

List of Security-Based Swap Dealers and Major Security-Based Swap Participants

A security-based swap dealer (SBSD) or major security-based swap participant (MSBSP) that has timely submitted a complete Form SBSE-C and a complete Form SBSE, Form SBSE-A or Form SBSE-BD, as applicable, and has not withdrawn its registration is conditionally registered with the Commission. An SBSB or MSBSP remains conditionally registered until the Commission grants or denies on-going registration.

The Division of Trading and Markets has compiled the below list of SBSBs and MSBSPs who have filed applications for registration as SBSBs or MSBSPs, accordingly, and have not withdrawn the registration or deregistered. The list of SBSBs and MSBSPs is compiled based on a search for Form SBSE-C and Forms SBSE, SBSE-A and SBSE-BD filings through the Commission's Electronic Data Gathering, Analysis and Retrieval system. All information in the list is taken from the applications, including the UIC/LEI, if provided. **This list was prepared by staff of the Division of Trading and Markets. SEC staff statements represent the views of the SEC staff. They are not rules, regulations, or statements of the SEC. The SEC has neither approved nor disapproved their content. SEC staff statements, like all SEC staff guidance, have no legal force or effect: they do not alter or amend applicable law, and they create no new or additional obligations for any person.**

Last updated: 6/21/2024

ID	CIK No.	Name	SBSD	MSBSP	Date	UIC No. (if any)
1	0001771015	Cowen Financial Products LLC	Y	N	10/27/21	549300KKMNDUVLY8OR56
2	0001803522	BofA Securities Europe SA	Y	N	10/29/21	549300FHOWJAPEHTIQ77
3	0000872786	BNP Paribas	Y	N	10/29/21	
4	0001888657	Deutsche Bank AG SBSB	Y	N	10/29/21	
5	0000042352	Goldman Sachs & Co. LLC	Y	N	10/29/21	
6	0001866894	Goldman Sachs Bank Europe SE	Y	N	10/29/21	W22LROWP2IHZNBB6K528
7	0001886709	Goldman Sachs Bank USA	Y	N	10/29/21	
8	0001085407	Goldman Sachs Financial Markets, L.P.	Y	N	10/29/21	
9	0000908777	Goldman Sachs International	Y	N	10/29/21	W22LROWP2IHZNBB6K528
10	0001582152	HSBC Bank USA, N.A.	Y	N	10/29/21	1E8VN30JCEQV1H4R804
11	0000835271	JP Morgan Chase Bank, N.A.	Y	N	10/29/21	
12	0000782124	J.P. Morgan Securities LLC	Y	N	10/29/21	
13	0001879943	Morgan Stanley Europe SE	Y	N	10/29/21	
14	0001597694	MUFG Securities EMEA plc	Y	N	10/29/21	
15	0001274981	Natixis	Y	N	10/28/21	
16	0001534653	Skandinaviska Enskilda Banken AB (publ)	Y	N	10/29/21	F3JS33DEI6XQ4ZBPTN86
17	0001102113	Bank of America NA	Y	N	11/01/21	B4TYDEB6GKMZO031MB27
18	0000927971	Bank of Montreal /CAN/	Y	N	11/01/21	NQQ6HPCNCCU6TUTQYE16
19	0000009631	Bank of Nova Scotia	Y	N	11/01/21	L3I9ZG2KFGXZ61BMR72
20	0000312070	Barclays Bank PLC	Y	N	11/01/21	
21	0001045520	Canadian Imperial Bank of Commerce /CAN/	Y	N	11/01/21	2IGI19DL77OX0HC3ZE78
22	0000036684	Citibank, N.A.	Y	N	11/01/21	E57ODZWZ7FF32TWEFA76
23	0001012467	Citigroup Global Markets Ltd.	Y	N	11/01/21	XKZZ2JZF41MRHTR1V493
24	0001140465	HSBC Bank PLC	Y	N	11/01/21	MP6I5ZYZBEU3UXPFYF54
25	0001436581	ING Capital Markets LLC	Y	N	11/01/21	
26	0001891399	Jefferies Financial Services Inc.	Y	N	11/01/21	
27	0001062577	Merrill Lynch International	Y	N	11/01/21	GGDZP1UYGU9STUHRDP48
28	0000924186	Morgan Stanley & Co International PLC	Y	N	11/01/21	
29	0001891397	Morgan Stanley Capital Services, LLC	Y	N	11/01/21	
30	0001564206	Nomura Global Financial Products Inc.	Y	N	11/01/21	0Z3VO5H2G7GRS05BHJ91

ID	CIK No.	Name	SBSD	MSBSP	Date	UIC No. (if any)
31	0001054306	Nomura International PLC	Y	N	11/01/21	DGQCSV2PHVF7I2743539
32	0001000275	Royal Bank of Canada	Y	N	11/01/21	ES7IP3U3RHIGC71XBU11
33	0000947263	Toronto Dominion Bank	Y	N	11/01/21	
34	0000764116	Truist Bank /NC/	Y	N	11/01/21	JJKC32MCHWDI71265Z06
35	0001145665	Societe Generale SA	Y	N	11/01/21	O2RNE8IBXP4R0TD8PU41
36	0000700880	Standard Chartered Bank	Y	N	11/01/21	RILFO74KP1CM8P6PCT96
37	0001114446	UBS AG	Y	N	11/01/21	BFM8T61CT2L1QCCEMIK50
38	0000740906	Wells Fargo Bank N A	Y	N	10/28/21	KB1H1DSPRFMYMCUFXT09
39	0000824468	Credit Suisse AG	Y	N	11/02/21	ANGGYXNX0JLX3X63JN86
40	0001343079	Credit Suisse International	Y	N	11/02/21	E58DKGMJYYYJLN8C3868
41	0001871769	Morgan Stanley Bank, N.A.	Y	N	11/02/21	
42	0001894246	Mizuho Capital Markets LLC	Y	N	12/01/21	
43	0001257135	Macquarie Bank LTD	Y	N	12/13/21	4ZHCHI4KYZG2WVRT8631
44	0001279224	Citigroup Global Markets Europe AG	Y	N	01/03/22	6TJCK1B7E7UTXP528Y04
45	0000926171	National Bank of Canada /FI/	Y	N	03/07/22	
46	0001878049	Bank of New York Mellon / SBSD	Y	N	03/28/22	
47	0000891478	Banco Santander, S.A.	Y	N	03/28/22	5493006QMFDDMYWIAM13
48	0001915842	Nearwater Capital Markets, Ltd	Y	N	07/12/22	
49	0001688906	CF Secured, LLC	Y	N	10/13/22	
50	0001960050	Capitolis Liquid Global Markets LLC	Y	N	01/04/23	
51	0001983408	Clear Street Derivatives LLC	Y	N	09/28/23	
52	0000842180	BANCO BILBAO VIZCAYA ARGENTARIA, S.A.	Y	N	06/20/24	K8MS7FD7N5Z2WQ51AZ71
53	0001910878	GIFMS Capital Company, LLC	Y	N	06/21/24	