



## Entity Profile Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Current Status Information

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Branch ID	Status	Effective Date
	SWAP DEALER REGISTERED	08/15/2023
	NFA MEMBER APPROVED	11/15/2013
	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
SWAP DEALER REGISTERED	08/15/2023
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: 12/1/2026

ANNUAL MEMBERSHIP DUES REQUIRED FOR 6/1/2026

ANNUAL MEMBERSHIP DUES REQUIRED FOR 9/1/2026

FIRM DISCIPLINARY INFORMATION IN REVIEW

### 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	2/14/2023
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	12/5/2025

<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 June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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Name	<b>CITIGROUP GLOBAL MARKETS LIMITED</b>
Form of Organization	<b>CORPORATION</b>
Country	<b>UNITED KINGDOM</b>

Federal EIN	<b>Not provided</b>
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### Business Address

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

Phone Number	<b>+44 20 7508 8000</b>
Fax Number	<b>Not provided</b>

Email	<b>Not provided</b>
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Website/URL	<b>Not provided</b>
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CRD/IARD ID	<b>Not provided</b>
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## Exempt Foreign Firm Contact Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Exempt Foreign Firm Contact Address

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



## Other Names

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Viewed on June 25, 2026

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 June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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



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

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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



## Principal Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Individual Information

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 **0578461**  
Name **FINDLEY, SILAS JOHN**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **PENDING**  
Effective Date **05-22-2026**

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 **0577739**  
Name **JOSHI, NIKHIL**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **04-22-2026**

NFA ID **0515303**  
Name **KANE, NICOLA**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-29-2024**

NFA ID **0559796**  
Name **LEE, TIINA LE SEONG**  
Title(s) **CHIEF EXECUTIVE OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-02-2024**

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 **0553314**  
Name **PLUNKETT, IAIN**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-02-2023**

NFA ID **0551559**  
Name **RAJA, AMIT ANIL**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**

Effective Date **11-25-2022**

NFA ID **0556290**  
Name **SEN GOSAIN, MANJIRA**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **06-23-2023**

NFA ID **0577102**  
Name **SINGH, GAGANDEEP**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **04-22-2026**

NFA ID **0520000**  
Name **VON KOSKULL, CASPER WILHELM**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **01-09-2024**

#### **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 June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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## Non-U.S. Regulator Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

<b>Country</b>	<b>Regulator Name</b>
ISRAEL	ISRAEL SECURITIES AUTHORITY
UNITED ARAB EMIRATES	DUBAI FINANCIAL SERVICES AUTHORITY
SWITZERLAN D	SWISS FINANCIAL MARKET SUPERVISORY AUTHORITY (FINMA)
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY (FCA)
UNITED KINGDOM	PRUDENTIAL REGULATION AUTHORITY (PRA)



## Agent Information

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Viewed on June 25, 2026

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 June 25, 2026

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 June 25, 2026

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 June 25, 2026

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 - Financial Disclosures

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Viewed on June 25, 2026

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**



ORS

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## Disciplinary Information - Criminal Disclosure Matter Summary

NFA ID

0291281



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).

[+ Add DMP](#)

[? Archived Criminal Disclosure Matter Summary](#)



There are currently no archived DMPs.

DMP Filing System

- Entity Profile Information
- 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](mailto:registration@nfa.futures.org).

+ Add DMP

Current Regulatory Disclosure Matter Summary (8 DMPs)

100 entries per page Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
E	21550	06/17/2026	THE COMMISSIONE NAZIONALE PER LE SOCIETÀ E LA BORSA (CONSOB- ITALIAN COMPANIES AND EXCHANGE COMMISSI 000	FINAL	10/2024		
E	21139	10/30/2025	THE KOREAN FSC 122024	FINAL	12/2024		
E	20777	03/17/2025	COMPETITION AND MARKETS AUTHORITY (CMA) NOT APPLICABLE	FINAL	2/2025		
	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				



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## Disciplinary Information - 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](mailto:registration@nfa.futures.org).

[+ Add DMP](#)

Current Financial Disclosure Matter Summary (2 DMPs)

100

entries per page

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 June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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First Name	<b>LESLIE</b>
Last Name	<b>COOMBS</b>
Street Address 1	<b>40 BANK STREET</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 5NR</b>
Country	<b>UNITED KINGDOM</b>
Phone	<b>N/A</b>
Email	<b>LESLIE.COOMBS@CITI.COM</b>



## Enforcement/Compliance Communication Contact Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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

First Name	<b>ANDREW</b>
Last Name	<b>MCGUIRE</b>
Street Address 1	<b>33 CANADA SQUARE</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 5LB</b>
Country	<b>UNITED KINGDOM</b>
Phone	<b>+44 20 7508 2795</b>
Email	<b>ANDREW.MCGUIRE@CITI.COM</b>



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Online Registration System

## Membership Information

NFA ID

0291281



**CITIGROUP GLOBAL MARKETS LIMITED**

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To make changes click Update.

[Update](#)

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  No

If yes, check all that apply:

- THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
- THE FARM CREDIT ADMINISTRATION
- THE FEDERAL DEPOSIT INSURANCE CORPORATION
- THE FEDERAL HOUSING FINANCE AGENCY
- THE OFFICE OF THE COMPTROLLER OF THE CURRENCY
- THE SECURITIES AND EXCHANGE COMMISSION



## Membership Contact Information

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Viewed on June 25, 2026

NFA ID 0291281 CITIGROUP GLOBAL MARKETS LIMITED

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### Membership Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 5NR
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

### Accounting Contact

First Name	LESLIE
Last Name	COOMBS
Street Address 1	40 BANK STREET
City	LONDON
Zip/Postal Code	E14 5NR
Country	UNITED KINGDOM
Phone	+44 20 7508 4987
Email	LESLIE.COOMBS@CITI.COM

**Arbitration Contact**

First Name **ANDREW**  
Last Name **LOVE**  
Street Address 1 **40 BANK STREET**  
City **LONDON**  
Zip/Postal Code **E14 5NR**  
Country **UNITED KINGDOM**  
Phone **+44 20 7508 9080**  
Email **ANDREW.LOVE@CITI.COM**

**Compliance Contact**

First Name **ANDREW**  
Last Name **MCGUIRE**  
Street Address 1 **33 CANADA SQUARE**  
City **LONDON**  
Zip/Postal Code **E14 5LB**  
Country **UNITED KINGDOM**  
Phone **+44 20 7508 2795**  
Email **ANDREW.MCGUIRE@CITI.COM**

**Chief Compliance Officer Contact**

First Name	<b>DAVID</b>
Last Name	<b>FLOWERDAY</b>
Street Address 1	<b>33 CANADA SQUARE</b>
City	<b>LONDON</b>
Zip/Postal Code	<b>E14 5LB</b>
Country	<b>UNITED KINGDOM</b>
Phone	<b>+44 20 7508 6939</b>
Email	<b>DAVID.FLOWERDAY@CITI.COM</b>

Online Registration System  
**Filing History**

Click on the Form Message link to see details.

**Entity Profile Information**

<b>Entity ID</b>	<input type="text" value="0291281"/>	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Q"/>
<b>Sponsor ID</b>	<input type="text" value="SPONSOR ID"/>		<input type="button" value="Clear"/>

Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
End Date:	<input type="text"/>	

10 entries per page Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2026-06-17		<a href="#">FIRM REGULATORY DMP ADDED - 21550</a>	BROWNZ
2025-11-28		<a href="#">ANNUAL REGISTRATION UPDATE FILED</a>	BROWNZ
2025-10-30		<a href="#">FIRM REGULATORY DMP ADDED - 21139</a>	BROWNZ
2025-03-28		<a href="#">FIRM REGULATORY DMP ADDED - 20821</a>	DAVIESL1
2025-03-17		<a href="#">FIRM REGULATORY DMP ADDED - 20777</a>	DAVIESL1
2024-11-29		<a href="#">ANNUAL REGISTRATION UPDATE FILED</a>	BROWNZ
2024-08-08		<a href="#">FIRM REGULATORY DMP ADDED - 20145</a>	DAVIESL1
2023-12-20		<a href="#">ANNUAL REGISTRATION UPDATE FILED</a>	BROWNZ
2023-11-30		<a href="#">BUSINESS LOCATIONS CHANGED</a>	BROWNZ
2022-10-24		<a href="#">FIRM REGULATORY DMP ADDED - 18410</a>	BROWNZ

<b>Entity ID</b>	<input type="text" value="0291281"/>	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Q"/>
<b>Sponsor ID</b>	<input type="text" value="SPONSOR ID"/>		<input type="button" value="Clear"/>

Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
End Date:	<input type="text"/>	

10 entries per page Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2022-01-20		<a href="#">BUSINESS LOCATIONS CHANGED</a>	WARDJ
2019-12-02		<a href="#">FIRM REGULATORY DMP ADDED - 16829</a>	LOVEA
2019-06-07		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
2019-06-07		<a href="#">FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</a>	LOVEA
2017-11-22		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
2017-03-19		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA
2016-08-24		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
2016-03-18		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
2014-05-07		<a href="#">BUSINESS LOCATIONS CHANGED</a>	LOVEA
2013-10-30		<a href="#">FIRM REGULATORY MATTER INFORMATION FILED</a>	LOVEA

Entity Profile Information

Entity ID	0291281	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Clear"/>	Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Sponsor ID	SPONSOR ID		<input type="button" value="Clear"/>	Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
				End Date:	<input type="text"/>	

10 entries per page Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2013-10-30		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES	LOVEA
2013-10-30		FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
2013-10-30		FIRM REGULATORY DISCLOSURE QUESTION E CHANGED	LOVEA
2013-10-30		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOVEA
2013-10-02		FIRM APPLICATION FILED	LOVEA
2011-10-06		BUSINESS LOCATIONS CHANGED	NFICCOM
2004-11-02		BUSINESS LOCATIONS CHANGED	NFICZK
2003-04-07		FORM OF ORGANIZATION CHANGED	NFRGYXC
2003-04-07		FIRM NAME CHANGED	NFRGYXC

Showing 21 to 29 of 29 entries



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Accounting  Help  Swaps Proficiency Requirements

NFA Website  Feedback  Contact Us  Log Out

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## Online Registration System Filing History

Click on the Form Message link to see details.

### Entity Profile Information

Entity ID	<input type="text" value="0291281"/>	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Q"/>	Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Sponsor ID	<input type="text" value="SPONSOR ID"/>		<input type="button" value="Clear"/>	Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
				End Date:	<input type="text"/>	

10 entries per page Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2026-06-17		FIRM REGULATORY DMP ADDED - 21550	BROWNZ
2025-11-28		ANNUAL REGISTRATION UPDATE FILED	BROWNZ
2025-10-30		FIRM REGULATORY DMP ADDED - 21139	BROWNZ
2025-03-28		FIRM REGULATORY DMP ADDED - 20821	DAVIESL1
2025-03-17		FIRM REGULATORY DMP ADDED - 20777	DAVIESL1
2024-11-29		ANNUAL REGISTRATION UPDATE FILED	BROWNZ
2024-08-08		FIRM REGULATORY DMP ADDED - 20145	DAVIESL1
2023-12-20		ANNUAL REGISTRATION UPDATE FILED	BROWNZ
2023-11-30		BUSINESS LOCATIONS CHANGED	BROWNZ
2022-10-24		FIRM REGULATORY DMP ADDED - 18410	BROWNZ

Entity ID	<input type="text" value="0291281"/>	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Q"/>	Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Sponsor ID	<input type="text" value="SPONSOR ID"/>		<input type="button" value="Clear"/>	Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
				End Date:	<input type="text"/>	

10 entries per page Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2022-01-20		BUSINESS LOCATIONS CHANGED	WARDJ
2019-12-02		FIRM REGULATORY DMP ADDED - 16829	LOVEA
2019-06-07		FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
2019-06-07		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOVEA
2017-11-22		BUSINESS LOCATIONS CHANGED	LOVEA
2017-03-19		FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
2016-08-24		BUSINESS LOCATIONS CHANGED	LOVEA
2016-03-18		BUSINESS LOCATIONS CHANGED	LOVEA
2014-05-07		BUSINESS LOCATIONS CHANGED	LOVEA
2013-10-30		FIRM REGULATORY MATTER INFORMATION FILED	LOVEA

Showing 11 to 20 of 29 entries

Entity Profile information

Entity ID	0291281	CITIGROUP GLOBAL MARKETS LIMITED	<input type="button" value="Q"/>	Form Message:	<input type="text"/>	<input type="button" value="Filter"/>
Sponsor ID	SPONSOR ID		<input type="button" value="Clear"/>	Start Date:	<input type="text"/>	<input type="button" value="Clear"/>
				End Date:	<input type="text"/>	

10 entries per page

Search:

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2013-10-30		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES	LOVEA
2013-10-30		FIRM REGULATORY MATTER INFORMATION FILED	LOVEA
2013-10-30		FIRM REGULATORY DISCLOSURE QUESTION E CHANGED	LOVEA
2013-10-30		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOVEA
2013-10-02		FIRM APPLICATION FILED	LOVEA
2011-10-06		BUSINESS LOCATIONS CHANGED	NFICCDM
2004-11-02		BUSINESS LOCATIONS CHANGED	NPICCKX
2003-04-07		FORM OF ORGANIZATION CHANGED	NFRGYXC
2003-04-07		FIRM NAME CHANGED	NFRGYXC

Showing 21 to 29 of 29 entries