



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	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: (312) 828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19
792	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: (312) 828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19

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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
733	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: (312) 828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	05/27/21

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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