



Restricted OCC Clearing Numbers

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
443	<p>Brian Reschke VP, Trading Services Pershing, LLC, a BNY Mellon Company Phone: (212) 815-3024 Email: Brian.Reschke@Pershing.com</p> <p>Terri Mayle Director, Global Trading Pershing, LLC a BNY Mellon Company Phone: (212) 815-2869 Email: TMayle@Pershing.com</p>	12/16/19
161	<p>Gary A. Hunt Director Global Execution Services Bank of America Merrill Lynch BofA Securities, Inc. 540 West Madison St., 28th Floor, Chicago, IL 60661 w: 312-234-4008 c: 630-404-2510 Email: gary.hunt@bofa.com</p>	12/16/19
792	<p>Gary A. Hunt Director Global Execution Services Bank of America Merrill Lynch BofA Securities, Inc. 540 West Madison St. 28th Floor Chicago, IL 60661 w: 312-234-4008 c: 630-404-2510 Email: gary.hunt@bofa.com</p>	12/16/19

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
519	Mark Morrison Director Equities Asset Management Services Bank of America Merrill Lynch One Bryant Park, 6th Floor New York, NY 10036 w: +1-646-743-1241 Email: mmorrison3@baml.com	12/16/19
540	Mark Morrison Director Equities Asset Management Services Bank of America Merrill Lynch One Bryant Park, 6th Floor New York, NY 10036 w: +1-646-743-1241 Email: mmorrison3@baml.com	12/16/19
551	Mark Morrison Director Equities Asset Management Services Bank of America Merrill Lynch One Bryant Park, 6th Floor New York, NY 10036 w: +1-646-743-1241 Email: mmorrison3@baml.com	12/16/19
552	Mark Morrison Director Equities Asset Management Services Bank of America Merrill Lynch One Bryant Park, 6th Floor New York, NY 10036 w: +1-646-743-1241 Email: mmorrison3@baml.com	12/16/19
598	Mark Morrison Director Equities Asset Management Services Bank of America Merrill Lynch One Bryant Park, 6th Floor New York, NY 10036 w: +1-646-743-1241 Email: mmorrison3@baml.com	12/16/19

Restricted OCC Number	Clearing Participant Contact Information	Effective Restriction Date
010	<p>Laura Thomas (McDonald) Vice President Listed Derivatives Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 ☎ 801-212-7000 Email: laura.mcdonald@gs.com</p>	12/26/19
200	<p>Laura Thomas (McDonald) Vice President Listed Derivatives Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 ☎ 801-212-7000 Email: laura.mcdonald@gs.com</p>	12/26/19
840	<p>Laura Thomas (McDonald) Vice President Listed Derivatives Goldman, Sachs & Co. 222 South Main St Salt Lake City, UT 84101 ☎ 801-212-7000 Email: laura.mcdonald@gs.com</p>	12/26/19
586	<p>Jeffrey A. Smith COO - Americas Capital Release Group Deutsche Bank Securities, Inc. Tel. (212) 250-7899 Email jeffrey-a.smith@db.com</p>	08/21/20