



Restricted OCC Clearing Numbers

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
443	Brian Reschke VP, Trading Services Pershing, LLC, a BNY Mellon Company Phone: (212) 815-3024 Email: Brian.Reschke@Pershing.com	12/16/19
161	Aaron Rowe, Director Global Equity Equity Execution Services BofA Securities, Inc. 110 N Wacker Drive Chicago, IL 60606-1511 T 312.234.5908 T 855.801.9266 Aaron.rowe@bofa.com	12/16/19
792	Aaron Rowe, Director Global Equity Equity Execution Services BofA Securities, Inc. 110 N Wacker Drive Chicago, IL 60606-1511 T 312.234.5908 T 855.801.9266 Aaron.rowe@bofa.com	12/16/19
519	Dana Disarno BofA Securities Prime Financing One Bryant Park, 5th Floor New York, NY 10036 Office: +1.646.743.2297 dana.disarno@bofa.com	12/16/19
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551	Dana Disarno BofA Securities Prime Financing One Bryant Park, 5th Floor New York, NY 10036 Office: +1.646.743.2297 dana.disarno@bofa.com	12/16/19
552	Dana Disarno BofA Securities Prime Financing One Bryant Park, 5th Floor New York, NY 10036 Office: +1.646.743.2297 dana.disarno@bofa.com	12/16/19
598	Dana Disarno BofA Securities Prime Financing One Bryant Park, 5th Floor New York, NY 10036 Office: +1.646.743.2297 dana.disarno@bofa.com	12/16/19
010	Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 Email: occ-membership@ny.email.gs.com; occ-membership@gs.com	12/26/19
200	Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 Email: occ-membership@ny.email.gs.com; occ-membership@gs.com	12/26/19
840	Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 Email: occ-membership@ny.email.gs.com; occ-membership@gs.com	12/26/19
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595	Tom McCabe Vision Financial Services LLC 120 Long Ridge Road, 3 North Stamford, CT 06902 Ph: (203) 388-2676 Email: Tmccabe@vfmarkets.com	11/04/21
352	Jennifer Leadbetter Prime Financial Services J.P. Morgan Floor 4 383 Madison Avenue New York, NY 10017 Ph: (212) 622 9169 Email: jennifer.g.leadbetter@jpmorgan.com	10/17/25
365	Brad Sowers Wolverine Execution Services 175 W. Jackson Blvd., 2 nd Floor Chicago, IL 60604 Ph: (312) 884-3278 Email: bsowers@tradewex.com	12/05/25
360	Ian Miller Citadel Securities LLC 660 5th Avenue New York, NY 10103 Ph: (212) 651-1807 Email: Ian.Miller@citadelsecurities.com	06/16/26