

BrokerCheck Report **SEB SECURITIES, INC.**

CRD# 23710

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**SEB SECURITIES, INC.**

CRD# 23710

SEC# 8-40644

Main Office Location

66 HUDSON BOULEVARD, 28TH FLOOR
NEW YORK, NY 10001
Regulated by FINRA New York Office

Mailing Address

66 HUDSON BOULEVARD, 28RD FLOOR
NEW YORK, NY 10001

Business Telephone Number

212-692-4780

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/28/1988.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 11 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 7 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/28/1988.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

SEB SECURITIES, INC.

Doing business as SEB SECURITIES, INC.

CRD# 23710

SEC# 8-40644

Main Office Location

66 HUDSON BOULEVARD, 28TH FLOOR
NEW YORK, NY 10001

Regulated by FINRA New York Office

Mailing Address

66 HUDSON BOULEVARD, 28RD FLOOR
NEW YORK, NY 10001

Business Telephone Number

212-692-4780



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

| | |
|---|---|
| Legal Name & CRD# (if any): | SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) |
| Is this a domestic or foreign entity or an individual? | Foreign Entity |
| Position | FOREIGN BANK (PARENT) |
| Position Start Date | 01/1994 |
| Percentage of Ownership | 75% or more |
| Does this owner direct the management or policies of the firm? | Yes |
| Is this a public reporting company? | No |

| | |
|---|-----------------------------|
| Legal Name & CRD# (if any): | FERNANDEZ, DAVID 5994929 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CHIEF COMPLIANCE OFFICER |
| Position Start Date | 04/2025 |
| Percentage of Ownership | Less than 5% |
| Does this owner direct the management or policies of the firm? | No |
| Is this a public reporting company? | No |

| | |
|---|-------------------------------|
| Legal Name & CRD# (if any): | GULBRANDSEN, IRINA 6236681 |
| Is this a domestic or foreign entity or an individual? | Individual |
| Position | CHIEF RISK OFFICER |
| Position Start Date | 06/2025 |

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): JENCAUSKAS, MATAS MR.
8066410

Is this a domestic or foreign entity or an individual? Individual

Position FINANCIAL OPERATIONS PRINCIPAL

Position Start Date 04/2025

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): LOFGREN, MAGNUS
5646538

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF EXECUTIVE OFFICER

Position Start Date 01/2017

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 11 U.S. states and territories.

| Federal Regulator | Status | Date Effective |
|-------------------|----------|----------------|
| SEC | Approved | 01/23/1989 |

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

| Self-Regulatory Organization | Status | Date Effective |
|------------------------------|----------|----------------|
| FINRA | Approved | 05/04/1989 |

Firm Operations



Registrations (continued)

| U.S. States & Territories | Status | Date Effective |
|---------------------------|----------|----------------|
| California | Approved | 02/09/2007 |
| District of Columbia | Approved | 08/25/2011 |
| Florida | Approved | 04/20/1998 |
| Louisiana | Approved | 08/26/2011 |
| Maryland | Approved | 03/06/2007 |
| New York | Approved | 12/30/1988 |
| Ohio | Approved | 08/15/2008 |
| Tennessee | Approved | 01/20/2009 |
| Texas | Approved | 04/11/2007 |
| Virginia | Approved | 03/08/2007 |
| Washington | Approved | 08/10/2011 |



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 7 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Underwriter or selling group participant (corporate securities other than mutual funds)

Non-exchange member arranging for transactions in listed securities by exchange member

Trading securities for own account

Private placements of securities

Other - 12 (Z) APPLICANT EFFECTS TRANSACTIONS IN LISTED CORPORATE EQUITY AND DEBT SECURITIES FOR ITS CUSTOMERS IN ADDITION TO RETAILING CORPORATE SECURITIES OVER THE COUNTER AS DISCLOSED IN ITEM 12(Z). THE FIRM ENGAGES IN AGENCY AND CONDUIT SECURITIES LENDING. ALSO PROVIDE MERGERS AND ACQUISITIONS ADVISORY SERVICES AND DISTRIBUTES RESEARCH. THE FIRM ALSO ENGAGES IN SECURITIES CLEARING AND SETTLEMENT.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

| | |
|--------------------------|---|
| Name: | SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) |
| Business Address: | KUNGSTRÄDGÅRDSGATAN 8 STOCKHOLM, SWEDEN 106 40 |
| Effective Date: | 04/19/1991 |
| Description: | THE APPLICANT CLEARS TRADES IN NORDIC SECURITIES THROUGH ITS PARENT COMPANY, SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) |

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: SKANDINAVISKA ENSKILDA BANKEN AB (PUBL)

Business Address: KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM, SWEDEN 106 40

Effective Date: 04/19/1991

Description: SEBSI MAINTAINS SOME OF ITS BOOKS AND RECORDS WITH SKANDINAVISKA ENSKILDA BANKEN AB, WHICH IS PROVIDING AN ELECTRONIC STORAGE SERVICE PURSUANT TO SEC RULE 17A-4

Name: BLOOMBERG FINANCE LP

Business Address: 731 LEXINGTON AVE
NEW YORK, NY 10022

Effective Date: 10/02/2020

Description: SEBSI MAINTAINS SOME OF ITS BOOKS AND RECORDS ARCHIVED WITH BLOOMBERG FINANCE LP, WHICH IS PROVIDING AN ELECTRONIC STORAGE SERVICE PURSUANT TO SEC RULE 17A-4

Name: GLOBAL RELAY COMMUNICATIONS INC.

Business Address: 220 CAMBIE STREET, 2ND FLOOR
VANCOUVER, CANADA V6B 2M9

Effective Date: 08/09/2011

Description: SEBSI MAINTAINS SOME OF ITS BOOKS AND RECORDS WITH GLOBAL RELAY, WHICH IS PROVIDING AN ELECTRONIC STORAGE SERVICE PURSUANT TO SEC RULE 17A-4

Name: GRM INFORMATION MANAGEMENT SERVICES

Business Address: 215 COLES STREET
JERSEY CITY, NJ 07310

Effective Date: 01/21/1999

Description: GRM INFORMATION MANAGEMENT SERVICES (F.K.A. GUARANTEE RECORDS MANAGEMENT) PROVIDES DOCUMENT STORAGE

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: SKANDINAVISKA ENSKILDA BANKEN AB (PUBL)

Firm Operations



Industry Arrangements (continued)

Business Address: KUNGSTRÄDGÅRD SGATAN 8
STOCKHOLM, SWEDEN 106 40

Effective Date: 04/19/1991

Description: THE APPLICANT CLEARS TRADES IN NORDIC SECURITIES THROUGH
ITS PARENT COMPANY, SKANDINAVISKA ENSKILDA BANKEN AB (PUBL)

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

SEB FUND SERVICES S.A. is under common control with the firm.

| | |
|--|--|
| Business Address: | 4, RUE PETERNELCHEN HOWALD, LUXEMBOURG L-2370 |
| Effective Date: | 10/26/2000 |
| Foreign Entity: | Yes |
| Country: | LUXEMBOURG |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | SEB FUND SERVICES S.A. IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

SKANDINAVISKA ENSKILDA BANKEN S.A. is under common control with the firm.

| | |
|--|--|
| Business Address: | 4, RUE PETERNELCHEN HOWALD, LUXEMBOURG L-2370 |
| Effective Date: | 03/03/1973 |
| Foreign Entity: | Yes |
| Country: | LUXEMBOURG |
| Securities Activities: | Yes |
| Investment Advisory Activities: | Yes |
| Description: | SKANDINAVISKA ENSKILDA BANKEN S.A. IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

PJSC SEB CORPORATE BANK is under common control with the firm.

| | |
|--------------------------|-----------------------|
| Business Address: | MYKHAILIVSKA STREET 7 |
|--------------------------|-----------------------|

Firm Operations



Organization Affiliates (continued)

KYIV, UKRAINE 01001

Effective Date: 03/31/2012

Foreign Entity: Yes

Country: UKRAINE

Securities Activities: Yes

Investment Advisory Activities: No

Description: PJSC SEB CORPORATE BANK IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL).

UAB SEB INVESTICIJU VALDYMAS is under common control with the firm.

Business Address: GENDIMINO AVE. 12
VILNIUS, LITHUANIA LT-01103

Effective Date: 03/31/1999

Foreign Entity: Yes

Country: LITHUANIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: UAB SEB INVESTICIJU VALDYMAS IS 100% DIRECTLY OWNED BY AB SEB BANKAS.

AB SEB BANKAS is under common control with the firm.

Business Address: GENDIMINO AVE. 12
VILNIUS, LITHUANIA LT-01103

Effective Date: 03/31/1999

Foreign Entity: Yes

Country: LITHUANIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Firm Operations



Organization Affiliates (continued)

Description: AB SEB BANKAS IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL).

SEB DZIVIBAS APDROSINASANA AAS is under common control with the firm.

Business Address: ANTONIJAS IELA 9
RIGA, LATVIA LV-1010

Effective Date: 08/03/2005

Foreign Entity: Yes

Country: LATVIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: SEB DZIVIBAS APDROSINASANA AAS IS 100% OWNED BY SEB LIFE AND PENSION HOLDING AB, SWEDEN. SEB LIFE AND PENSION HOLDING AB IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB PUBL.

SEB WEALTH MANAGEMENT, IEGULDIJUMU PARVALDES AKCIJU SABIEDRIBA is under common control with the firm.

Business Address: ANTONIJAS IELA 9
RIGA, LATVIA LV-1010

Effective Date: 05/14/2003

Foreign Entity: Yes

Country: LATVIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SEB WEALTH MANAGEMENT, IEGULDIJUMU PARVALDES AKCIJU SABIEDRIBA IS 100% DIRECTLY OWNED BY AS SEB BANKA.

SEB ATKLATAIS PENSIJU FONDS, AKCIJU SABIEDRIBA is under common control with the firm.

Business Address: ANTONIJAS IELA 9
RIGA, LATVIA LV-1010

Effective Date: 03/10/2000

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

| | |
|--|---|
| Country: | LATVIA |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | SEB ATKLATIAS PENSIJU FONDS AS IS 100% OWNED BY AS SEB BANKA. |

SEB BANKA, AS is under common control with the firm.

| | |
|--|---|
| Business Address: | "SEB FINANSU CENTRS", VALDLAUCI, MEISTARU IELA 1, KEKAVAS NOVADS, LATVIA LV-1076 |
| Effective Date: | 03/31/1999 |
| Foreign Entity: | Yes |
| Country: | LATVIA |
| Securities Activities: | Yes |
| Investment Advisory Activities: | Yes |
| Description: | AS SEB BANKAS IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

AS SEB VARAHALDUS is under common control with the firm.

| | |
|--|--|
| Business Address: | TORNIMÄE 2 TALLINN, ESTONIA 15010 |
| Effective Date: | 05/22/1996 |
| Foreign Entity: | Yes |
| Country: | ESTONIA |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | AS SEB VARAHALDUS IS 100% DIRECTLY OWNED BY AS SEB PANK, WHICH IN TURN IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

AS SEB PANK is under common control with the firm.

| | |
|--------------------------|--------------------------------------|
| Business Address: | TORNIMÄE 2 TALLINN, ESTONIA 15010 |
|--------------------------|--------------------------------------|

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/31/1999

Foreign Entity: Yes

Country: ESTONIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: AS SEB PANK IS DIRECTLY OWNED TO 100% BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL).

SEB AG is under common control with the firm.

Business Address: STEPHANSTRASSE 14-16
FRANKFURT, GERMANY 60313

Effective Date: 01/01/2000

Foreign Entity: Yes

Country: GERMANY

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SEB AG IS DIRECTLY OWNED TO 100% BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL).

SEB PRIVATE EQUITY OPPORTUNITY MANAGEMENT S.A. is under common control with the firm.

Business Address: 4, RUE PETERNELCHEN
HOWALD, LUXEMBOURG L-2370

Effective Date: 03/07/2013

Foreign Entity: Yes

Country: LUXEMBOURG

Securities Activities: Yes

Investment Advisory Activities: No

Description: SEB PRIVATE EQUITY OPPORTUNITY MANAGEMENT S.A. IS 100% OWNED BY SEB INVESTMENT MANAGEMENT AB WHICH IN TURN IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL).

Firm Operations



Organization Affiliates (continued)

SEB INVESTMENT MANAGEMENT AB is under common control with the firm.

| | |
|--|--|
| Business Address: | STJÄRNTORGET 4 STOCKHOLM, SWEDEN 106 40 |
| Effective Date: | 07/03/1978 |
| Foreign Entity: | Yes |
| Country: | SWEDEN |
| Securities Activities: | Yes |
| Investment Advisory Activities: | Yes |
| Description: | SEB INVESTMENT MANAGEMENT AB IS DIRECTLY OWNED TO 100% BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

SEB PENSIONSORSIKRING A/S is under common control with the firm.

| | |
|--|--|
| Business Address: | BERNSTORFFSGADE 50 COPENHAGEN, DENMARK 0900 |
| Effective Date: | 10/16/1999 |
| Foreign Entity: | Yes |
| Country: | DENMARK |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | SEB PENSIONSORSIKRING A/S IS CURRENTLY 100% DIRECTLY OWNED BY SEB LIFE AND PENSION AB, WHICH IN TURN IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) (SEB). SEB HAS SIGNED AN AGREEMENT TO SELL ALL SHARES IN PENSIONSORSIKRING TO DANICA PENSION LIVSFORSIKRINGS AKTIESELSKAB. THE CLOSING IS EXPECTED DURING Q2 IN 2018. |

UAB SEB GYVYBES DRAUDIMAS is under common control with the firm.

| | |
|--------------------------|--|
| Business Address: | GENDIMINO PR. 12 VILNIUS, LITHUANIA 01103 |
| Effective Date: | 06/11/1999 |
| Foreign Entity: | Yes |
| Country: | LITHUANIA |

Firm Operations



Organization Affiliates (continued)

| | |
|--|---|
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | UAB SEB GYVYBES DRAUDIMAS IS 100% DIRECTLY OWNED BY SEB LIFE AND PENSION HOLDING AB, WHICH IN TURN IS 100% DIRECTLY OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

GAMLA LIVFÖRSÄKRINGS- AKTIEBOLAGET SEB TRYGG LIV (PUBL) is under common control with the firm.

| | |
|--|---|
| Business Address: | ARSENALSGATAN 2 STOCKHOLM, SWEDEN 106 40 |
| Effective Date: | 02/05/1997 |
| Foreign Entity: | Yes |
| Country: | SWEDEN |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | GAMLA LIVFÖRSÄKRINGS AKTIEBOLAGET SEB TRYGG LIV (PUBL) IS 99.6% OWNED BY SEB LIFE AND PENSION HOLDING AB, WHICH IN TURN IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

AKTSIAELTS SEB ELU-JA PENSIONIKINDLUSTUS is under common control with the firm.

| | |
|--|--|
| Business Address: | TORNIMÄE 2 TALLIN, ESTONIA 15010 |
| Effective Date: | 01/21/1999 |
| Foreign Entity: | Yes |
| Country: | ESTONIA |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | AKTSIAELTS SEB ELU-JA PENSIONIKINDLUSTUS IS 100% OWNED BY SEB LIFE AND PENSION HOLDING AB, WHICH IN TURN IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

SEB LIFE INTERNATIONAL ASSURANCE CO DESIGNATED ACTIVITY CO is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

| | |
|--|--|
| Business Address: | BLOODSTONE BUILDING, SIR JOHN ROGERSON'S QUAY DUBLIN, IRELAND 2 |
| Effective Date: | 06/13/1994 |
| Foreign Entity: | Yes |
| Country: | IRELAND |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | SEB LIFE INTERNATIONAL ASSURANCE CO DESIGNATED ACTIVITY CO IS 100% OWNED BY SEB LIFE AND PENSION HOLDING AB, WHICH IN TURN IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

SEB PENSION OCH FÖRSÄKRING AB is under common control with the firm.

| | |
|--|---|
| Business Address: | STJÄRNTORGET 4 STOCKHOLM, SWEDEN 106 40 |
| Effective Date: | 11/23/1990 |
| Foreign Entity: | Yes |
| Country: | SWEDEN |
| Securities Activities: | Yes |
| Investment Advisory Activities: | No |
| Description: | SEB PENSION OCH FÖRSÄKRING AB IS 100% OWNED BY SEB LIFE AND PENSION HOLDING AB, WHICH IN TURN IS 100% OWNED BY SKANDINAVISKA ENSKILDA BANKEN AB (PUBL). |

SKANDINAVISKA ENSKILDA BANKEN AB controls the firm.

| | |
|-------------------------------|--|
| Business Address: | KUNGSTRADGARDSG. 8 STOCKHOLM, SWEDEN 106 40 |
| Effective Date: | 06/01/2006 |
| Foreign Entity: | Yes |
| Country: | SWEDEN |
| Securities Activities: | Yes |

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) IS A DIRECT 100% OWNER OF SEB SECURITIES, INC. SEB AB IS ENGAGED IN SECURITIES AND INVESTMENT ADVISORY ACTIVITIES IN SWEDEN AND OTHER FOREIGN JURISDICTIONS.

This firm is directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) is a Foreign Bank and controls the firm.

Business Address: KUNGSTRADGARDSG. 8
STOCKHOLM, SWEDEN 10322

Effective Date: 01/24/1994

Description: SKANDINAVISKA ENSKILDA BANKEN AB (PUBL) IS A DIRECT OWNER OF SEB SECURITIES, INC. AFTER ENSKILDA SECURITIES AB WAS MERGED INTO THE PARENT SEB AB (PUBL).

End of Report



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