

## Security-Based Swap Dealer (SBSD) Statistics<sup>1</sup>

- **Number of SBSDs that are conditionally registered with the Commission**

### *Description*

The number of SBSDs conditionally registered with the Commission as of the date listed above. An SBSBD remains conditionally registered until the Commission grants or denies on-going registration.

### *Calculation Method*

This is based on the list of SBSBDs published on the Commission's website.

### *Data Source*

SBSD list, available at <https://www.sec.gov/about/divisions-offices/division-trading-markets/list-registered-security-based-swap-dealers-major-security-based-swap-participants>.

- **Number of SBSDs that filed Form SBSE-A, Form SBSE-BD, or Form SBSE**

### *Description*

The number of SBSBDs that have filed a complete Form SBSE, Form SBSE-A, or Form SBSE-BD, as applicable, and have not withdrawn their registration. Form SBSE-BD is the registration form for SBSBDs that are registered or registering with the Commission as broker-dealers, including SBSBDs registered as OTC derivatives dealers. Form SBSE-A is the registration form for SBSBDs that are registered or registering with the Commodity Futures Trading Commission ("CFTC") as swap dealers or major swap participants (and not also registered or registering with the Commission as broker-dealers). Form SBSE is the registration form for SBSBDs that do not fit either of the above categories. An entity must also file Form SBSE-C as part of its application.

### *Calculation Method*

This is based on a search for Form SBSE-C and Forms SBSE, SBSE-A, and SBSE-BD filings through the Commission's Electronic Data Gathering, Analysis and Retrieval (EDGAR) system, as well as the list of SBSBDs published on the Commission's website.

### *Data Source*

Commission's Electronic Data Gathering, Analysis and Retrieval (EDGAR) system, and SBSBD list, available at <https://www.sec.gov/about/divisions-offices/division-trading-markets/list-registered-security-based-swap-dealers-major-security-based-swap-participants>.

- **Number of SBSDs located in a given country**

### *Description*

This is the number of SBSBDs whose main address is in a given country. The main address information provided in the SBSBD's regulatory filing is not necessarily reflective of the SBSBD's status as a U.S. person.

### *Calculation Method*

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<sup>1</sup> These statistics are produced by the staff of the U.S. Securities and Exchange Commission and the Commission expresses no view regarding the statistics. The statistics are produced from filings on EDGAR. Staff cannot guarantee the accuracy of information provided in these filings. The statistics may change based on updated or revised data and methodology. The statistics are intended to assist the public in analyzing data contained in filings; however, they are not a substitute for such filings. Investors should review the relevant filings before making any investment decision.

The number is calculated based on SBSBDs whose main address is in a given country. Form SBSE Question 1E and Form SBSE-A Question 1D elicit information on an applicant's main address. Form SBSE-BD does not elicit information on an applicant's main address. A Form SBSE-BD filer's main address can be found using Form X-17A-5 Part III.

***Data Source***

EDGAR system.