

Northern Trust Global Services SE

Firm Details

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| Firm Name | Northern Trust Global Services SE |
| FSP Number | 160018 |
| FSP Date | 02 March 2017 |
| Firm Type | Financial Firms |
| Address | United Arab Emirates, Abu Dhabi, Maryah Island, Level, 7, Al Sila Tower, Abu Dhabi Global Market Square |
| Email | cd91@ntrs.com |
| Phone | +971 26941001 |
| Legal Status | Branch of a Foreign Company |
| Status | Active |

Regulated Activities

| Type | Asset Type | Effective Date | Withdrawn Date |
|--------------------------------|------------------|----------------|----------------|
| Arranging Credit | Credit Agreement | 02 Mar 2017 | |
| Arranging Deals in Investments | | 02 Mar 2017 | |
| Arranging Custody | | 02 Mar 2017 | |

Conditions / Limitations

In accordance with section 30(4)(a) of FSMR, the following limitations and stipulations apply to all Regulated Activities, unless specified otherwise:

- Northern Trust Global Services SE is not permitted to hold or control Client Assets
- Northern Trust Global Services SE is not permitted to deal with Retail Clients, as defined in the Conduct of Business Rulebook (COBS)

Approved Persons

| Name | Person Reference Number | Role | Status | Effective Start Date | Withdrawn date |
|--------------------------------|-------------------------|-------------------------------|-----------|----------------------|----------------|
| Edgar Joseph D'Mello | 00048 | Senior Executive Officer(SEO) | Withdrawn | 01 Feb 2018 | 31 Oct 2020 |
| Rasha Mohammedrajai H Alkhaldi | 00330 | Finance Officer | Withdrawn | 29 Jul 2019 | 29 Jun 2025 |
| Michael Lewis Slater | 00049 | Senior Executive Officer(SEO) | Withdrawn | 01 Nov 2020 | 01 Feb 2023 |
| Thamer Farag S Alhazmi | 00502 | Compliance Officer and MLRO | Withdrawn | 23 Nov 2020 | 27 Sep 2024 |
| Carol O'Connor | 01359 | Senior Manager | Active | 03 Nov 2022 | |
| Regis Vincey | 01358 | Senior Manager | Active | 03 Nov 2022 | |
| Christopher John Dulieu | 00443 | Senior Executive Officer(SEO) | Active | 13 Feb 2023 | |

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|-------------------|-------|-----------------------------|-----------|-------------|-------------|
| Regis Vincey | 01358 | Compliance Officer and MLRO | Withdrawn | 13 Dec 2024 | 16 May 2025 |
| Mohammed Al Jasim | 02813 | Compliance Officer and MLRO | Active | 14 Apr 2025 | |