

July 2, 2026

Schedule A – Updated Principals

- Removed Paul Rayson
- Removed Vandana Sharma
- Added Nicolas Friedman

Registration Categories

Categories

SWAP DEALER REGISTERED
NFA MEMBER APPROVED

Business Information

Name	CITIBANK N A
Form of Organization	US FEDERALLY CHARTERED BANK

Federal EIN	135266470
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Business Address

Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES

Phone Number	212-816-6000
Fax Number	Not provided

Email	Not provided
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Website/URL	Not provided
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CRD/IARD ID	Not provided
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Other Names

CITIBANK, N A -NAME CHANGE

DBA NOT IN USE

COMMINGLED ASSETSHIFT

DBA NOT IN USE

COMMINGLED BONDSHIFT

DBA NOT IN USE

COMMINGLED ENHANCED CASH

DBA NOT IN USE

COMMINGLED ENHANCED INDEX 500

DBA NOT IN USE

COMMINGLED EQUITY SWEEP

DBA NOT IN USE

COMMINGLED FIXED INCOME SWEEP

DBA NOT IN USE

COMMINGLED STOCKSHIFT

DBA NOT IN USE

COMMINGLED INDEX 500

DBA NOT IN USE

FIDUCIARY FUTURES MANAGEMENT DEPT OF

DBA NOT IN USE

SHORT TERM INVESTMENT FUND

DBA NOT IN USE

Location of Business Records

Street Address 1	388 GREENWICH STREET
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES

Principal Information

Individual Information

NFA ID **0454870**
Name **CALLAN, ROSS JAMES**
Title(s) **CHIEF OPERATING OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-04-2019**

NFA ID **0569591**
Name **COLE, TITLOPE**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-05-2025**

NFA ID **0273113**
Name **COSTELLO, ELLEN MARIE**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-26-2024**

NFA ID **0535623**
Name **DAILEY, GRACE ELAINE**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-07-2021**

NFA ID **0566925**
Name **DEANGELIS, MARK LOUIS**
Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **10-23-2024**

NFA ID **0535627**
Name **FRASER, JANE NIND**

Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-11-2021**

NFA ID **0578826**
Name **FRIEDMAN, NICOLAS BERNARD**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **06-04-2026**

NFA ID **0538012**
Name **GARG, SUNIL**
Title(s) **DIRECTOR CHIEF EXECUTIVE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-17-2021**

NFA ID **0577134**
Name **HENNEBELLE WARNER, ISABELLE**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **PENDING**
Effective Date **03-24-2026**

NFA ID **0301812**
Name **HENNES, DUNCAN P**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-28-2014**

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 **04-17-2026**

NFA ID **0571121**

Name	KAMIS, CENK
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	05-19-2025

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	10-23-2024

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	06-27-2019

NFA ID	0578809
Name	SMALLWOOD, LEE
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	PENDING
Effective Date	06-04-2026

NFA ID	0461775
Name	TAYLOR, DIANA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	12-21-2020

NFA ID	0465452
Name	TURLEY, JAMES STANTON
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	08-23-2013

Holding Company Information

NFA ID	0455446
Full Name	CITICORP LLC
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-26-2012

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

Branch Office Information

Not provided

Non-U.S. Regulator Information

Not provided

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?

Yes

Question H

Are any of the orders or other agreements described in Question G currently in effect against the firm?

Yes

Question I

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

Yes

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	ASMA
Last Name	MARINACCIO
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6097
Email	ASMA.MARINACCIO@CITI.COM

Enforcement/Compliance Communication Contact Information

First Name	MARK
Last Name	DEANGELIS
Title	DIRECTOR
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	212-723-2321
Email	MARK.DEANGELIS@CITI.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 BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

THE FEDERAL DEPOSIT INSURANCE CORPORATION

THE OFFICE OF THE COMPTROLLER OF THE CURRENCY

THE SECURITIES AND EXCHANGE COMMISSION

Membership Contact Information

Membership Contact

First Name	ASMA
Last Name	MARINACCIO
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6097
Email	ASMA.MARINACCIO@CITI.COM

Accounting Contact

First Name	BRIAN
Last Name	CONNORS
Title	VICE PRESIDENT
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-8052
Email	BRIAN.CONNORS@CITI.COM

Arbitration Contact

First Name	MARY
Last Name	REISERT
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	212-816-0092
Email	MARY.REISERT@CITI.COM

Compliance Contact

First Name	MARK
Last Name	DEANGELIS
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	212-723-2321
Email	MARK.DEANGELIS@CITI.COM

Chief Compliance Officer Contact

First Name	MARK
Last Name	DEANGELIS
Street Address 1	388 GREENWICH STREET
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10013
Country	UNITED STATES
Phone	212-723-2321
Email	MARK.DEANGELIS@CITI.COM