



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: +1-312-828-3166 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: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
519	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19
540	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19
551	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19
552	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	12/16/19

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
598	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@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
733	Mark Morrison Director Global Prime Financing BofA Securities, Inc. 110 N. Wacker Drive, 26 th Floor Chicago, IL 60606 w: +1-312-828-3166 Email: dg.prime_financing_exchange_agreements@bofa.com	05/27/21

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
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