

BofA Securities, Inc.

Restricted OCC Numbers: **161, 792**
BZX Restriction Effective Date: **July 2, 2020**
Cboe Restriction Effective Date: **January 21, 2020**
C2 Restriction Effective Date: **April 14, 2020**
EDGX Restriction Effective Date: **April 14, 2020**
Contact Name: **Gary Hunt**
Contact Email: gary.hunt@bofa.com
Contact Phone: **312-234-4008**

Deutsche Bank Securities Inc.

Restricted OCC Number: **586**
Cboe Restriction Effective Date: **August 20, 2020**
C2 Restriction Effective Date: **August 20, 2020**
Contact Name: **Jeffrey Smith**
Contact Email: jeffrey-a.smith@db.com
Contact Phone: **212-250-7899**

E D & F Man Capital Markets Inc.

Restricted OCC Numbers: **555, 556*, 879**
Cboe Restriction Effective Date: **January 13, 2020**
Cboe Restriction Effective Date: **August 9, 2020***
Contact Name: **Ya Li**
Contact Email: yli@edfmancapital.com
Contact Phone: **212-618-2867**

Goldman Sachs & Co. LLC

Restricted OCC Numbers: **010, 200**
Cboe Restriction Effective Date: **December 26, 2019**
C2 Restriction Effective Date: **April 14, 2020**
EDGX Restriction Effective Date: **April 14, 2020**
Contact Name: **Laura McDonald Thomas**
Contact Email: occ-membership@gs.com
Contact Phone: **801-212-7000**

Instinet, LLC

Restricted OCC Number: **067**
BZX Restriction Effective Date: **June 30, 2020**
Cboe Restriction Effective Date: **June 30, 2020**
C2 Restriction Effective Date: **June 30, 2020**
EDGX Restriction Effective Date: **June 30, 2020**
Contact Name: **Michael Kamph**
Contact Email: derivatives@instinet.com
Contact Phone: **212-310-7459**

Interactive Brokers LLC

Restricted OCC Numbers: **017, 534**
EDGX Restriction Effective Date: **April 20, 2020**
Contact Name: **Ian Hooper**
Contact Email: ibclearingops@ibkr.com
Contact Phone: **203-422-8967**

Merrill Lynch, Pierce, Fenner & Smith Incorporated

Restricted OCC Number: **671**
BZX Restriction Effective Date: **July 2, 2020**
Cboe Restriction Effective Date: **January 21, 2020**
Contact Name: **Gary Hunt**
Contact Email: gary.hunt@bofa.com
Contact Phone: **312-234-4008**

Merrill Lynch Professional Clearing Corp.

Restricted OCC Numbers: **519, 540, 551, 552, 598**
BZX Restriction Effective Date: **June 3, 2020**
Cboe Restriction Effective Date: **October 15, 2019**
C2 Restriction Effective Date: **April 13, 2020**
EDGX Restriction Effective Date: **April 13, 2020**
Contact Name: **Mark Morrison**
Contact Email: dg.mlpro_exchange_agreements@bamf.com
Contact Phone: **646-743-1241**

Pershing LLC

Restricted OCC Number: **443**
Cboe Restriction Effective Date: **November 4, 2019**
C2 Restriction Effective Date: **April 13, 2020**
EDGX Restriction Effective Date: **April 13, 2020**
Contact Name: **Warren Harvey**
Contact Email: warren.harvey@pershing.com
Contact Phone: **312-249-4469**

SG Americas Securities LLC

Restricted OCC Numbers: **608, 659**
BZX Restriction Effective Date: **June 15, 2020**
Cboe Restriction Effective Date: **June 15, 2020**
C2 Restriction Effective Date: **June 15, 2020**
EDGX Restriction Effective Date: **June 15, 2020**
Contact Name: **Alan Do**
Contact Email: alan.do@sgcib.com
Contact Phone: **201-839-8906**



Clearing TPH/Members Restricted OCC Numbers

Timber Hill LLC

Restricted OCC Numbers: **477, 549**

Cboe Restriction Effective Date: **April 20, 2020**

C2 Restriction Effective Date: **April 20, 2020**

Contact Name: **Ian Hooper**

Contact Email: ibclearingops@ibkr.com

Contact Phone: **203-422-8967**

Wolverine Execution Services, LLC

Restricted OCC Number: **365**

Cboe Restriction Effective Date: **January 23, 2020**

Contact Name: **Brad Sowers**

Contact Email: bsowers@tradewex.com

Contact Phone: **312-884-3278**

X-Change Financial Access, LLC

Restricted OCC Number: **007**

Cboe Restriction Effective Date: **October 7, 2019**

Contact Name: **George Stafford**

Contact Email: gstafford@x-fa.com

Contact Phone: **312-235-0320**