

BrokerCheck Report

SBERBANK CIB USA, INC.

CRD# 47972

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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)

SBERBANK CIB USA, INC.

CRD# 47972

SEC# 8-51980

Main Office Location

CARNEGIE HALL TOWER
152 WEST 57TH STREET, 46TH FLOOR
NEW YORK, NY 10019

Mailing Address

CARNEGIE HALL TOWER
152 WEST 57TH STREET, 46TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

(212) 300-9600

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 01/17/1997.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

**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	2



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 01/17/1997.

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.

SBERBANK CIB USA, INC

Doing business as SBERBANK CIB USA, INC.

CRD# 47972

SEC# 8-51980

Main Office Location

CARNEGIE HALL TOWER
152 WEST 57TH STREET, 46TH FLOOR
NEW YORK, NY 10019

Mailing Address

CARNEGIE HALL TOWER
152 WEST 57TH STREET, 46TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

(212) 300-9600

Other Names of this Firm

Name	Where is it used
SBERBANK CIB	AK, AL, CA, CO, CT, DE, FL, IA, IL, KS, MA, MD, MN, NJ, NY, PA, TX, VA, WA



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):	SB FINANCE HOLDING LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Position	SOLE SHAREHOLDER OF APPLICANT
Position Start Date	03/2016
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):	LEVY, MICHAEL ISAAC 5181325
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, CHIEF FINANCIAL OFFICER
Position Start Date	03/2014
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):	SEHIC, EVA 4198771
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2022

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): SEHIC, EVA
4198771

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

Position CHIEF EXECUTIVE OFFICER/DIRECTOR

Position Start Date 04/2015

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):	SB CIB HOLDING LLC
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	SB FINANCE HOLDING LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/2014
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):	SBERBANK OF RUSSIA
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	SB CIB HOLDING LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	03/2016
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

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 no longer registered.

The firm's registration was from 02/10/2000 to 12/19/2022.



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 9 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)

U S. government securities dealer

U S. government securities broker

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

Trading securities for own account

Private placements of securities

Other - APPLICANT INTENDS TO ENGAGE IN FOREIGN SECURITIES BUSINESS OF ISSUERS FROM RUSSIA AND COUNTRIES OF THE FORMER SOVIET UNION AS WELL AS COMPANIES WHO DERIVE A SUBSTANTIAL PORTION OF REVENUE OR INCOME FROM BUSINESS ACTIVITIES WITHIN THE FORMER SOVIET UNION. APPLICANT WILL ENGAGE IN SALES AND TRADING OF AMERICAN DEPOSITORY RECEIPTS ("ADRS") EQUITY AND FIXED INCOME SECURITIES, PRIVATE PLACEMENTS, PUBLIC OFFERINGS, PROPRIETARY TRADING AND DISTRIBUTION OF RESEARCH REGARDING THE COMPANIES DESCRIBED ABOVE.

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: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 07/06/2004

Description: THE APPLICANT HAS TO ENTERED INTO A CLEARING AGREEMENT WITH PERSHING LLC ("PERSHING") PURSUANT TO WHICH APPLICANT INTRODUCES THE ACCOUNTS OF THE FIRM AND ITS CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING WHICH, IN TURN, CLEARS AND CARRIES ALL OF THESE ACCOUNTS. CONSEQUENTLY, PERSHING HAS CUSTODY OF FUNDS AND SECURITIES OF THE APPLICANT AND ITS CUSTOMERS AND ESTABLISHS, MAINTAINS AND PRESERVES BOOKS AND RECORDS REFLECTING THESE ACCOUNTS.

Firm Operations

Industry Arrangements



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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 07/06/2004

Description: THE APPLICANT HAS TO ENTERED INTO A CLEARING AGREEMENT WITH PERSHING LLC ("PERSHING") PURSUANT TO WHICH APPLICANT INTRODUCES THE ACCOUNTS OF THE FIRM AND ITS CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING WHICH, IN TURN, CLEARS AND CARRIES ALL OF THESE ACCOUNTS. CONSEQUENTLY, PERSHING HAS CUSTODY OF FUNDS AND SECURITIES OF THE APPLICANT AND ITS CUSTOMERS AND ESTABLISHS, MAINTAINS AND PRESERVES BOOKS AND RECORDS REFLECTING THESE ACCOUNTS.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 07/06/2004

Description: THE APPLICANT HAS TO ENTERED INTO A CLEARING AGREEMENT WITH PERSHING LLC ("PERSHING") PURSUANT TO WHICH APPLICANT INTRODUCES THE ACCOUNTS OF THE FIRM AND ITS CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING WHICH, IN TURN, CLEARS AND CARRIES ALL OF THESE ACCOUNTS. CONSEQUENTLY, PERSHING HAS CUSTODY OF FUNDS AND SECURITIES OF THE APPLICANT AND ITS CUSTOMERS AND ESTABLISHS, MAINTAINS AND PRESERVES BOOKS AND RECORDS REFLECTING THESE ACCOUNTS.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Firm Operations



Industry Arrangements (continued)

Effective Date: 07/06/2004

Description: THE APPLICANT HAS TO ENTERED INTO A CLEARING AGREEMENT WITH PERSHING LLC ("PERSHING") PURSUANT TO WHICH APPLICANT INTRODUCES THE ACCOUNTS OF THE FIRM AND ITS CUSTOMERS ON A FULLY DISCLOSED BASIS TO PERSHING WHICH, IN TURN, CLEARS AND CARRIES ALL OF THESE ACCOUNTS. CONSEQUENTLY, PERSHING HAS CUSTODY OF FUNDS AND SECURITIES OF THE APPLICANT AND ITS CUSTOMERS AND ESTABLISHS, MAINTAINS AND PRESERVES BOOKS AND RECORDS REFLECTING THESE ACCOUNTS.

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.

CETELEM BANK LLC is under common control with the firm.

Business Address:	26, PRAVDY STREET MOSCOW, RUSSIA 125040
Effective Date:	08/31/2012
Foreign Entity:	Yes
Country:	RUSSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CETELEM BANK LLC WHOLLY OWNED (100%) BY SBERBANK.

JOINT STOCK COMPANY "SIB FINANCIAL CONSULTANT" is under common control with the firm.

Business Address:	D,03,008 FLOOR 3, 19 VAVILOVA STREET MOSCOW, RUSSIA 117312
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	RUSSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	JSC "SIB FINANCIAL CONSULTANT" IS OWNED (100%) BY JSC "SBERBANK CIB". JSC "SBERBANK CIB" IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS OWNED (99.99999375390381%) BY SB CIB HOLDING LLC. SB CIB HOLDING LLC IS OWNED (100%) BY SBERBANK.

SBERBANK OF RUSSIA is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address: 19 VAVILOVA STREET
MOSCOW, RUSSIA 117997

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: RUSSIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SBERBANK OF RUSSIA IS THE SOLE SHAREHOLDER OF SB CIB HOLDING LLC. SB CIB HOLDING LLC OWNS 99.99999375390381% IN SB FINANCE HOLDING LLC.

SB SECURITIES S.A. is under common control with the firm.

Business Address: 2 BOULEVARD KONRAD ADENAUER,
L- LUXEMBOURG, LUXEMBOURG 1115

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: LUXEMBOURG

Securities Activities: Yes

Investment Advisory Activities: No

Description: SB SECURITIES S.A.IS WHOLLY OWNED (100%) BY SBERBANK.

SBERBANK HUNGARY LTD is under common control with the firm.

Business Address: RAKOCZI UT7
BUDAPEST, HUNGARY 1088

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: HUNGARY

Securities Activities: Yes

Investment Advisory Activities: No

Description: SBERBANK HUNGARY LTD IS OWNED (98.93%) BY SBERBANK EUROPE AG.

Firm Operations**Organization Affiliates (continued)**

SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK CZ, A.S. is under common control with the firm.

Business Address: U TREZORKY 921/2
PRAHA 5, CZECH REPUBLIC 158 00

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: CZECH REPUBLIC

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SBERBANK CZ, A.S. IS WHOLLY OWNED (100%) BY SBERBANK EUROPE AG. SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK.

SBERBANK BH D.D. SARAJEVO is under common control with the firm.

Business Address: FRA ANDELA ZVIZDOVICA 1
SARAJEVO, BOSNIA AND HERZEGOVINA 71000

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: BOSNIA AND HERZEGOVINA

Securities Activities: Yes

Investment Advisory Activities: No

Description: SBERBANK BH D.D. SARAJEVO IS WHOLLY OWNED (100%) BY SBERBANK EUROPE AG. SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK.

SBERBANK A.D. BANJA LUKA is under common control with the firm.

Business Address: 71 JEVREYSKA ST.,
BANJA LUKA, BOSNIA AND HERZEGOVINA 78000

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: BOSNIA AND HERZEGOVINA

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: "SBERBANK" A.D. BANJA LUKA IS OWNED (99.6399%) BY SBERBANK EUROPE AG. SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK.

SBERBANK BANKA D.D. is under common control with the firm.

Business Address: 128A DUNAJSKA CESTA
LJUBLJANA, SLOVENIA 1000

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: SLOVENIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: SBERBANK BANKA D.D. IS OWNED (99.991%) BY SBERBANK EUROPE AG. SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK EUROPE AG is under common control with the firm.

Business Address: SCHWARZENBERGPLATZ 3
VIENNA, AUSTRIA 1010

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: AUSTRIA

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SBERBANK EUROPE AG IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK-FINANCE LIMITED LIABILITY COMPANY is under common control with the firm.

Business Address: 29/16 SIVTSEV VRAZHEK LANE
MOSCOW, RUSSIA 119002

Effective Date: 05/14/2010

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	RUSSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SBERBANK-FINANCE LLC IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK PUBLIC JOINT-STOCK COMPANY is under common control with the firm.

Business Address:	46 VLADIMIRSKAYA ST KIEV, UKRAINE 01601
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	UKRAINE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SBERBANK PJSC IS WHOLLY OWNED (100%) BY SBERBANK

SUBSIDIARY BANK SBERBANK OF RUSSIA JOINT-STOCK COMPANY is under common control with the firm.

Business Address:	13/1 AL-FARABI AVENUE BOSTANDYK DISTRICT, ALMATY, REPUBLIC OF KAZAKHSTAN 050059
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	KAZAKHSTAN
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	SUBSIDIARY BANK SBERBANK OF RUSSIA JSC IS OWNED (99.99776%) BY SBERBANK

SBERBANK (SWITZERLAND) AG is under common control with the firm.

Business Address:	GARTENSTRASSE 24
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Firm Operations**Organization Affiliates (continued)**

	ZURICH, SWITZERLAND 8002
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	SWITZERLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SBERBANK (SWITZERLAND) AG IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS OWNED (99.99999375390381 %) BY SB CIB HOLDING LLC. SB CIB HOLDING LLC IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK ASSET MANAGEMENT JOINT-STOCK COMPANY is under common control with the firm.

Business Address:	PRESNENSKAYA NAB., 10, MOSCOW, RUSSIA 123317
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	RUSSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	SBERBANK ASSET MANAGEMENT JOINT-STOCK COMPANY IS WHOLLY OWNED BY LIMITED LIABILITY COMPANY "SB WELFARE" (100%). LIMITED LIABILITY COMPANY "SB WELFARE" IS OWNED BY SB CIB HOLDING LLC (99,9996%). SB CIB HOLDING LLC IS OWNED BY SBERBANK OF RUSSIA (100%).

TROIKA CAPITAL PARTNERS LIMITED (BERMUDA) is under common control with the firm.

Business Address:	VICTORIA PLACE, 31 VICTORIA STREET HAMILTON HM 10, BERMUDA
Effective Date:	01/25/2012
Foreign Entity:	Yes
Country:	BERMUDA
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: TROIKA CAPITAL PARTNERS LIMITED (BERMUDA) IS WHOLLY OWNED (100%) BY TROIKA CAPITAL PARTNERS LIMITED (CYPRUS). TROIKA CAPITAL PARTNERS LIMITED (CYPRUS) IS WHOLLY OWNED (100%) BY SBGB CYPRUS LIMITED. SBGB CYPRUS LIMITED IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS OWNED (99.99999375390381%) BY SB CIB HOLDING LLC. SB CIB HOLDING LLC IS WHOLLY OWNED (100%) BY SBERBANK

TROIKA CAPITAL PARTNERS LIMITED (CYPRUS) is under common control with the firm.

Business Address: IOANNI STYLIANOU 6, 2ND FLOOR
FLAT/OFFICE 202
NICOSIA, CYPRUS 2003

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: CYPRUS

Securities Activities: No

Investment Advisory Activities: Yes

Description: TROIKA CAPITAL PARTNERS LIMITED (CYPRUS) IS WHOLLY OWNED (100%) BY SBGB CYPRUS LIMITED. SBGB CYPRUS LIMITED IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS OWNED (99.99999375390381%) BY SB CIB HOLDING LLC. SB CIB HOLDING LLC IS WHOLLY OWNED (100%) BY SBERBANK

SBERBANK CIB (UK) LIMITED is under common control with the firm.

Business Address: 85 FLEET STREET
4TH FLOOR
LONDON, UK EC4Y 1AE

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: UK

Securities Activities: Yes

Investment Advisory Activities: Yes

Firm Operations



Organization Affiliates (continued)

Description: SBERBANK CIB (UK) LIMITED IS WHOLLY OWNED BY SB FINANCE HOLDING LLC (100%). SB FINANCE HOLDING LLC IS WHOLLY OWNED BY SB CIB HOLDING LLC (99.99999375390381%). SB CIB HOLDING LLC IS OWNED BY SBERBANK OF RUSSIA (100%).

BPS-SBERBANK is under common control with the firm.

Business Address: 6 MULYAVIN BLVD
MINSK, BELARUS 220005

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: BELARUS

Securities Activities: Yes

Investment Advisory Activities: No

Description: BPS-SBERBANK IS OWNED (98.43%) BY SBERBANK

LLC "SBERBANK-FINANCE" is under common control with the firm.

Business Address: 29/16 SIVTSEV VRAZHEK LANE
MOSCOW, RUSSIA 119002

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: RUSSIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: LLC "SBERBANK-FINANCE" IS WHOLLY OWNED (100%) BY SBERBANK

SIB (CYPRUS) LIMITED is under common control with the firm.

Business Address: ARCH. MAKARIOU III, 2-4 CAPITAL CENTER
9TH FLOOR
NICOSIA, CYPRUS 1065

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: CYPRUS

Firm Operations



Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SIB (CYPRUS) LIMITED IS WHOLLY OWNED (100%) BY SBGB CYPRUS LIMITED. SBGB CYPRUS LIMITED IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS OWNED 99.99999375390381% BY SB CIB HOLDING LLC. SB CIB HOLDING LLC IS WHOLLY OWNED (100%) BY SBERBANK OF RUSSIA

SB FINANCE HOLDING LLC is under common control with the firm.

Business Address: D.03.001, FLOOR 3, 19, VAVILOVA STREET
MOSCOW, RUSSIA 117312

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: RUSSIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: SB FINANCE HOLDING LLC IS OWNED (99.99999375390381%) BY SB CIB HOLDING LLC AND SB WELFARE LLC (0.00000624609619 %). SB CIB HOLDING LLC IS WHOLLY OWNED (100%) BY SBERBANK

JOINT STOCK COMPANY "SBERBANK CIB" is under common control with the firm.

Business Address: 19, VAVILOVA STREET
MOSCOW, RUSSIA 117312

Effective Date: 01/25/2012

Foreign Entity: Yes

Country: RUSSIA

Securities Activities: Yes

Investment Advisory Activities: No

Description: JOINT-STOCK COMPANY "SBERBANK CIB" IS OWNED (100%) BY SB FINANCE HOLDING LLC. SB FINANCE HOLDING LLC IS WHOLLY OWNED BY SB CIB HOLDING LLC (99.99999375390381%). SB CIB HOLDING LLC IS OWNED BY SBERBANK OF RUSSIA (100%).

Firm Operations



Organization Affiliates (continued)

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

SBERBANK OF RUSSIA is a Foreign Bank and controls the firm.

Business Address: 19 VAVILOVA STREET
MOSCOW, RUSSIA 117997

Effective Date: 03/21/1991

Description: SBERBANK OF RUSSIA IS THE SOLE SHAREHOLDER OF SB CIB HOLDING LLC. SB CIB HOLDING LLC OWNS 99.99999375390381% IN SB FINANCE HOLDING LLC.



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	2	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 2

Reporting Source: Regulator

Current Status: Final



Allegations:	RESPONDENT SBERBANK CIB USA, INC. FAILED TO MEET THE ELIGIBILITY OR QUALIFICATION STANDARDS OR PREREQUISITES FOR ACCESS TO SERVICES.
Initiated By:	FINRA
Date Initiated:	12/02/2022
Docket/Case Number:	20220767428
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CANCELLATION
Resolution:	Other
Resolution Date:	12/19/2022
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:	
Other Sanctions Ordered:	CANCELLATION
Sanction Details:	PURSUANT TO FINRA RULE 9555, RESPONDENT SBERBANK CIB USA, INC.'S MEMBERSHIP WITH FINRA IS CANCELLED AS OF DECEMBER 19, 2022 FOR FAILURE TO MEET THE ELIGIBILITY OR QUALIFICATION STANDARDS OR PREREQUISITES FOR ACCESS TO SERVICES.

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	SEC RULE 17A-3, NASD RULES 2110, 3110, 6230(A) AND 6230(C)(8): RESPONDENT TROIKA DIALOG USA, INC. FAILED TO: REPORT TO TRACE TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES WITHIN 15 MINUTES OF THE TIME OF EXECUTION; THE CORRECT TIME OF TRADE EXECUTION FOR TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES; AND SHOW THE TIME OF EXECUTION ON THE MEMORANDUM OF BROKERAGE ORDERS.



Initiated By: FINRA
Date Initiated: 10/12/2009
Docket/Case Number: 2008014555601
Principal Product Type: Other
Other Product Type(s): UNSPECIFIED TYPE OF SECURITIES
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 10/12/2009
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 \$7,500.00
Other Sanctions Ordered:
Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500.

Reporting Source: Firm
Current Status: Final
Allegations: STAFF OF THE DEPT.OF MARKET REGULATION REVIEWED THE FIRM'S COMPLIANCE WITH THE REPORTING REQUIREMENTS OF THE TRADE REPORTING & COMPLIANCE ENGINE ("TRACE")DURING THE PERIOD APRIL 1, 2008 THROUGH JUNE 30, 2008. DURING THE REVIEW PERIOD, THE FIRM FAILED TO REPORT 74 TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES WITHIN 15 MINUTES OF THE TIME OF EXECUTION. OF THE 74 TRANSACTIONS, 34 DID NOT REFLECT THE CORRECT TIME OF EXECUTION, AND 12 DID NOT REFLECT THE TIME OF EXECUTION ON THE ORDER MEMORANDUM.



Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Date Initiated: 08/20/2008

Docket/Case Number: 20080145556-01

Principal Product Type: Debt - Corporate

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought: CENSURE & FINE

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/12/2009

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: A CENSURE AND A FINE OF \$7,500 (CONSISTING OF A FINE OF \$5,000 FOR THE VIOLATIONS OF NASD RULES 2110, AND 6230, AND \$2,500 FOR THE VIOLATIONS OF NASD RULE 3110 AND SEC RULE 17A-3).

Firm Statement ON OCTOBER 12, 2009 THE FIRM AGREED TO AND ACCEPTED A LETTER OF ACCEPTANCE, WAIVER & CONSENT FOR THIS CASE (NO. 20080145556-01).

End of Report



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