

Registration with Foreign Financial Regulatory Authorities

Supporting document and workaround for question 17 on SBSA-A application

Foreign Financial Regulatory Authority: National Securities Commission (Comision Nacional de Valores - CNV)

Registration No. (if any): Resolution 2123

Country: Argentina

Foreign Financial Regulatory Authority: Financial Information Unit (UIF - Unidad de Informacion Financiera)

Registration No. (if any): 4758 (Financial Institution) and 29264 (NSA). Resolution 30/2017 y 21/2018

Country: Argentina

Foreign Financial Regulatory Authority: IGJ - Inspeccion General de Justicia

Registration No. (if any): N° 924, L° 56, T° B

Country: Argentina

Foreign Financial Regulatory Authority: Central Bank (BCRA)

Registration No. (if any): Resolution N° 345/79

Country: Argentina

Foreign Financial Regulatory Authority: Hong Kong Monetary Authority ("HKMA")

Registration No. (if any): Licenses No. 089

Country: Hong Kong

Foreign Financial Regulatory Authority: Office of the Superintendent of Financial Institutions

Registration No. (if any): N/A

Country: Canada

Foreign Financial Regulatory Authority: Monetary Authority of Singapore

Registration No. (if any): N/A

Country: Singapore

Foreign Financial Regulatory Authority: Bank of Italy

Registration No. (if any): 5335

Country: Italy

Foreign Financial Regulatory Authority: BRSA, CBT

Registration No. (if any): N/A

Country: Turkey

Foreign Financial Regulatory Authority: Ministry of Commerce

Registration No. (if any): 100539000280

Country: Thailand

Foreign Financial Regulatory Authority: Reserve Bank of Australia (RBNZ)

Registration No. (if any): 1996894

Country: New Zealand

Foreign Financial Regulatory Authority:

Australian Prudential Regulation Authority (APRA)

Australian Securities and Investments Commission (ASIC)

Australian Transaction Reports and Analysis Centre (AUSTRAC)

Registration No. (if any): ACN :074 112 011

Country: Australia

Foreign Financial Regulatory Authority: ACPR

Registration No. (if any): 30628

Country: France

Foreign Financial Regulatory Authority: Bank of Spain

Registration No. (if any): 0151

Country: Spain

Foreign Financial Regulatory Authority: Central Bank of Bahrain

Registration No. (if any): Comm. Reg. 5070

Country: Bahrain

Foreign Financial Regulatory Authority: XXXXX

Financial Conduct Authority, Prudential Regulation Authority

Registration No. (if any): BR000746

Country: United Kingdom

Foreign Financial Regulatory Authority: Labuan Financial Services Authority

Registration No. (if any):

License No: 960054C

Company No: LF00756

Country: Malaysia

Foreign Financial Regulatory Authority: Financial Supervisory Commission

Registration No. (if any):

Banking license Ref. No: 100012 (issue date: 2011.6.14)

Bank code: 076

Country: Taiwan

Foreign Financial Regulatory Authority: National Bank of Belgium

Registration No. (if any): 0427.527.696

Country: Belgium

Foreign Financial Regulatory Authority:

Registration is with the Commercial Register of the Canton of Zurich.

Regulator is the Swiss Financial Market Supervisory Authority "FINMA"

Registration No. (if any): CHE-109.823.882

Country: Switzerland

Foreign Financial Regulatory Authority: CMF

Registration No. (if any): Chile

Country: 0041

Foreign Financial Regulatory Authority: Japanese Financial Services Agency (FSA)

Registration No. (if any): 91

Country: Japan

Foreign Financial Regulatory Authority: Dubai Financial Services Authority (DFSA)

Registration No. (if any): United Arab Emirates

Country: CL0261

Foreign Financial Regulatory Authority: Qatar Financial Centre Regulatory Authority (QFCRA)

Registration No. (if any): QFC NO. 00128

Country: Qatar

Foreign Financial Regulatory Authority: Philippine Economic Zone Authority

Registration No. (if any): FS-2005109381

Country: Philippines

Foreign Financial Regulatory Authority: FSS

Registration No. (if any): 110181-0016903

Country: Korea

Foreign Financial Regulatory Authority: Saudi Central Bank (SAMA)

Registration No. (if any): 1010215443

Country: Saudi Arabia

Supporting document and workaround for question 4 on SBS-D-A application

Please note that when the firm answers YES to Question 4 'Does the applicant intend to compute capital or margin, or price customer or proprietary positions, using mathematical models?', the SBS-D-A printout maps the YES response to NO. The addendum is to notify the SEC the firm has answered YES to this question.