

Registration Categories

Categories

SWAP DEALER REGISTERED
NFA MEMBER APPROVED

Business Information

Name	BANK OF NEW YORK MELLON THE
Form of Organization	OTHER
State	NEW YORK
Country	UNITED STATES

Federal EIN	Not provided
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Business Address

Street Address 1	240 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES

Phone Number	212-815-4596
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Fax Number	212-313-0838
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Email	ROSEMARY.FRANCAVILLA@BNY.COM
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Website/URL	Not provided
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CRD/IARD ID	Not provided
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Other Names

**BANK OF NEW YORK
DBA NOT IN USE**

Location of Business Records

Street Address 1	240 GREENWICH STREET
Street Address 2	3RD FLOOR
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES

Principal Information

Individual Information

NFA ID **0469982**
Name **COOK, LINDA ZARDA**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-06-2017**

NFA ID **0571711**
Name **DATTA, RAJASHREE**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-18-2025**

NFA ID **0485375**
Name **ECHEVARRIA, JOSEPH JAMES**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-14-2015**

NFA ID **0565801**
Name **ENG, TIFFANY**
Title(s) **HEAD OF BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-25-2024**

NFA ID **0539222**
Name **GILLILAND, MARGUERITE AMY**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-04-2021**

NFA ID **0365537**
Name **GOLDSTEIN, JEFFREY ALAN**

Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-22-2014**

NFA ID **0557314**
Name **GORDON, RICHARD**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-14-2023**

NFA ID **0539299**
Name **GOWRAPPAN, KUMARA GURU**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-04-2021**

NFA ID **0552758**
Name **GRANET, JASON SLOAN**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **12-05-2022**

NFA ID **0568353**
Name **HIGGINS, ALISON MATTHESEN**
Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-24-2025**

NFA ID **0576977**
Name **LOWREY, CHARLES F**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-11-2026**

NFA ID **0494793**

Name **LYNCH, ROBERT EDWARD**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-09-2020**

NFA ID **0577913**
Name **MAJIYAGBE, ELIZABETH OLAIDE**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-26-2026**

NFA ID **0501552**
Name **MCDONOGH, DERMOT**
Title(s) **DIRECTOR CHIEF FINANCIAL OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-03-2023**

NFA ID **0436090**
Name **CONNOR, SANDRA ELIZABETH**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-09-2022**

NFA ID **0556063**
Name **PEREZ, ALEJANDRO**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-08-2023**

NFA ID **0453767**
Name **ROBINSON, ELIZABETH ERIN**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-07-2017**

NFA ID **0563411**
Name **RUSSAK AMINOACH, RAKEFET**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-02-2024**

NFA ID **0453798**
Name **VINCE, ROBIN ANTONY**
Title(s) **CHIEF EXECUTIVE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-07-2022**

NFA ID **0529504**
Name **VITALE, JASON DOMINICK**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **04-03-2020**

NFA ID **0522369**
Name **ZOLLAR, ALFRED WARREN**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-24-2019**

Holding Company Information

NFA ID **0291527**
Full Name **BANK OF NEW YORK MELLON CORPORATION THE**
10% or More Interest **Yes**
Status **APPROVED**
Effective Date **01-07-2013**

Non-U.S. Regulator Information

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

Country	Regulator Name
JAPAN	FINANCIAL SERVICES AGENCY
JAPAN	BANK OF JAPAN
JAPAN	KANTO LOCAL FINANCE BUREAU/KANTO FINANCIAL BUREAU
UNITED ARAB EMIRATES	DUBAI FINANCIAL SERVICES AUTHORITY
GERMANY	BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT (BAFIN)
GERMANY	DEUTSCHE BUNDESBANK
IRELAND	CENTRAL BANK OF IRELAND
ITALY	BANK OF ITALY
LUXEMBOUR G	COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER
NETHERLAND S	DUTCH CENTRAL BANK
NETHERLAND S	THE DUTCH AUTHORITY FOR THE FINANCIAL MARKETS
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY (FCA)
AUSTRALIA	AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY
AUSTRALIA	AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION (ASIC)
HONG KONG	HONG KONG MONETARY AUTHORITY
SINGAPORE	MONETARY AUTHORITY OF SINGAPORE
TAIWAN (CHINESE TAIPEI)	FINANCIAL SUPERVISORY COMMISSION
MALAYSIA	BANK NEGARA MALAYSIA
INDIA	RESERVE BANK OF INDIA

Disciplinary Information - Criminal Disclosures

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

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?

No

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 - Financial Disclosures

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

Registration Contact Information

First Name	ROSEMARY
Last Name	FRANCAVILLA
Title	SENIOR VICE PRESIDENT
Street Address 1	COMPLIANCE DEPARTMENT
Street Address 2	240 GREENWICH STREET
Street Address 3	101-1250
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-4596
Fax	212-313-0838
Email	ROSEMARY.FRANCAVILLA@BNY.COM

Enforcement/Compliance Communication Contact Information

First Name	ALISON
Last Name	HIGGINS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	240 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	201-394-3225
Email	ALISON.HIGGINS@BNY.COM

Membership Information

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? **Yes**

**THE SECURITIES AND EXCHANGE COMMISSION
THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
THE FEDERAL DEPOSIT INSURANCE CORPORATION**

Membership Contact Information

Membership Contact

First Name	ALISON
Last Name	HIGGINS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	COMPLIANCE DEPARTMENT
Street Address 2	240 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	201-394-3225
Email	ALISON.HIGGINS@BNY.COM

Accounting Contact

First Name	FERNANDO
Last Name	COSTA
Title	MANAGING DIRECTOR
Street Address 1	240 GREENWICH STREET
Street Address 2	101-0400
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	212-815-5045
Email	FERNANDO.COSTA@BNY.COM

Arbitration Contact

First Name **JOELLE**
Last Name **EKUNWE**
Title **SENIOR DIRECTOR**
Street Address 1 **240 GREENWICH STREET**
Street Address 2 **LEGAL DEPARTMENT**
City **NEW YORK**
State (United States only) **NEW YORK**
Zip/Postal Code **10286**
Country **UNITED STATES**
Phone **212-635-1823**
Email **JOELLE.EKUNWE@BNY.COM**

Compliance Contact

First Name **ALISON**
Last Name **HIGGINS**
Title **CHIEF COMPLIANCE OFFICER**
Street Address 1 **COMPLIANCE DEPARTMENT**
Street Address 2 **240 GREENWICH STREET**
City **NEW YORK**
State (United States only) **NEW YORK**
Zip/Postal Code **10286**
Country **UNITED STATES**
Phone **201-394-3225**
Email **ALISON.HIGGINS@BNY.COM**

Chief Compliance Officer Contact

First Name	ALISON
Last Name	HIGGINS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	COMPLIANCE DEPARTMENT
Street Address 2	240 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10286
Country	UNITED STATES
Phone	201-394-3225
Email	ALISON.HIGGINS@BNY.COM