

# Restricted OCC Clearing Numbers

OCC Clearing Number	Clearing Member Contact Information	Restriction Effective Date	MIAX	MIAX Pearl	MIAX Emerald	MIAX Sapphire
230	BNP Paribas Securities Corp. Patrick Chi, 212.471.6524 <a href="mailto:dl.nyk_eqd_compliance@us.bnpparibas.com">dl.nyk_eqd_compliance@us.bnpparibas.com</a>	08/26/19	X	N/A	N/A	N/A
161	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	08/15/19	X	X	X	X
244	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	08/15/19	X	X	X	X
245	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	08/15/19	X	X	X	X
258	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	06/01/21	X	X	X	X
275	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	08/15/19	X	X	X	X

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519	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	07/08/19	X	X	X	X
540	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	07/08/19	X	X	X	X
551	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	07/08/19	X	X	X	X
552	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	07/08/19	X	X	X	X
553	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	01/12/26	X	X	X	X
598	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	07/08/19	X	X	X	X
733	BofA Securities Incorporated Dana Disarno, 646.743.2297 <a href="mailto:dana.disarno@bofa.com">dana.disarno@bofa.com</a>	06/01/21	X	X	X	X
792	BofA Securities Incorporated Patrick Macklin <a href="mailto:patrick.macklin@bofa.com">patrick.macklin@bofa.com</a>	08/15/19	X	X	X	X

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<b>360</b>	Citadel Securities, LLC Ian Miller, 212.651.1807 <a href="mailto:lan.Miller@citadel.com">lan.Miller@citadel.com</a>	03/17/26	X	X	X	X
<b>010</b>	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 <a href="mailto:occ-membership@gs.com">occ-membership@gs.com</a>	12/27/19	X	X	X	X
<b>200</b>	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 <a href="mailto:occ-membership@gs.com">occ-membership@gs.com</a>	12/27/19	X	X	X	X
<b>840</b>	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 <a href="mailto:occ-membership@gs.com">occ-membership@gs.com</a>	12/27/19	X	X	X	X
<b>017</b>	Interactive Brokers LLC <a href="mailto:ibclearingops@interactivebrokers.com">ibclearingops@interactivebrokers.com</a>	07/18/19	X	X	X	X
<b>534</b>	Interactive Brokers LLC <a href="mailto:ibclearingops@interactivebrokers.com">ibclearingops@interactivebrokers.com</a>	07/18/19	X	X	X	X
<b>352</b>	J.P. Morgan Securities LLC <a href="mailto:Restricted_OCC_Membership_352@jpmorgan.com">Restricted OCC Membership 352@jpmorgan.com</a>	07/21/25	X	X	X	X
<b>443</b>	Pershing, LLC Warren Harvey, 321.249.4469 <a href="mailto:warren.harvey@pershing.com">warren.harvey@pershing.com</a>	07/08/19	X	X	X	X
<b>365</b>	Wolverine Execution Services, LLC Brad Sowers, 312.884.3278 <a href="mailto:bsowers@tradewex.com">bsowers@tradewex.com</a>	10/01/25	X	X	X	X

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007	X-Financial Access, LLC George Stafford, 312.235.0320 <a href="mailto:gstafford@x-fa.com">gstafford@x-fa.com</a>	10/25/19	X	X	X	X
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