

ABN AMRO Clearing USA LLC

Restricted OCC Number: **674**
 Cboe Restriction Effective Date: **January 22, 2024**
 Contact Name: **Michael Bachner**
 Contact Email: michael.bachner@abnamroclearing.com
 Contact Phone: **312-604-8194**

BofA Securities, Inc.

Restricted OCC Numbers: **161, 733*, 792**
 Restricted OCC Numbers: **519**, 540**, 551**, 552**, 598****
 BZX Restriction Effective Date: **June 3, 2020****
 BZX Restriction Effective Date: **July 2, 2020**
 BZX Restriction Effective Date: **May 9, 2021***
 Cboe Restriction Effective Date: **October 15, 2019****
 Cboe Restriction Effective Date: **January 21, 2020**
 Cboe Restriction Effective Date: **May 9, 2021***
 C2 Restriction Effective Date: **April 13, 2020****
 C2 Restriction Effective Date: **April 14, 2020**
 C2 Restriction Effective Date: **May 9, 2021***
 EDGX Restriction Effective Date: **April 13, 2020****
 EDGX Restriction Effective Date: **April 14, 2020**
 EDGX Restriction Effective Date: **May 9, 2021***
 Contact Name: **Gary Hunt**
 Contact Email: gary.hunt@bofa.com
 Contact Phone: **312-234-4008**
 Contact Name: **Mark Morrison**
 Contact Email: mmorrison3@bofa.com
 Contact Phone: **646-743-1241**

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: **Rachele Maciejewski**
 Contact Email: occ-membership@gs.com
 Contact Phone: **801-212-7000**

IBKR Securities Services 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**

Instinet, LLC

Restricted OCC Number: **067, 068***
 BZX Restriction Effective Date: **June 30, 2020**
 BZX Restriction Effective Date: **September 27, 2023***
 Cboe Restriction Effective Date: **June 30, 2020**
 Cboe Restriction Effective Date: **September 27, 2023***
 C2 Restriction Effective Date: **June 30, 2020**
 C2 Restriction Effective Date: **September 27, 2023***
 EDGX Restriction Effective Date: **June 30, 2020**
 EDGX Restriction Effective Date: **September 27, 2023***
 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**

Marex Capital Markets Inc.

Restricted OCC Numbers: **555, 556*, 864**, 879**
 Cboe Restriction Effective Date: **January 13, 2020**
 Cboe Restriction Effective Date: **August 9, 2020***
 Cboe Restriction Effective Date: **January 20, 2021****
 Contact Name: **Pat Carey**
 Contact Email: pcarey@marex.com
 Contact Phone: **312-795-7860**

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**

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**

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: **William “Duke” Ellington**

Contact Email: wellington@x-fa.com

Contact Phone: **630-309-0321**