAL MARKETS LIMITED
Sponsor ID	<input type="text"/>		

Filter By:  
[Form Message](#)

Process Date	Sponsor NFA ID	Form Message	User Name
01/20/2022		<a href="#">BUSINESS LOCATIONS CHANGED</a>	WARDJ
12/02/2019		<a href="#">FIRM REGULATORY DMP ADDED - 16829</a>	LOVEA
06/07/2019		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
06/07/2019		<a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>	LOVEA
11/22/2017		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
03/19/2017		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
08/24/2016		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
03/18/2016		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
05/07/2014		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
10/30/2013		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
10/30/2013		<a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</a>	LOVEA
10/30/2013		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
10/30/2013		<a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>	LOVEA
10/30/2013		<a href="#">FIRM REGULATORY DISCLOSURE QUESTION E CHANGED</a>	LOVEA
10/02/2013		<a href="#">FIRM APPLICATION FILED</a>	LOVEA
10/06/2011		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NFICCDM
11/02/2004		<a href="#">BUSINESS LOCATIONS CHANGED</a>	NFICCCZK
04/07/2003		<a href="#">FIRM NAME CHANGED</a>	NFRGYXC
04/07/2003		<a href="#">FORM OF ORGANIZATION CHANGED</a>	NFRGYXC