

Part IV Filing Institution Contact Information

*79 Type of financial institution	<input type="text"/>	<input type="text"/>																		
*75 Primary federal regulator	<input type="text"/>																			
*76 Filer name (Holding company, lead financial institution, or agency, if applicable)	<input type="text"/>																			
*77 TIN	<input type="text"/>	*78 TIN type <input type="text"/>																		
80 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report	<table border="0"><tr><td><input type="checkbox"/> Clearing broker-securities</td><td><input type="checkbox"/> Introducing broker-securities</td><td><input type="checkbox"/> SRO Securities</td></tr><tr><td><input type="checkbox"/> CPO/CTA</td><td><input type="checkbox"/> Investment Adviser</td><td><input type="checkbox"/> Subsidiary of financial/bank holding company</td></tr><tr><td><input type="checkbox"/> Execution-only broker securities</td><td><input type="checkbox"/> Investment company</td><td><input type="checkbox"/> Other <input type="text"/></td></tr><tr><td><input type="checkbox"/> Futures Commission Merchant</td><td><input type="checkbox"/> Retail foreign exchange dealer</td><td></td></tr><tr><td><input type="checkbox"/> Holding company</td><td><input type="checkbox"/> Self-clearing broker securities</td><td></td></tr><tr><td><input type="checkbox"/> Introducing broker-commodities</td><td><input type="checkbox"/> SRO Futures</td><td></td></tr></table>		<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	
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<input type="checkbox"/> Introducing broker-commodities	<input type="checkbox"/> SRO Futures																			
81 Financial institution identification	Type <input type="text"/>																			
	Number <input type="text"/>																			
*82 Address	<input type="text"/>																			
*83 City	<input type="text"/>																			
*84 State	<input type="text"/>	*85 ZIP/Postal Code <input type="text"/> *86 Country <input type="text"/>																		
87 Alternate name, e.g., AKA - individual or trade name, DBA - entity	<input type="text"/>																			
88 Internal control/file number	<input type="text"/>																			
89 LE contact agency	<input type="text"/>																			
90 LE contact name	<input type="text"/>																			
91 LE contact phone number (Include Area Code)	<input type="text"/>	Ext. <input type="text"/>																		
92 LE contact date	<input type="text"/>																			
*93 Filing institution contact office	<input type="text"/>																			
*94 Filing institution contact phone number (Include Area Code)	<input type="text"/>	Ext. <input type="text"/>																		
95 Date filed	<input type="text"/>	(Date filed will be auto-populated when the form is signed.)																		