

Part IV Filing Institution Contact Information

\*79 Type of financial institution

\*75 Primary federal regulator

\*76 Filer name (Holding company, lead financial institution, or agency, if applicable)

\*77 TIN

\*78 TIN type

- 80 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report
- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Clearing broker-securities       | <input type="checkbox"/> Introducing broker-securities   | <input type="checkbox"/> SRO Securities                               |
| <input type="checkbox"/> CPO/CTA                          | <input type="checkbox"/> Investment Adviser              | <input type="checkbox"/> Subsidiary of financial/bank holding company |
| <input type="checkbox"/> Execution-only broker securities | <input type="checkbox"/> Investment company              | <input type="checkbox"/> Other <input type="text"/>                   |
| <input type="checkbox"/> Futures Commission Merchant      | <input type="checkbox"/> Retail foreign exchange dealer  |   |
| <input type="checkbox"/> Holding company                  | <input type="checkbox"/> Self-clearing broker securities |   |
| <input type="checkbox"/> Introducing broker-commodities   | <input type="checkbox"/> SRO Futures                     |   |

81 Financial institution identification Type   
Number

\*82 Address

\*83 City

\*84 State  \*85 ZIP/Postal Code  \*86 Country

87 Alternate name, e.g., AKA - individual or trade name, DBA - entity

88 Internal control/file number

89 LE contact agency

90 LE contact name

91 LE contact phone number (Include Area Code)  Ext.

92 LE contact date

\*93 Filing institution contact office

\*94 Filing institution contact phone number (Include Area Code)  Ext.

95 Date filed  (Date filed will be auto-populated when the form is signed.)