



## Restricted OCC Clearing Numbers

| Restricted OCC Number | Clearing Participant Contact Information   | Effective Restriction Date |
|-----------------------|--|----------------------------|
| 443                   | <p>Brian Reschke<br/>           VP, Trading Services<br/>           Pershing, LLC, a BNY Mellon Company<br/>           Phone: (212) 815-3024<br/>           Email: Brian.Reschke@Pershing.com</p>  | 12/16/19                   |
| 161                   | <p>Aaron Rowe, Director<br/>           Global Equity   Equity Execution Services<br/>           BofA Securities, Inc.<br/>           110 N Wacker Drive<br/>           Chicago, IL 60606-1511<br/>           T 312.234.5908<br/>           T 855.801.9266<br/>           Aaron.rowe@bofa.com</p> | 12/16/19                   |
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| 200                   | Goldman, Sachs & Co.<br>222 South Main St<br>Salt Lake City, UT 84101<br>Email: occ-membership@ny.email.gs.com; occ-membership@gs.com                   | 12/26/19                   |
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| 595                   | <p>Tom McCabe<br/> Vision Financial Services LLC<br/> 120 Long Ridge Road, 3 North<br/> Stamford, CT 06902<br/> Ph: (203) 388-2676<br/> Email: Tmccabe@vfmarkets.com</p>                                      | 11/04/21                   |
| 352                   | <p>Jennifer Leadbetter<br/> Prime Financial Services<br/> J.P. Morgan<br/> Floor 4<br/> 383 Madison Avenue<br/> New York, NY 10017<br/> Ph: (212) 622 9169<br/> Email: jennifer.g.leadbetter@jpmorgan.com</p> | 10/17/25                   |
| 365                   | <p>Brad Sowers<br/> Wolverine Execution Services<br/> 175 W. Jackson Blvd., 2<sup>nd</sup> Floor<br/> Chicago, IL 60604<br/> Ph: (312) 884-3278<br/> Email: bsowers@tradewex.com</p>                          | 12/05/25                   |
| 360                   | <p>Ian Miller<br/> Citadel Securities LLC<br/> 660 f5th Avenue<br/> New York, NY 10103<br/> Ph: (212) 651-1807<br/> Email: Ian.Miller@citadel.com</p>   | 06/16/26                   |