

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	0473872
Name	BUDNICK, RUSSELL COBB
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	07-29-2026

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, TITILOPE
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
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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	APPROVED
Effective Date	07-13-2026

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



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Disciplinary Information - Regulatory Disclosure Matter Summary

NFA ID

0187177



CITIBANK N A

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.

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Current Regulatory Disclosure Matter Summary (26 DMPs)

100

entries per page

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14166	01/28/2015	2011-15 MASSACHUSETTS ATTORNEY GENERAL CHAPTER 93A LITIGATION				
	14165	12/22/2014	2012 HAWAII CREDIT CARD MATTER				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14163	12/10/2014	FCA FX NOTICE				
	14164	12/10/2014	OCC FX ORDERS				
	14158	08/05/2013	2011 MORTGAGE LOAN SERVICING MATTER (UPDATED)				
	14168	08/05/2013	2013 INDONESIA MINISTRY OF FINANCE TAX MATTER				
	14140	12/18/2012	1992 CANCELED SECURITIES CERTIFICATES MATTER				
	14139	12/18/2012	2001 SEC UNREGISTERED INDIAN SECURITIES MATTER				
	14138	12/18/2012	2003 OCC STRUCTURED FINANCE MATTER				
	14137	12/18/2012	2008 SINGAPORE TREASURY BILL MATTER				
	14136	12/18/2012	2008 TAIWAN DATA SECURITY MATTER				
	14135	12/18/2012	2009 SINGAPORE MAS 757 MATTERS				
	14134	12/18/2012	2010 SINGAPORE DISCLOSURE VIOLATION				
	14132	12/18/2012	2010 SINGAPORE MAS 610 MATTER				
	14133	12/18/2012	2010 SINGAPORE SGS BOND AUCTION VIOLATION				
	14131	12/18/2012	2011 INDONESIA DEBT COLLECTION MATTER				
	14143	12/18/2012	2011 MORTGAGE LOAN SERVICING MATTER				
	14159	12/18/2012	2011 SINGAPORE BOND BIDDING MATTER				
	14149	12/18/2012	2011 SINGAPORE REGISTRATION MATTER				
	14160	12/18/2012	2011 SINGAPORE SETTLEMENT VIOLATION				
	14144	12/18/2012	2012 FCA QUI TAM ACTION				
	14148	12/18/2012	2012 HAWAII CREDIT CARD MATTER				
	14161	12/18/2012	2012 MORTGAGE LOAN MATTER				
	14145	12/18/2012	2012 OCC AML MATTER				
	14147	12/18/2012	2012 SINGAPORE CONFIRMATION MATTER				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14146	12/18/2012	2012 VIETNAM MATTER				

 Archived Regulatory Disclosure Matter Summary (1 DMP)



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



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Disciplinary Information - Financial Disclosure Matter Summary

NFA ID

0187177



CITIBANK N A

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To view the historical versions of DMPs, click the link in the Prior Filing(s) column if applicable.

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Current Financial Disclosure Matter Summary (14 DMPs)

100

entries per page

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14171	08/05/2013	LEHMAN BROTHERS HOLDINGS INC., ET AL. V. CITIBANK, N.A., ET AL, NO. 12-01044 (UPDATED)				
	14169	08/05/2013	LEHMAN BROTHERS INC. V. CITIBANK, N.A., ET AL., NO. 11-				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
			01681 (UPDATED)				
	14170	08/05/2013	LEHMAN BROTHERS HOLDINGS INC., ET AL. V. CITIBANK, N.A., ET AL, NO. 12-01044 (UPDATED)				
	14142	12/18/2012	ADELPHIA COMMCTIONS CORP., ET AL. V. BANK OF AMERICA N.A., ET AL., 03-04942				
	14157	12/18/2012	ENRON CORP. ET AL. V. CITIGROUP INC. ET AL. NO. 03-09266				
	14152	12/18/2012	ENRON CORP. ET AL. V. CITIGROUP INC. ET AL., NO. 03-93611				
	14151	12/18/2012	ENRON CORP. V. CITIBANK N.A. ET AL. NO. 03-92701				
	14156	12/18/2012	ENRON CORP. V. E-NEXT GENERATION LLC ET AL., NO. 03-93593				
	14141	12/18/2012	ENRON CORP. V. J.P. MORGAN SECURITIES INC. ET AL., NO. 03-92677				
	14162	12/18/2012	ENRON CORP. V. SPRINGFIELD ASSOC. LLC ET AL., NO. 05-01025				
	14150	12/18/2012	GLOBAL CROSSING ESTATE REPRESENTATIVE V. CITIBANK, N.A., CITIBANK INTL. PLC, ET AL., NO. 04-02113				
	14154	12/18/2012	LEHMAN BROTHERS HOLDINGS INC., ET AL. V. CITIBANK, N.A., ET AL, NO. 12-01044				
	14155	12/18/2012	LEHMAN BROTHERS INC. V. CITIBANK, N.A., ET AL., NO. 11-01681				
	14153	12/18/2012	WILMINGTON TRUST CO., AS SUCCESSOR INDENTURE TRUSTEE V. JP MORGAN CHASE BANK, N.A., NO. 10-50732				

Archived Financial Disclosure Matter Summary



There are currently no archived DMPs.

Registration Contact Information

First Name	MICHAEL
Last Name	PIETRAS
Title	REGISTRATION MANAGER
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6127
Email	MICHAEL.CHESTER.PIETRAS@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	MICHAEL
Last Name	PIETRAS
Title	SR VICE PRESIDENT
Street Address 1	540 CROSSPOINT PARKWAY
City	GETZVILLE
State (United States only)	NEW YORK
Zip/Postal Code	14068
Country	UNITED STATES
Phone	716-730-6127
Email	MICHAEL.CHESTER.PIETRAS@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