

MIAX Options Exchange
MIAX Pearl Options Exchange
MIAX Emerald Options Exchange
MIAX Sapphire Options Exchange

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 dl.nyk_eqd_compliance@us.bnpparibas.com	08/26/19	X	N/A	N/A	
161	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	08/15/19	X	X	X	
244	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	08/15/19	X	X	X	
245	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	08/15/19	X	X	X	
258	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	06/01/21	X	X	X	
275	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	08/15/19	X	X	X	

733	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	06/01/21	X	X	X	
792	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	08/15/19	X	X	X	
519	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	07/08/19	X	X	X	
540	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	07/08/19	X	X	X	
551	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	07/08/19	X	X	X	
552	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	07/08/19	X	X	X	
598	BofA Securities Incorporated Gary Hunt, 312.234.4008 gary.hunt@bofa.com	07/08/19	X	X	X	
010	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com	12/27/19	X	X	X	
200	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com	12/27/19	X	X	X	

840	Goldman Sachs & Co. LLC Laura Thomas, 801.212.7000 occ-membership@gs.com	12/27/19	X	X	X	
017	Interactive Brokers LLC ibclearingops@interactivebrokers.com	07/18/19	X	X	X	
534	Interactive Brokers LLC ibclearingops@interactivebrokers.com	07/18/19	X	X	X	
443	Pershing, LLC Warren Harvey, 321.249.4469 warren.harvey@pershing.com	07/08/19	X	X	X	
007	X-Financial Access, LLC George Stafford, 312.235.0320 gstafford@x-fa.com	10/25/19	X	X	X	