

## **BofA Securities, Inc.**

Restricted OCC Numbers: **161, 733\*, 792**  
BZX Restriction Effective Date: **July 2, 2020**  
BZX Restriction Effective Date: **May 9, 2021\***  
Cboe Restriction Effective Date: **January 21, 2020**  
Cboe Restriction Effective Date: **May 9, 2021\***  
C2 Restriction Effective Date: **April 14, 2020**  
C2 Restriction Effective Date: **May 9, 2021\***  
EDGX Restriction Effective Date: **April 14, 2020**  
EDGX Restriction Effective Date: **May 9, 2021\***  
Contact Name: **Gary Hunt**  
Contact Email: [gary.hunt@bofa.com](mailto:gary.hunt@bofa.com)  
Contact Phone: **312-234-4008**

## **E D & F Man 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: **Ya Li**  
Contact Email: [yli@edfmancapital.com](mailto: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](mailto: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](mailto: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](mailto: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](mailto: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@baml.com](mailto:dg.mlpro_exchange_agreements@baml.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](mailto: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](mailto:alan.do@sgcib.com)  
Contact Phone: **201-839-8906**

**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](mailto: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](mailto: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](mailto:gstafford@x-fa.com)

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