

BrokerCheck Report

ABN AMRO CAPITAL MARKETS (USA) LLC

CRD# 325235

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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.

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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.](http://www.finra.org)



ABN AMRO CAPITAL MARKETS (USA) LLC

CRD# 325235

SEC# 8-71059

Main Office Location

250 PARK AVENUE
SUITE 911
NEW YORK, NY 10177
Regulated by FINRA New York Office

Mailing Address

250 PARK AVENUE
SUITE 911
NEW YORK, NY 10177

Business Telephone Number

(917) 331-4881

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 limited liability company.

This firm was formed in Delaware on 02/02/2023.

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
- 53 U.S. states and territories

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

This firm conducts 6 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

The number of disclosures from non-registered control affiliates is 9



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 02/02/2023.

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.

ABN AMRO CAPITAL MARKETS (USA) LLC

Doing business as ABN AMRO CAPITAL MARKETS (USA) LLC

CRD# 325235

SEC# 8-71059

Main Office Location

250 PARK AVENUE
SUITE 911
NEW YORK, NY 10177

Regulated by FINRA New York Office

Mailing Address

250 PARK AVENUE
SUITE 911
NEW YORK, NY 10177

Business Telephone Number

(917) 331-4881



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): ABN AMRO BANK N.V.

Is this a domestic or foreign entity or an individual? Foreign Entity

Position SOLE MEMBER

Position Start Date 02/2023

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): ALONGI, ROBERT PHILIP JR
2445170

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

Position HEAD OF OPERATIONS

Position Start Date 02/2023

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): LANGE, ALEXANDER CHRISTIAN
4292286

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

Position PRESIDENT

Position Start Date 02/2023

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LUO, ROGER ZHENYUAN
5840881

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

Position FINOP

Position Start Date 02/2023

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): MOLESTINA, ANTONIO XAVIER
2846750

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

Position GENERAL COUNSEL & CHIEF COMPLIANCE OFFICER

Position Start Date 02/2023

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

Legal Name & CRD# (if any):	STICHTING ADMINISTRATIEKANTOOR CONTINUITEIT ABN AMRO BANK
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ABN AMRO BANK N.V.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2023
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	STICHTING ADMINISTRATIEKANTOOR BEHEER FINANCIELE INSTELLINGEN
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ABN AMRO BANK N.V.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2023
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/07/2023

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	11/07/2023



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/17/2024	North Carolina	Approved	11/20/2023
Alaska	Approved	01/26/2024	North Dakota	Approved	04/11/2024
Arizona	Approved	05/23/2024	Ohio	Approved	01/18/2024
Arkansas	Approved	02/23/2024	Oklahoma	Approved	11/14/2023
California	Approved	01/11/2024	Oregon	Approved	04/02/2024
Colorado	Approved	11/30/2023	Pennsylvania	Approved	01/10/2024
Connecticut	Approved	01/30/2024	Puerto Rico	Approved	05/22/2024
Delaware	Approved	06/03/2023	Rhode Island	Approved	11/15/2023
District of Columbia	Approved	06/28/2024	South Carolina	Approved	02/09/2024
Florida	Approved	07/17/2024	South Dakota	Approved	11/07/2023
Georgia	Approved	01/04/2024	Tennessee	Approved	04/22/2024
Hawaii	Approved	01/09/2024	Texas	Approved	01/02/2024
Idaho	Approved	11/14/2023	Utah	Approved	11/27/2023
Illinois	Approved	07/30/2024	Vermont	Approved	01/18/2024
Indiana	Approved	04/10/2024	Virgin Islands	Approved	01/23/2024
Iowa	Approved	11/07/2023	Virginia	Approved	01/26/2024
Kansas	Approved	02/26/2024	Washington	Approved	11/21/2023
Kentucky	Approved	12/01/2023	West Virginia	Approved	01/29/2024
Louisiana	Approved	11/13/2023	Wisconsin	Approved	01/16/2024
Maine	Approved	11/29/2023	Wyoming	Approved	03/19/2024
Maryland	Approved	06/03/2024			
Massachusetts	Approved	02/02/2024			
Michigan	Approved	01/12/2024			
Minnesota	Approved	05/03/2024			
Mississippi	Approved	11/13/2023			
Missouri	Approved	02/13/2024			
Montana	Approved	11/07/2023			
Nebraska	Approved	02/21/2024			
Nevada	Approved	11/13/2023			
New Hampshire	Approved	02/23/2024			
New Jersey	Approved	02/14/2024			
New Mexico	Approved	03/28/2024			
New York	Approved	11/12/2023			



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 6 types of businesses.

Types of Business

Broker or dealer selling corporate debt securities

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

Trading securities for own account

Private placements of securities

Broker or dealer selling interests in mortgages or other receivables

Other - THE FIRM WILL PROVIDE CHAPERONE SERVICES TO NON-U.S. AFFILIATE BROKER-DEALERS UNDER RULE 15A-6 OF THE SECURITIES EXCHANGE ACT OF 1934, AS AMENDED.

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

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

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

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.

ABN AMRO CLEARING INVESTMENTS B.V. is under common control with the firm.

Business Address:	GUSTAV MAHLERLAAN 10 AMSTERDAM, NETHERLANDS 1082 PP
Effective Date:	02/02/2023
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ENTITY IS UNDER COMMON CONTROL WITH APPLICANT. BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING HONG KONG LIMITED is under common control with the firm.

Business Address:	LEVEL 70, INTERNATIONAL COMMERCE CENTRE 1 AUSTIN ROAD WEST KOWLOON, HONG KONG
Effective Date:	02/02/2023
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ENTITY IS UNDER COMMON CONTROL WITH APPLICANT. BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO SECURITIES (USA) LLC is under common control with the firm.

Firm Operations**Organization Affiliates (continued)**

CRD #: 151796

Business Address: 100 PARK AVENUE
17TH FLOOR
NEW YORK, NY 10017

Effective Date: 02/02/2023

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT. BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING SYDNEY NOMINEES PTY LTD is under common control with the firm.

Business Address: 50 BRIDGE STREET
LEVEL 8
SYDNEY, AUSTRALIA NSW 2000

Effective Date: 02/02/2023

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING USA LLC is under common control with the firm.

CRD #: 14020

Business Address: 175 WEST JACKSON BOULEVARD
SUITE 2050
CHICAGO, IL 60604

Effective Date: 02/02/2023

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING TOKYO CO. LTD is under common control with the firm.

Business Address: 39 F. ATTAGO GREEN HILLS MORI TOWER
2-5-1 ATTAGO, MINATO - KU
TOKYO, JAPAN 105-6239

Effective Date: 02/02/2023

Foreign Entity: Yes

Country: JAPAN

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO GLOBAL CUSTODY SERVICES N.V. is under common control with the firm.

Business Address: GUSTAV MAHLERLAAN 10
AMSTERDAM, NETHERLANDS 1082 PP

Effective Date: 02/02/2023

Foreign Entity: Yes

Country: NETHERLANDS

Securities Activities: Yes

Investment Advisory Activities: No

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING SYDNEY PTY LTD is under common control with the firm.

Business Address: 580 GEORGE STREET
LEVEL 11

Firm Operations



Organization Affiliates (continued)

	SYDNEY, AUSTRALIA NSW 2000
Effective Date:	02/02/2023
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING SINGAPORE PTE LTD is under common control with the firm.

Business Address:	182 CECIL STREET 23-01 SINGAPORE, SINGAPORE 069547
Effective Date:	02/02/2023
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ENTITY IS UNDER COMMON CONTROL WITH APPLICANT, BOTH ENTITIES ARE WHOLLY OWNED BY ITS ULTIMATE PARENT ABN AMRO BANK N.V.

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

ABN AMRO BANK N.V. is a Foreign Bank and controls the firm.

Business Address:	GUSTAV MAHLERLAAN 10 AMSTERDAM, NETHERLANDS 1082 PP
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Firm Operations



Organization Affiliates (continued)

Effective Date: 02/02/2023

Description: ENTITY IS WHOLLY OWNED BY ITS PARENT ABN AMRO BANK N.V.

ABN AMRO CLEARING BANK N.V. is a Foreign Bank and controls the firm.

Business Address: GUSTAV MAHLERLAAN 10
AMSTERDAM, NETHERLANDS 1082 PP

Effective Date: 02/02/2023

Description: ENTITY IS UNDER COMMON CONTROL WITH APPLICANT THROUGH ABN AMRO BANK N.V.



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator
Current Status: Final



Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT CONDUCTED A SECURITIES BUSINESS ON 84 DAYS DURING WHICH IT FAILED TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL. THE FINDINGS STATED THAT THE FIRM ENTERED INTO A REVERSE REPURCHASE TRANSACTION WITH ITS PARENT BANK INVOLVING U.S. TREASURY SECURITIES HELD AS COLLATERAL IN A SEGREGATED ACCOUNT OWNED BY, AND IN THE NAME OF, THE PARENT BANK. HOWEVER, BECAUSE THE COLLATERAL WAS NEITHER IN THE FIRM'S POSSESSION OR CONTROL, NOR OUTSIDE THE PARENT BANK'S CONTROL, THE FIRM IMPROPERLY CLASSIFIED THE REVERSE REPURCHASE AGREEMENT AS AN ALLOWABLE ASSET WHEN IT SHOULD HAVE TREATED THE ENTIRE CONTRACT VALUE AS A NON-ALLOWABLE ASSET IN ITS NET CAPITAL CALCULATIONS. THE FIRM'S NET CAPITAL DEFICIENCIES RANGED FROM APPROXIMATELY \$1,900 TO APPROXIMATELY \$8.3 MILLION, WITH AN AVERAGE DEFICIENCY OF APPROXIMATELY \$665,000. THE FINDINGS ALSO STATED THAT THE FIRM MAINTAINED INACCURATE BOOKS AND RECORDS AND FILED INACCURATE FOCUS REPORTS DUE TO THE FIRM'S MISCLASSIFICATION OF THE REVERSE REPURCHASE AGREEMENT CONTRACT VALUE AND THE RESULTANT INACCURATE NET CAPITAL CALCULATIONS. THE FIRM FILED FOCUS REPORTS THAT OVERSTATED ITS NET CAPITAL BY AMOUNTS RANGING FROM APPROXIMATELY \$23 MILLION TO APPROXIMATELY \$25 MILLION. THESE ERRORS HINDERED REGULATORS' ABILITY TO EFFECTIVELY MONITOR THE FIRM'S FINANCIAL CONDITION. THE FINDINGS ALSO INCLUDED THAT THE FIRM FILED UNTIMELY NOTICES REGARDING ITS NET CAPITAL DEFICIENCIES. CONSEQUENTLY, FINRA AND THE SEC WERE UNAWARE OF, AND COULD NEITHER CONSIDER NOR ACT UPON, THE DEFICIENCY UNTIL IT WAS DISCOVERED BY FINRA'S EXAMINATION TEAM.

Initiated By: FINRA

Date Initiated: 01/16/2026

Docket/Case Number: [2024080523501](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/16/2026



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine \$50,000.00
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED \$50,000. FINE PAID IN FULL ON JANUARY 27, 2026.
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Reporting Source:	Firm
Current Status:	Final
Appealed To and Date Appeal Filed:	N/A
Allegations:	APPLICANT IMPROPERLY CLASSIFIED A REVERSE REPURCHASE AGREEMENT AS AN ALLOWABLE ASSET WHEN IT SHOULD HAVE TREATED THE ENTIRE CONTRACT VALUE AS A NON-ALLOWABLE ASSET IN ITS NET CAPITAL CALCULATIONS. ACCORDINGLY, APPLICANT FAILED TO: (I) MAINTAIN THE REQUIRED MINIMUM NET CAPITAL, (II) MAINTAIN ACCURATE BOOKS AND RECORDS RELATED TO THE NET CAPITAL CALCULATIONS, (III) FILE ACCURATE FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE (FOCUS) REPORTS, AND (IV) PROVIDE TIMELY REQUIRED NOTIFICATIONS TO FINRA AND THE SEC REGARDING NET CAPITAL DEFICIENCIES. AS A RESULT, APPLICANT VIOLATED SECTIONS 15(C)(3) AND 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934, EXCHANGE ACT RULES 15C3-1, 17A-3, 17A-5, AND 17A-11, AND FINRA RULES 4110(B)(1), 4511(A), AND 2010.
Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY
Date Initiated:	01/28/2025
Docket/Case Number:	2024080523501
Principal Product Type:	No Product
Other Product Type(s):	N/A
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)



Other Sanction(s)/Relief Sought: CENSURE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/16/2026

Sanctions Ordered: Censure
Monetary/Fine \$50,000.00

Other Sanctions Ordered: N/A

Sanction Details: FINE OF \$50,000.00 AND CENSURE. FINE WILL BE PAID ACCORDING TO FINRA'S DIRECTION.

Firm Statement THIS MATTER HAS BEEN RESOLVED. THE PARTIES SIGNED A LETTER OF ACCEPTANCE, WAIVER & CONSENT. THE APPLICANT AGREED TO PAY A \$50,000.00 FINE AND WAS CENSURED BY FINRA. THE FINE WILL BE PAID ACCORDING TO FINRA'S DIRECTION.



Disclosure Events for Non-Registered Control Affiliates

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	8	0
Criminal	0	1	0

Disclosure Event Details

Regulatory - Final

Disclosure 1 of 8

Reporting Source:	Firm
Affiliate:	ABN BANK N.V.
Current Status:	Final
Allegations:	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS ("AFM") FOUND THAT ABN AMRO BANK N.V. ("AAB") VIOLATED ARTICLE 4:90(E) OF THE WFT (DUTCH FINANCIAL SUPERVISION ACT) AND WAS NOT IN COMPLIANCE WITH MIFID REPORTING REQUIREMENTS BY NOT REPORTING 86,796 "XONTRO TRANSACTIONS" ON THE STUTTGART EXCHANGE DURING APPROX. 2/1/10 THROUGH 7/1/15. MIFID REGULATIONS REQUIRE BANKS TO SUBMIT REPORTS CONCERNING TRANSACTIONS IN CERTAIN FINANCIAL INSTRUMENTS. AAB SELF-REPORTED THE OMISSION TO THE AFM AND SUBMITTED THE REPORTS REGARDING THE MISSING TRANSACTIONS AND TOOK MEASURES TO PREVENT THIS FROM RECURRING. AAB WAS FINED EUR 400,000.00 APPROXIMATELY \$478,590.00 USD.
Initiated By:	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS
Date Initiated:	07/06/2017
Docket/Case Number:	CEAR-17031743
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	08/15/2017
Sanctions Ordered:	Monetary/Fine \$478,590.00
Other Sanctions Ordered:	
Sanction Details:	AAB WAS FINED EUR 400,000.00 APPROXIMATELY \$478,590.00
Firm Statement	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS ("AFM") FOUND THAT ABN AMRO BANK N.V. ("AAB") VIOLATED ARTICLE 4:90(E) OF



THE WFT (DUTCH FINANCIAL SUPERVISION ACT) AND WAS NOT IN COMPLIANCE WITH MIFID REPORTING REQUIREMENTS BY NOT REPORTING 86,796 "XONTRO TRANSACTIONS" ON THE STUTTGART EXCHANGE DURING APPROX. 2/1/10 THROUGH 7/1/15. MIFID REGULATIONS REQUIRE BANKS TO SUBMIT REPORTS CONCERNING TRANSACTIONS IN CERTAIN FINANCIAL INSTRUMENTS. AAB SELFREPORTED THE OMISSION TO THE AFM AND SUBMITTED THE REPORTS REGARDING THE MISSING TRANSACTIONS AND TOOK MEASURES TO PREVENT THIS FROM RECURRING. AAB WAS FINED EUR 400,000.00 APPROXIMATELY \$478,590.00 USD.

Disclosure 2 of 8

Reporting Source:	Firm
Affiliate:	ABN AMRO CLEARING BANK N.V.
Current Status:	Final
Allegations:	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS ("AFM") FOUND THAT ABN AMRO CLEARING BANK N.V. ("AACB") VIOLATED ARTICLE 4:90(E) OF THE WFT (DUTCH FINANCIAL SUPERVISION ACT) AND WAS NOT IN COMPLIANCE WITH MIFID REPORTING REQUIREMENTS BY NOT REPORTING 11,911 "XONTRO TRANSACTIONS" ON THE STUTTGART EXCHANGE DURING APPROX. 9/13/14 THROUGH 4/11/16. MIFID REGULATIONS REQUIRE BANKS TO SUBMIT REPORTS CONCERNING TRANSACTIONS IN CERTAIN FINANCIAL INSTRUMENTS. AACB SELF-REPORTED THE OMISSION TO THE AFM AND SUBMITTED THE REPORTS REGARDING THE MISSING TRANSACTIONS AND TOOK MEASURES TO PREVENT THIS FROM RECURRING. AACB WAS FINED EUR 500,000.00 APPROXIMATELY \$598075.00 USD.
Initiated By:	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS
Date Initiated:	07/06/2017
Docket/Case Number:	CEAR-17061169
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision



Resolution Date:	08/15/2017
Sanctions Ordered:	Monetary/Fine \$598,075.00
Other Sanctions Ordered:	
Sanction Details:	AACB WAS FINED EUR 500,000.00 APPROXIMATELY \$598075.00 USD.
Firm Statement	THE NETHERLANDS AUTHORITY OF THE FINANCIAL MARKETS ("AFM") FOUND THAT ABN AMRO CLEARING BANK N.V. ("AACB") VIOLATED ARTICLE 4:90(E) OF THE WFT (DUTCH FINANCIAL SUPERVISION ACT) AND WAS NOT IN COMPLIANCE WITH MIFID REPORTING REQUIREMENTS BY NOT REPORTING 11,911 "XONTRO TRANSACTIONS" ON THE STUTTGART EXCHANGE DURING APPROX. 9/13/14 THROUGH 4/11/16. MIFID REGULATIONS REQUIRE BANKS TO SUBMIT REPORTS CONCERNING TRANSACTIONS IN CERTAIN FINANCIAL INSTRUMENTS. AACB SELF-REPORTED THE OMISSION TO THE AFM AND SUBMITTED THE REPORTS REGARDING THE MISSING TRANSACTIONS AND TOOK MEASURES TO PREVENT THIS FROM RECURRING. AACB WAS FINED EUR 500,000.00 APPROXIMATELY \$598075.00 USD.

Disclosure 3 of 8

Reporting Source:	Firm
Affiliate:	ABN AMRO CLEARING SYDNEY PTY LTD
Current Status:	Final
Allegations:	AUSTRALIAN SECURITIES AND INVESTMENT COMMISSION ("ASIC") HAS DETERMINED THAT ABN AMRO CLEARING (SYDNEY) PTY LTD ("ABN AMRO") FAILED TO PREVENT OR CANCEL A TRANSACTION RESULTING FROM AN ORDER ENTERED BY AN ABN AMRO DMA CLIENT OUTSIDE OF THE MARKET RANGE IN VIOLATION OF ASIC INTEGRITY RULES (ASX 24 MARKET)2010 ("MIR 2.2.1(1)(B)"). FINE OF AU\$40,000.00,(APPROX. \$35,121.60 USD)TO BE PAID BY 10/13/14.
Initiated By:	AUSTRALIAN SECURITIES EXCHANGE
Date Initiated:	05/27/2014
Docket/Case Number:	MDP #2808/14
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)


Other Sanction(s)/Relief Sought:

Resolution: Decision
Resolution Date: 09/16/2014
Sanctions Ordered: Monetary/Fine \$35,121.60
Other Sanctions Ordered:

Sanction Details: AUSTRALIAN SECURITIES AND INVESTMENT COMMISSION ("ASIC") HAS DETERMINED THAT ABN AMRO CLEARING (SYDNEY) PTY LTD ("ABN AMRO") FAILED TO PREVENT OR CANCEL A TRANSACTION RESULTING FROM AN ORDER ENTERED BY AN ABN AMRO DMA CLIENT OUTSIDE OF THE MARKET RANGE IN VIOLATION OF ASIC INTEGRITY RULES (ASX 24 MARKET)2010 ("MIR 2.2.1(1)(B)"). FINE OF AU\$40,000.00,(APPROX. \$35,121.60 USD)TO BE PAID BY 10/13/14.

Disclosure 4 of 8

Reporting Source: Firm
Affiliate: ABN AMRO CLEARING SYDNEY PTY LTD
Current Status: Final
Allegations: ASX COMPLIANCE PTY LIMITED ("ASX") HAS DETERMINED THAT ABN AMRO CLEARING (SYDNEY) PTY LTD ("ABN AMRO") DID NOT COMPLY WITH ASX OPERATING RULE SCHEDULE 1.1012(A) AND THEREBY CONTRAVENED ASX OPERATING RULE 1003 (THE "CONTRAVENTION"). THE CONTRAVENTION AROSE ON 3 MAY 2013 WHEN ABN AMRO FAILED TO ENSURE THAT 1,101 ORDERS BY A THIRD PARTY DIRECT MARKET ACCESS ("DMA") CLIENT (THE "CLIENT") WERE DIRECTED THROUGH THE CORRECT OPEN INTERFACE DEVICE, SUCH THAT THEY WERE DIRECTED TO THE RELEVANT CLEARING PARTICIPANT. FINED \$30,000 AUD.
Initiated By: AUSTRALIAN SECURITIES EXCHANGE
Date Initiated: 03/26/2014
Docket/Case Number: 2013003
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)


Other Sanction(s)/Relief Sought:

Resolution: Decision
Resolution Date: 03/26/2014
Sanctions Ordered: Monetary/Fine \$27,762.00
Other Sanctions Ordered:
Sanction Details: FINED \$30,000.00 AUD (APPROXIMATELY \$27,762.00 USD) TO BE PAID BY ABN AMRO CLEARING SYDNEY PTY LTD.

Disclosure 5 of 8

Reporting Source: Firm
Affiliate: ABN AMRO CLEARING SYDNEY PTY LTD
Current Status: Final
Allegations: MARKETS DISCIPLINARY PANEL (MDP) OF THE AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION (ASIC) HAS ISSUED AN INFRINGEMENT NOTICE ON ABN AMRO CLEARING SYDNEY PTY LTD (AACS) RELATING TO AN INCIDENT THAT AROSE ON 4 JULY 2012 (THE ANDERSON SIGMA / FKP MATTER). THE NOTICE IMPOSES A PENALTY ON AACS OF AUD 130,000.
Initiated By: AUSTRALIAN SECURITIES EXCHANGE
Date Initiated: 09/27/2013
Docket/Case Number: 11709/13
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Decision
Resolution Date: 09/27/2013
Sanctions Ordered: Monetary/Fine \$120,315.00
Other Sanctions Ordered:
Sanction Details: FINED \$130,000.00 AUD (APPROXIMATELY \$120,315.00 USD)PAID BY ABN



AMRO CLEARING SYDNEY PTY LTD.

Disclosure 6 of 8

Reporting Source:	Firm
Affiliate:	ABN AMRO CLEARING BANK N.V.
Current Status:	Final
Allegations:	THE DISCIPLINARY COMMITTEE OF NASDAQ OMX STOCKHOLM AB ("EXCHANGE") FOUND THAT ABN AMRO CLEARING BANK N.V. BREACHED THE NORDIC MEMBER RULES ("NMR") BY ALLOWING SPONSORED ACCESS CORRESPONDENT ALGORITHMIC TRADING GROUP TO PLACE ORDERS THAT WERE NOT GENUINE EXECUTABLE ORDERS AND HAD NO COMMERCIAL PURPOSE THROUGH A SHORTCOMING IN A TRADING ALGORITHM. THE EXCHANGE DETERMINED THIS WAS IN VIOLATION OF NMR § 4.6.1. THE EXCHANGE ORDERED ABN AMRO TO PAY A FINE EQUIVALENT TO TWO HUNDRED THOUSAND SWEDISH KRONOR (SEK 200,000). PURSUANT TO NMR-SECTION 4.10.3 A MEMBER HAS THE SAME LIABILITY FOR ORDERS WHICH ARE PLACED THROUGH SPONSORED ACCESS AS FOR ORDERS WHICH THE MEMBER PLACES IN ANY OTHER MANNER.
Initiated By:	NASDAQ OMX STOCKHOLM AB
Date Initiated:	08/28/2013
Docket/Case Number:	N/A
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	01/13/2014
Sanctions Ordered:	Monetary/Fine \$30,861.40
Other Sanctions Ordered:	
Sanction Details:	200,000 SEK (APPROXIMATLEY \$30,861.40 USD) WAS FINED. TO BE PAID BY CONTROL AFFILIATE.



Disclosure 7 of 8

Reporting Source:	Firm
Affiliate:	ABN BANK N.V.
Current Status:	Final
Allegations:	ALLEGED VIOLATIONS OF SECTIONS 5(A) AND 5(C) OF THE SECURITIES ACT, SECTION 15(A) OF THE EXCHANGE ACT AND SECTION 203(A) OF THE ADVISORS ACT.
Initiated By:	U.S. SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	07/31/2013
Docket/Case Number:	3-15401
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	DISGORGEMENT \$2,943,408. PREJUDGMENT INTEREST \$604,000 AND CIVIL MONEY PENALTY \$2,000,000.
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	07/31/2013
Sanctions Ordered:	Censure Monetary/Fine \$2,000,000.00 Disgorgement/Restitution Cease and Desist/Injunction
Other Sanctions Ordered:	DISGORGEMENT \$2,943,408. PREJUDGMENT INTEREST \$604,000.
Sanction Details:	DISGORGEMENT \$2,943,408. PREJUDGMENT INTEREST \$604,000. CIVIL MONEY PENALTY \$2,000,000.
Firm Statement	ABN AMRO BANK N.V. CONSENTED TO THE SEC'S ENTRY OF AN ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS, MAKING CERTAIN FINDINGS AND IMPOSING REMEDIAL SANCTIONS FOR CONDUCT SINCE AT LEAST 2004 IN PROVIDING SECURITIES TRANSACTIONAL AND ADVISORY SERVICES TO ACCOUNTS OF U.S. PERSONS WITHOUT REGISTERING AS, OR QUALIFYING FOR EXEMPTION FROM REGISTERING AS, A U.S. BROKER DEALER OR U.S. INVESTMENT ADVISOR.

Disclosure 8 of 8

Reporting Source:	Firm
Affiliate:	FORTIS CLEARING SYDNEY PTY LTD
Current Status:	Final
Allegations:	CONTRAVENTION OF ASX MARKET RULE 13.3.1(A)- FAILURE TO ENSURE THAT ITS AUTOMATED ORDER PROCESSING SYSTEM COMPLIED WITH THE OPERATIONAL REQUIREMENTS, INCLUDING HAVING APPROPRIATE AUTOMATED FILTERS.
Initiated By:	AUSTRALIAN SECURITIES EXCHANGE
Date Initiated:	04/17/2008
Docket/Case Number:	2008050
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	06/05/2009
Sanctions Ordered:	Monetary/Fine \$20,814.00
Other Sanctions Ordered:	
Sanction Details:	PENALTY OF AUD 25000.00 (20814.00)PAID BY FORTIS CLEARING SYDNEY PTY LTD ON 20 AUGUST 2009.
Firm Statement	MATTER FINALIZED - PENALTY PAID AS PER ABOVE.



Criminal - Final Disposition

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	ABN AMRO BANK N.V.
Current Status:	Final
Status Date:	5/28/2025
Charge Details:	<p>1. NPPS IMPOSED A SINGLE CHARGE/PENALTY ORDER ON THE BANK FOR INVOLVEMENT IN TRANSACTIONS CONNECTED TO, ACCORDING TO THE NPPS, THE INTENTIONAL FILING OF INCORRECT TAX RETURNS BY AN UNRELATED DUTCH SUBSIDIARY OF A NON-DUTCH GLOBAL FINANCIAL INSTITUTION, DURING THE PERIOD OF 2010-2013. THE UNRELATED DUTCH SUBSIDIARY WAS NOT A CLIENT OF THE BANK.</p> <p>2. THE NETHERLANDS IS A CIVIL LAW JURISDICTION THAT DIFFERS FROM THE USA'S COMMON LAW CIVIL AND CRIMINAL CODES. FOR PURPOSES OF REPORTING ON THE APPLICANT'S FORM BD ONLY, THE APPLICANT IS TREATING THE NPPS PENALTY ORDER AS A FELONY, GIVEN THAT THIS CHARACTERIZATION MOST CLOSELY RESEMBLES THE APPLICABLE DESIGNATION UNDER DUTCH CRIMINAL LAW.</p> <p>3. THE BANK DID NOT PLEAD GUILTY TO THE CHARGE/PENALTY ORDER, BUT DID NOT CONTEST THE PENALTY ORDER IN ORDER TO BRING CLOSURE TO THE LONG-STANDING LEGACY MATTER.</p> <p>4. N/A, PENALTY ORDER WAS NOT INVESTMENT RELATED.</p>
Felony:	Yes
Court Details:	A FORMAL CHARGE (REFERRED TO AS A "PENALTY ORDER" UNDER DUTCH LAW) WAS BROUGHT IN THE NETHERLANDS BY THE NETHERLANDS PUBLIC PROSECUTION SERVICE ("NPPS") ON ABN AMRO BANK N.V. (THE "BANK"). THE PENALTY ORDER IS UNILATERALLY IMPOSED BY NPPS, WITHOUT ANY JUDICIAL OR ADMINISTRATIVE PROCEEDING LEADING TO THE ORDER. THERE IS NO DOCKET/CASE NUMBER.
Charge Date:	05/28/2025
Disposition Details:	<p>A. UNDER DUTCH LAW, THE MATTER WAS DISPOSED BY THE BANK CHOOSING NOT TO CONTEST THE PENALTY ORDER. ALTHOUGH THERE IS NO EQUIVALENT UNDER US CRIMINAL LAW, DISPOSITION BY NOT CONTESTING THE PENALTY ORDER IS AKIN TO A CRIMINAL SETTLEMENT WITHOUT THE BANK'S ADMISSION OF GUILT.</p> <p>B. 05/28/2025</p> <p>C. PENALTY</p> <p>D. N/A</p> <p>E. 05/28/2025</p>



- F. 14 MILLION EUROS (\$15.9 MILLION)
- G. THE PENALTY HAS NOT BEEN FULLY PAID.

Firm Statement

THE CHARGE (REFERRED TO AS A "PENALTY ORDER" UNDER DUTCH LAW) WAS IMPOSED BY NPPS ON THE BANK. NPPS FOUND THE BANK TO BE AN ACCESSORY TO THE INTENTIONAL FILING OF INCORRECT TAX RETURNS, DURING THE PERIOD OF JULY 1, 2010 THROUGH SEPTEMBER 11, 2013. THE INCORRECT TAX RETURNS WERE MADE BY A DUTCH SUBSIDIARY OF A PROFESSIONAL COUNTERPARTY OF THE BANK, A NON-DUTCH GLOBAL FINANCIAL INSTITUTION (THE "COUNTERPARTY"). THE BANK WAS NOT INVOLVED IN THE PREPARATION OR FILING OF THE TAX RETURNS IN QUESTION. HOWEVER, THE BANK WAS INVOLVED IN ENTERING INTO SECURITIES TRANSACTIONS WITH THE COUNTERPARTY. ACCORDING TO NPPS, SUCH TRANSACTIONS (THE "DIVIDEND ARBITRAGE TRANSACTIONS") WERE PART OF A SCHEME THROUGH WHICH DIVIDEND TAX WAS WRONGLY OFFSET BY THE DUTCH SUBSIDIARY OF THE COUNTERPARTY.

BY NOT CONTESTING THE PENALTY ORDER, THE CRIMINAL INVESTIGATION RELATING TO THE BANK'S INVOLVEMENT IN THE DIVIDEND ARBITRAGE TRANSACTIONS TERMINATED. EVEN THOUGH THE BANK AND NPPS HAD DIFFERING OPINIONS ON WHETHER THE BANK ACTED UNLAWFULLY, THE BANK DECIDED NOT TO CONTEST THE PENALTY ORDER. THE BANK'S DECISION NOT TO CONTEST THE PENALTY ORDER WAS MADE IN ORDER TO BRING CLOSURE TO THE LONG-STANDING LEGACY MATTER, ORIGINATING AT FORTIS BANK, ONE OF THE BANKS'S LEGAL PREDECESSORS, AND AVOID A POTENTIALLY PROTRACTED CRIMINAL PROCEEDING WITH AN UNCERTAIN OUTCOME. THE PENALTY ORDER DOES NOT AFFECT THE BANK'S BUSINESS OPERATIONS. FURTHERMORE, THE DEPARTMENT INVOLVED IN THE RELEVANT TRANSACTIONS CLOSED IN 2014.

End of Report



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