

DIRECTORY

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OCC DIRECTORY

January 4, 2012

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For additional copies of this Directory, please write or call:

OCC
Member Services
One North Wacker Drive, Suite 500
Chicago, Illinois 60606
(800) 621-6072

OCC Clearing Members

Alphabetic

Clearing Members are approved to clear the following products as of January 4, 2012. All information herein is subject to change.

- | | |
|----------------------------|-------------------------|
| A. Equity Options | D. Single Stock Futures |
| B. Index Options | E. Commodity Futures |
| C. Stock Loan Participants | F. NYL Futures |

<u>Member Number</u>	<u>Approval Codes</u>
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A

ABN AMRO Clearing Chicago LLC 175 West Jackson Boulevard, Suite 400 Chicago, Illinois 60604 (312) 604-8110	695	A B C D
OCC/ICE Cross-Margin Account	829	B
OCC/CME Cross-Margin Account	813	B
OCC Cross-Margin Account	008	B E
ABN AMRO Clearing Chicago LLC	541	A C D
ABN AMRO Clearing Chicago LLC	567	D E
ABN AMRO Clearing Chicago LLC	730	A B C D
ABN AMRO Clearing Chicago LLC	396	A B D
ABN AMRO Clearing Chicago LLC	330	A B D
ABN AMRO Clearing Chicago LLC	277	F
ABN AMRO Clearing Chicago LLC	112	A B D
ADM Investor Services, Inc. 141 W. Jackson, Suite 1600-A Chicago, Illinois 60604 (312) 242-7000	509	D E
ADM Investor Services, Inc.	001	F
Advantage Futures, LLC 141 W. Jackson, Suite 1920 Chicago, Illinois 60604 (312) 756-6300	079	E
Advantage Futures, LLC	737	E
Albert Fried & Company, LLC 45 Broadway, 24th Floor New York, New York 10006 (212) 422-7282	284	A B C
American Enterprise Investment Services, Inc. 655 Ameriprise Center Minneapolis, Minnesota 55474 (612) 671-7229	216	A B C
American Enterprise Investment Services, Inc.	756	A B

Archipelago Securities, L.L.C. 100 South Wacker Drive, Suite 1800 Chicago, Illinois 60606 (312) 960-1696	436	A B
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Assent LLC 545 Washington Boulevard, 7th Floor Jersey City, New Jersey 07310 (201) 356-1400	442	A B C D
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Automated Trading Desk Financial Services, LLC 11 EWall Street Mt. Pleasant, South Carolina 29464 (843) 789-2113	411	A B D
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B

Banca IMI Securities Corp. 1 William Street, 9th Floor New York, New York 10004 (212) 326-1100	136	C
Barclays Capital Inc. 200 Park Avenue New York, New York 10166 (212) 412-4000	576	A B C D
Barclays Capital Inc.	255	A B C D
Barclays Capital Inc.	704	D E
Barclays Capital Inc.	273	A B
Barclays Capital Inc.	706	E
Barclays Capital Inc.	711	E
Barclays Capital Inc.	709	E D
OCC/CME Cross-Margin Account	712	B
BMO Capital Markets Corp. 3 Second Street Plaza, 10-12th Floor Jersey City, New Jersey 07302 (212) 885-4000	045	A B C
BMO Capital Markets Corp.	875	B
BMO Nesbitt Burns, Inc.** 129 St-Jaques, 11th Floor Montreal, Quebec H2Y 1L8 Canada (416) 359-4000	209	A B D
BMO Nesbitt Burns Trading Corp. S.A. 3 Second Street Plaza, 10-12th Floor Jersey City, New Jersey 07302 (212) 855-4000	018	C
BNP Paribas Prime Brokerage, Inc. One Bryant Park, 8th Floor New York, New York 10001 (646) 733-4074	230	A B C

**Indicates Non-U.S. Clearing Member

BNP Paribas Securities Corp. 555 Croton Road, 4th Floor King of Prussia, Pennsylvania 19406 (610) 491-1400	656	A B C D	Clearview Correspondent Services, LLC 8006 Discovery Drive, Suite 200 Richmond, Virginia 23229 (804) 253-6400	702	A B
BNP Paribas Securities Corp.	381	D E	Compass Professional Services, LLC 111 West Jackson Boulevard, 20th Floor Chicago, Illinois 60605 (312) 692-5000	233	A B
BNP Paribas Securities Corp.	382	D E	Compass Professional Services, LLC 232	232	D E
OCC/CME Cross-Margin Account	053	B	Credit Agricole Securities (USA) Inc. 194 Wood Avenue South, 7th Floor Iselin, New Jersey 08830 (732) 590-7424	651	A B C D
C					
C.L. King & Associates, Inc. 9 Elk Street Albany, New York 12207 (518) 431-3539	743	A B C	Credit Suisse Securities (USA) LLC 11 Madison Avenue, 2nd Floor New York, New York 10010 (212) 325-2000	355	A B C D
Canaccord Genuity Corp.** 609 Granville Street, Suite 2200 Vancouver, British Columbia V7Y 1H2 Canada (604) 643-7300	033	A B	Credit Suisse Securities (USA) LLC 289	289	D E
Cantor Fitzgerald & Co. 110 East 59th Street New York, New York 10022 (212) 938-5000	696	A B C	Credit Suisse Securities (USA) LLC 173	173	E
Cantor Fitzgerald & Co.	115	E	Credit Suisse Securities (USA) LLC 106	106	E
Charles Schwab & Co., Inc. 4750 E. Francisco Drive Phoenix, Arizona 85044 (877) 903-7552	164	A B C D	CSS, LLC 175 W. Jackson, Suite 440 Chicago, Illinois 60604 (312) 542-8510	670	A B
CIBC World Markets Corp. 425 Lexington Avenue, 5th Floor New York, New York 10017 (212) 667-7000	438	A B C D	D		
OCC/CME Cross-Margin Account	831	B	Daiwa Capital Markets America Inc. Financial Square 32 Old Slip New York, New York 10005-3538 (212) 612-7000	647	A B C D
CIBC World Markets Inc.** 22 Front Street, 5th Floor Toronto, Ontario M5J 2W5 Canada (416) 594-7000	503	A B D	Deutsche Bank Securities Inc. Harborside Financial Center 100 Plaza One, 2nd Floor Jersey City, New Jersey 07311-3988 (212) 469-8000	573	A B C D
Citadel Securities LLC 131 South Dearborn Street, 3rd Floor Chicago, Illinois 60603 (312) 395-2100	395	A B C	Deutsche Bank Securities Inc. 094	094	D E
OCC/CME Cross-Margin Account	880	B	Deutsche Bank Securities Inc. 092	092	D
Citigroup Global Markets Inc. 388 Greenwich Street New York, New York 10013 (813) 604-6485	418	A B C D	Deutsche Bank Securities Inc. 586	586	A B C D
Citigroup Global Markets Inc.	747	D E	Dorman Trading, LLC 141 W. Jackson, Suite 2070 Chicago, Illinois 60604 (312) 341-7894	146	E
Citigroup Global Markets Inc.	371	E	Dorman Trading, LLC 150	150	F
			Dorman Trading, LLC 152	152	F

**Indicates Non-U.S. Clearing Member

DWM Securities Inc.**	027	A B D	Goldman Sachs Execution & Clearing, L.P.	501	A B C D
One Adelaide Street East Toronto, Ontario M5C 2V9 Canada (416) 350-3250			440 South LaSalle Street Chicago, Illinois 60605 (312) 362-3000		
E			Goldman Sachs Execution & Clearing, L.P.	009	A B C D
E*TRADE Clearing LLC	385	A B C D	Goldman Sachs Execution & Clearing, L.P.	572	A B D
Harborside Financial Center 501 Plaza 2 Jersey City, New Jersey 07311 (201) 499-9900			OCC Cross-Margin Account	841	B E
			OCC/ICE Cross-Margin Account	843	B
			OCC/CME Cross-Margin Account	824	B
Electronic Brokerage Systems, LLC	333	A B C D	Goldman Sachs Execution & Clearing, L.P.	741	D E
141 West Jackson Boulevard, Suite 3510 Chicago, Illinois 60604 (312) 986-6250			Goldman Sachs Execution & Clearing, L.P.	815	E
			Goldman Sachs Execution & Clearing, L.P.	105	A B
F			H		
FCStone, LLC	406	E	HSBC Securities (USA) Inc.	816	A B
230 South LaSalle Street Chicago, Illinois 60604 (312) 780-6700			11 West 42nd Street, 9th Floor New York, New York 10036 (212) 525-3150		
FCStone, LLC	159	E	I		
FCStone, LLC	160	F	Industrial and Commercial Bank of China Financial Services LLC	388	C
FCStone, LLC	405	F	1633 Broadway, 28th Floor New York, New York 10019 (212) 993-7300		
First Clearing, LLC	141	A B C D	ING Financial Markets LLC	270	C
One North Jefferson St. Louis, Missouri 63103 (314) 995-3000			1325 6th Avenue, 12th Floor New York, New York 10019 (646) 424-6000		
First Southwest Company	309	A B C D	Ingalls & Snyder LLC	124	A B D
325 North St. Paul, Suite 800 Dallas, Texas 75201 (214) 953-4000			61 Broadway New York, New York 10006 (212) 310-4879		
G			Instinet LLC	067	A B
Goldman, Sachs & Co.	005	A B C D	1095 Avenue of the Americas, 3rd Floor New York, New York 10036 (212) 269-7800		
30 Hudson Street Jersey City, New Jersey 07302 (212) 902-1000					
Goldman, Sachs & Co.	497	D E			
Goldman, Sachs & Co.	350	E			

** Indicates Non-U.S. Clearing Member

Interactive Brokers LLC 8 Greenwich Office Park Greenwich, Connecticut 06831 (203) 618-5800	017	A B C D	Jefferies Execution Services, Inc. 520 Madison Avenue New York, New York 10022 (212) 336-7000	536	A B
Interactive Brokers LLC	534	A B	Jump Trading, LLC 600 W. Chicago, Suite 825 Chicago, Illinois 60656 (312) 205-8900	035	E
Interactive Brokers LLC	535	E			
Interactive Brokers LLC	643	D E			
ITG Inc. 380 Madison Avenue New York, New York 10017 (212) 588-4000	099	C			
J					
J.J.B. Hilliard, W.L. Lyons, LLC 500 West Jefferson Street Louisville, Kentucky 40202 (502) 588-8400	768	A B D	KDC Securities, LP 900 Third Avenue, 10th Floor Suite 1000 New York, New York 10022 (212) 350-0200	580	A C D
J.P. Morgan Clearing Corp. 3 Chase Metrotech Center, 7th Floor Brooklyn, New York 11245-0001 (347) 643-1000	352	A B D	KeyBanc Capital Markets Inc. 127 Public Square Cleveland, Ohio 44114 (216) 689-0240	799	A B
J.P. Morgan Clearing Corp.	288	D E	Knight Execution & Clearing Services LLC 545 Washington Boulevard Jersey City, New Jersey 07310 (201) 222-9400	295	A B C
OCC/CME Cross-Margin Account	822	B	Knight Execution & Clearing Services LLC	293	
OCC/CME Cross-Margin Account	833	B	Knight Execution & Clearing Services LLC	297	
J.P. Morgan Securities LLC 10 South Dearborn Street, 5th Floor Chicago, Illinois 60603 (312) 325-6257	661	D E	Knight Execution & Clearing Services LLC	298	
J.P. Morgan Securities LLC	060	A B D			
J.P. Morgan Securities LLC	660	F			
Janney Montgomery Scott LLC 1801 Market Street Philadelphia, Pennsylvania 19103 (215) 665-6000	374	A B C D	L		
Jefferies & Company, Inc. 34 Exchange Place Harborside Financial Center Suite 705, Plaza 3 Jersey City, New Jersey 07303 (212) 336-7000	019	A B C D	Lakeshore Securities, L.P. 401 South LaSalle Street, Suite 1000 Chicago, Illinois 60605 (312) 663-1307	674	A B D
Jefferies Bache, LLC One New York Plaza, 13th Floor New York, New York 10292-2013 (800) 643-2902	072	D E	Lazard Capital Markets LLC 30 Rockefeller Plaza, 19th Floor New York, New York 10020 (212) 632-6000	308	A B C
Jefferies Bache, LLC	090	E	Legent Clearing LLC 9300 Underwood Avenue, Suite 400 Omaha, Nebraska 68114 (402) 384-6100	052	A B D

Lek Securities Corporation 165 Broadway, 52nd Floor New York, New York 10006 (212) 509-2300	512	A B C D	Mesirow Financial, Inc. 353 North Clark Street Chicago, Illinois 60654 (312) 595-6000	727	A B D
Lek Securities Corporation	229	A B D	Mitsubishi UFJ Securities (USA) Inc.	076	A B C
Lek Securities Corporation	096	D E	1633 Broadway, 29th Floor New York, New York 10019 (212) 405-7401		
LiquidPoint, LLC 311 S. Wacker Drive Chicago, Illinois 60606 (312) 986-2006	577	A B	Mizuho Securities USA Inc.	089	C
LPL Financial LLC 9785 Towne Centre Drive San Diego, California 92121-1968 (858) 450-9606	075	A B D	1221 Avenue of the Americas New York City, New York 10020-1140 (212) 209-3900		
M			Morgan Stanley & Co. LLC	050	A B D
Maple Securities U.S.A. Inc. 10 Exchange Place, Suite 2600 Jersey City, New Jersey 07302 (201) 369-3000	269	A B C D	1 New York Plaza, 7th Floor New York, New York 10004 (212) 761-4000		
Merrill Lynch, Pierce, Fenner & Smith Inc. 101 Hudson Street Jersey City, New Jersey 07302-3997 (212) 449-1000	161	A B C D	Morgan Stanley & Co. LLC	278	E
Merrill Lynch, Pierce, Fenner & Smith Inc.	275	A B C	Morgan Stanley & Co. LLC	602	D E
Merrill Lynch, Pierce, Fenner & Smith Inc.	299	D E	Morgan Stanley Smith Barney LLC	015	A B
Merrill Lynch, Pierce, Fenner & Smith Inc.	560	F	34 Exchange Place, Plaza 2, 2nd Floor Jersey City, New Jersey 07302 (201) 830-7200		
Merrill Lynch, Pierce, Fenner & Smith Inc.	792	A B D	Morgan, Keegan & Company, Inc.	780	A B D
Merrill Lynch Professional Clearing Corp. 101 Hudson Street, 12th Floor Jersey City, New Jersey 07302-3997 (212) 449-1000	551	A B C D	Morgan Keegan Tower 50 North Front Street Memphis, Tennessee 38103 (901) 524-4100		
Merrill Lynch Professional Clearing Corp.	519	A B	MS Securities Services Inc.	490	C
Merrill Lynch Professional Clearing Corp.	540	A B D	1 Pierrepoint Plaza New York, New York 11201 (212) 276-4000		
Merrill Lynch Professional Clearing Corp.	552	A B D	N		
Merrill Lynch Professional Clearing Corp.	553	A B D	NASDAQ Options Services, LLC	520	A B
Merrill Lynch Professional Clearing Corp.	575	A B D	165 Broadway New York, New York 10006 (212) 401-8700		
OCC/CME Cross-Margin Account	598	B	National Bank Financial Inc.**	080	A B C D
OCC/ICE Cross-Margin Account	847	B	1155 Metcalfe, 19th Floor Montreal, Quebec H3B 5G2 Canada (514) 390-7478		
			National Financial Services LLC	226	A B C D
			Harborside 1000 Plaza 5 Harborside Financial Center, 10th Floor Jersey City, New Jersey 07311 (866) 755-6372		

Natixis Securities Americas LLC 1345 Avenue of the Americas, 43rd Floor New York, New York 10105 (212) 698-3330	031	A B C D		
Newedge USA, LLC 550 West Jackson, Suite 500 Chicago, Illinois 60661 (312) 441-4200	722	A B C D		
Newedge USA, LLC	761	E		
Newedge USA, LLC	762	D E		
Newedge USA, LLC	719	A B D		
Newedge USA, LLC	672	A B D		
Newedge USA, LLC	608	A B C D		
Newedge USA, LLC	659	A B		
Newedge USA, LLC	718	E		
Nomura Securities International, Inc. 2 World Financial Center Building B, 20th Floor New York, New York 10281-1198 (212) 667-9300	180	A B C D		
Nomura Securities International, Inc. OCC/CME Cross-Margin Account	181 884	E B		
O				
Octeg, LLC 350 North Orleans, 3rd Floor South Chicago, Illinois 60654 (312) 242-4600	341	A B C		
Octeg, LLC	077	E		
Octeg, LLC	078	E		
Oppenheimer & Co. Inc. 125 Broad Street, 14th Floor New York, New York 10004 (212) 668-8000	571	A B C D		
optionsXpress, Inc. 311 West Monroe Street, Suite 1000 Chicago, Illinois 60606 (312) 630-3300	338	A B C D		
P				
Penson Financial Services, Inc. 1700 Pacific Avenue, Suite 1400 Dallas, Texas 75201 (214) 765-1117	234	A B C D		
Penson Financial Services, Inc.	111	A B C D		
Penson Financial Services, Inc.	513	A B C D		
Penson Financial Services, Inc. - Futures Division 600 W. Chicago, Suite 775 Chicago, Illinois 60610 (312) 356-6100	140	E		
Penson Financial Services, Inc. - Futures Division Penson Financial Services, Inc./ Ridge Clearing	240 158	E A B C D		
Pershing LLC 1 Pershing Plaza Jersey City, New Jersey 07399 (201) 413-2000	443	A B C D		
Piper Jaffray & Co. 800 Nicollet Mall Suite 800 Minneapolis, Minnesota 55402 (800) 333-6000	311	A B D		
Prime Dealer Services Corp. 1 New York Plaza, 7th Floor New York, New York 10004 (718) 754-4000	058	A D		
R				
R.J. O'Brien & Associates, LLC 222 S. Riverside Plaza, Suite 900 Chicago, Illinois 60606 (312) 373-5000	082	E		
R.J. O'Brien & Associates, LLC	083	D		
R.J. O'Brien & Associates, LLC	685	F		
Raymond James & Associates, Inc. The Raymond James Financial Center 880 Carillon Parkway St. Petersburg, Florida 33716 (727) 573-3800	725	A B D		
RBC Capital Markets, LLC 3 World Financial Center 200 Vesey Street - 5th Floor New York, New York 10281-8098 (212) 858-7000	235	A B C D		
RBC Capital Markets, LLC	795	D E		
RBC Capital Markets, LLC	796	E		
OCC/CME Cross-Margin Account	038	B		
RBC Dominion Securities Inc.** Royal Bank Plaza P.O. Box 50 Toronto, Ontario M5J 2W7 Canada (416) 842-2000	198	A B D		

**Indicates Non-U.S. Clearing Member

RBS Securities, Inc. 550 West Jackson Boulevard, Suite 1700 Chicago, Illinois 60661 (312) 664-5060	425	A B C		
RBS Securities, Inc.	128	E		
Ridge Clearing & Outsourcing Solutions, Inc. 2 Journal Square, 3rd Floor Jersey City, New Jersey 07306 (516) 472-5200	543	A B C D		
Robert W. Baird & Co. Incorporated 777 East Wisconsin Avenue Milwaukee, Wisconsin 53202 (414) 765-3500	547	A B C D		
Rosenthal Collins Group, LLC 216 W. Jackson Blvd. Suite 400 Chicago, Illinois 60606 (312) 460-9200	800	E		
Rosenthal Collins Group, LLC	801	E		
S				
Sanford C. Bernstein & Co., LLC One North Lexington Avenue White Plains, New York 10601 (914) 993-2300	013	A B D		
Scotia Capital Inc.** 44 King Street, 14th Floor Toronto, Ontario M5H 1H1 Canada (416) 863-7411	186	A B D		
Scotttrade, Inc. 12855 Flushing Meadow Drive St. Louis, Missouri 63131 (314) 965-1555	705	A B D		
SG Americas Securities, LLC 480 Washington Boulevard, 21st Floor Jersey City, New Jersey 07310 (212) 278-6000	286	A B C D		
Southwest Securities, Inc. The Renaissance Tower 1201 Elm Street, Suite 3500 Dallas, Texas 75270-2180 (214) 651-1800	279	A B C D		
Southwest Securities, Inc.	581	A B C D		
Stephens Inc. 111 Center Street Little Rock, Arkansas 72201 (501) 377-2000	419	A B D		
			Stifel Nicolaus & Company Incorporated	793 A B D
			501 North Broadway St. Louis, Missouri 63102 (314) 342-2000	
			StockCross Financial Services, Inc.	445 A B D
			77 Summer Street Boston, Massachusetts 02110-1006 (617) 367-5700	
T				
			TD Ameritrade Clearing, Inc.	777 A B C D
			1005 North Ameritrade Place Bellevue, Nebraska 68005 (402) 331-2744	
			TD Waterhouse Canada Inc.**	615 A B D
			77 Bloor Street West, 10th Floor Toronto Dominion Centre Toronto, Ontario M4Y T21 Canada (416) 413-3055	
			Timber Hill LLC	549 A B C D E
			8 Greenwich Office Park Greenwich, Connecticut 06831 (203) 618-5800	
			OCC/CME Cross-Margin Account	611 B
			Timber Hill LLC	477 A B C D
			Timber Hill LLC	550 E
			TradeLink LLC	391 A B
			71 South Wacker Drive, Suite 1900 Chicago, Illinois 60606 (312) 264-2000	
			TradeStation Securities, Inc.	271 A B C
			8050 Southwest 10th Street, Suite 2000 Plantation, Florida 33324 (954) 652-7000	
			Tradition Asiel Securities Inc.	370 A B D
			75 Park Place, 4th Floor New York, New York 10007 (212) 791-4504	
U				
			UBS Financial Services Inc.	221 A B C D
			1000 Harbor Boulevard, 8th Floor Weehawken, New Jersey 07086 (201) 352-3000	

UBS Securities LLC 642 A B C D
 677 Washington Boulevard
 Stamford, Connecticut 06901
 (203) 719-3000

UBS Securities LLC 641 D
UBS Securities LLC 447 D E
UBS Securities LLC 640 E

USAA Investment Management Company D/B/A 367 A B D
 9800 Fredericksburg Road
 San Antonio, Texas 78288
 (210) 756-7579

V

Vanguard Marketing Corporation 062 A B
 100 Vanguard Boulevard
 Malvern, Pennsylvania 19355
 (877) 662-7447

Virtu Financial BD LLC 063 C
 645 Madison Avenue, 16th Floor
 New York, New York 10022
 (212) 418-0100

Virtu Financial Capital Markets LLC 749 A B C

Vision Financial Markets, LLC 595 A B
 4 High Ridge Park, Suite 100
 Stamford, Connecticut 06905
 (203) 388-2700

Vision Financial Markets LLC 506 D E
Vision Financial Markets LLC 276 E

W

Wedbush Securities Inc. 103 A B C D
 P.O. Box 30014
 Los Angeles, California 90030
 (213) 688-8000

Wells Fargo Advisors, LLC 733 A B
 625 Marquette Avenue South
 Minneapolis, Minnesota 55402
 (612) 336-7957

William Blair & Company, L.L.C. 771 A B D
 222 West Adams Street
 Chicago, Illinois 60606
 (312) 236-1600

Z

Ziv Investment Company 515 A B D
 141 West Jackson Boulevard, Suite 2095
 Chicago, Illinois 60604
 (312) 427-7208

OCC Clearing Members

Numeric

OCC Clearing Members – Numeric

001	ADM Investor Services, Inc.	080	National Bank Financial Inc.**
005	Goldman Sachs & Co.	082	R.J. O'Brien & Associates, LLC
008	ABN AMRO Clearing Chicago LLC OCC Cross-Margin Account	083	R.J. O'Brien & Associates, LLC
009	Goldman Sachs Execution & Clearing, L.P.	089	Mizuho Securities USA Inc.
013	Sanford C. Bernstein & Co., LLC	090	Jefferies Bache, LLC
015	Morgan Stanley Smith Barney LLC	092	Deutsche Bank Securities Inc.
017	Interactive Brokers Group	094	Deutsche Bank Securities Inc.
018	BMO Nesbitt Burns Trading Corp. S.A.	096	Lek Securities Corporation
019	Jefferies & Company, Inc.	099	ITG, Inc.
027	DWM Securities Inc.**	103	Wedbush Securities Inc.
031	Natixis Securities America LLC	105	Goldman Sachs Execution & Clearing, L.P.
033	Canaccord Genuity Corp.**	106	Credit Suisse Securities (USA) LLC
035	Jump Trading, LLC	111	Penson Financial Services, Inc.
038	RBC Capital Markets, LLC OCC/CME Cross-Margin Account	112	ABN AMRO Clearing Chicago LLC
045	BMO Capital Markets Corp.	115	Cantor Fitzgerald & Co.
050	Morgan Stanley & Co. LLC	124	Ingalls & Snyder LLC
052	Legent Clearing LLC	128	RBS Securities, Inc.
053	BNP Paribas Securities Corp. OCC/CME Cross-Margin Account	136	Banca IMI Securities Corp.
058	Prime Dealer Services Corp.	140	Penson Financial Services, Inc. - Futures Division
060	J.P. Morgan Securities LLC	141	First Clearing, LLC
062	Vanguard Marketing Corporation	146	Dorman Trading, LLC
063	Virtu Financial BD LLC	150	Dorman Trading, LLC
067	Instinet, LLC	152	Dorman Trading, LLC
072	Jefferies Bache, LLC	158	Penson Financial Services Inc./Ridge Clearing
075	LPL Financial LLC	159	FCStone, LLC
076	Mitsubishi UFJ Securities (USA) Inc.	160	FCStone, LLC
077	Octeg, LLC	161	Merrill Lynch, Pierce, Fenner & Smith Inc.
078	Octeg, LLC	164	Charles Schwab & Co., Inc.
079	Advantage Futures, LLC	173	Credit Suisse Securities (USA) LLC
		180	Nomura Securities International, Inc.
		181	Nomura Securities International, Inc.

**Indicates Non-U.S. Clearing Member

**Indicates Non-U.S. Clearing Member

186	Scotia Capital Inc.**	299	Merrill Lynch, Pierce, Fenner & Smith Inc.
198	RBC Dominion Securities Inc.**	308	Lazard Capital Markets LLC
209	BMO Nesbitt Burns, Inc.**	309	First Southwest Company
216	American Enterprise Investment Services, Inc.	311	Piper Jaffray & Co.
221	UBS Financial Services Inc.	330	ABN AMRO Clearing Chicago LLC
226	National Financial Services LLC	333	Electronic Brokerage Systems, LLC
229	Lek Securities Corporation	338	optionsXpress, Inc.
230	BNP Paribas Prime Brokerage, Inc.	341	Octeg, LLC
232	Compass Professional Services, LLC	350	Goldman Sachs & Co.
233	Compass Professional Services, LLC	352	J.P. Morgan Clearing Corp.
234	Penson Financial Services, Inc.	355	Credit Suisse Securities (USA) LLC
235	RBC Capital Markets, LLC	367	USAA Investment Management Company D/B/A
240	Penson Financial Services, Inc. - Futures Division	370	Tradition Asiel Securities Inc.
255	Barclays Capital Inc.	371	Citigroup Global Markets Inc.
269	Maple Securities U.S.A. Inc.	374	Janney Montgomery Scott LLC
270	ING Financial Markets LLC	381	BNP Paribas Securities Corp.
271	TradeStation Securities, Inc.	382	BNP Paribas Securities Corp.
273	Barclays Capital Inc.	385	E*TRADE Clearing LLC
275	Merrill Lynch, Pierre, Fennel, & Smith Inc.	388	Industrial Commercial Bank of China Financial Services LLC
276	Vision Financial Markets LLC	391	TradeLink LLC
277	ABN AMRO Clearing Chicago LLC	395	Citadel Securities LLC
278	Morgan Stanley & Co. LLC	396	ABN AMRO Clearing Chicago LLC
279	Southwest Securities, Inc.	405	FCStone, LLC
284	Albert Fried & Company, LLC	406	FCStone, LLC
286	SG Americas Securities, LLC	411	Automated Trading Desk Financial Services, LLC
288	J.P. Morgan Clearing Corp.	418	Citigroup Global Markets Inc.
289	Credit Suisse Securities (USA) LLC	419	Stephens Inc.
293	Knight Execution & Clearing Services, LLC	425	RBS Securities, Inc.
295	Knight Execution & Clearing Services, LLC	436	Archipelago Securities, L.L.C.
297	Knight Execution & Clearing Services, LLC	438	CIBC World Markets Corp.
298	Knight Execution & Clearing Services, LLC		

**Indicates Non-U.S. Clearing Member

442	Assent LLC	572	Goldman Sachs Execution & Clearing, L.P.
443	Pershing LLC	573	Deutsche Bank Securities Inc.
445	StockCross Financial Services, Inc.	575	Merrill Lynch Professional Clearing Corp.
447	UBS Securities LLC	576	Barclays Capital Inc.
477	Timber Hill LLC	577	LiquidPoint, LLC
490	MS Securities Services Inc.	580	KDC Securities, LP
497	Goldman, Sachs & Co.	581	Southwest Securities, Inc.
501	Goldman Sachs Execution & Clearing, L.P.	586	Deutsche Bank Securities Inc.
503	CIBC World Markets Inc.**	595	Vision Financial Markets LLC
506	Vision Financial Markets LLC	598	Merrill Lynch Professional Clearing Corp. OCC/CME Cross-Margin Account
509	ADM Investor Services, Inc.	602	Morgan Stanley & Co. Incorporated
512	Lek Securities Corporation	608	Newedge USA, LLC
513	Penson Financial Services, Inc.	611	Timber Hill LLC OCC/CME Cross-Margin Account
515	Ziv Investment Company	615	TD Waterhouse Canada Inc.**
519	Merrill Lynch Professional Clearing Corp.	640	UBS Securities LLC
520	NASDAQ Options Services, LLC	641	UBS Securities LLC
534	Interactive Brokers LLC	642	UBS Securities LLC
535	Interactive Brokers LLC	643	Interactive Brokers LLC
536	Jefferies Execution Services, Inc.	647	Daiwa Capital Markets America Inc.
540	Merrill Lynch Professional Clearing Corp.	651	Credit Agricole Securities (USA) Inc.
541	ABN AMRO Clearing Chicago LLC	656	BNP Paribas Securities Corp.
543	Ridge Clearing & Outsourcing Solutions, Inc.	659	Newedge USA, LLC
547	Robert W. Baird & Co. Incorporated	660	J.P. Morgan Securities Inc.
549	Timber Hill LLC	661	J.P. Morgan Securities Inc.
550	Timber Hill LLC	670	CSS, LLC
551	Merrill Lynch Professional Clearing Corp.	672	Newedge USA, LLC
552	Merrill Lynch Professional Clearing Corp.	674	Lakeshore Securities, L.P.
553	Merrill Lynch Professional Clearing Corp.	685	R.J. O'Brien & Associates, LLC
560	Merrill Lynch, Pierce, Fenner and Smith, Inc.	695	ABN AMRO Clearing Chicago LLC
567	ABN AMRO Clearing Chicago LLC	696	Cantor Fitzgerald & Co.
571	Oppenheimer & Co. Inc.		

** Indicates Non-U.S. Clearing Member

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702	Clearview Correspondent Services, LLC	799	KeyBanc Capital Markets, Inc.
704	Barclays Capital Inc.	800	Rosenthal Collins Group, LLC
705	Scottrade, Inc.	801	Rosenthal Collins Group, LLC
706	Barclays Capital Inc.	813	ABN AMRO Clearing Chicago LLC OCC/CME Cross-Margin Account
709	Barclays Capital Inc.	815	Goldman Sachs Execution & Clearing, L.P.
711	Barclays Capital Inc.	816	HSBC Securities (USA) Inc.
712	Barclays Capital Inc. OCC/CME Cross-Margin Account	822	J.P. Morgan Clearing Corp. OCC/CME Cross-Margin Account
718	Newedge USA, LLC	824	Goldman Sachs Execution & Clearing, L.P. OCC/CME Cross-Margin Account
719	Newedge USA, LLC	829	ABN AMRO Clearing Chicago LLC OCC/ICE Cross-Margin Account
722	Newedge USA, LLC	831	CIBC World Markets Corp. OCC/CME Cross-Margin Account
725	Raymond James & Associates, Inc.	833	J.P. Morgan Clearing Corp. OCC/CME Cross-Margin Account
727	Mesirow Financial, Inc.	841	Goldman Sachs Execution & Clearing, L.P. OCC Cross-Margin Account
730	ABN AMRO Clearing Chicago LLC	843	Goldman Sachs Execution & Clearing, L.P. OCC/ICE Cross-Margin Account
733	Wells Fargo Advisors, LLC	847	Merrill Lynch Professional Clearing Corp. OCC/ICE Cross-Margin Account
737	Advantage Futures, LLC	875	BMO Capital Markets Corp. OCC/CME Cross-Margin Account
741	Goldman Sachs Execution & Clearing, L.P.	880	Citadel Securities LLC OCC/CME Cross-Margin Account
743	C.L. King & Associates, Inc.	884	Nomura Securities International, Inc. OCC/CME Cross-Margin Account
747	Citigroup Global Markets Inc.		
749	Virtu Financial Capital Markets LLC		
756	American Enterprise Investment Services, Inc.		
761	Newedge USA, LLC		
762	Newedge USA, LLC		
768	J.J.B. Hilliard, W.L. Lyons, LLC		
771	William Blair & Company, L.L.C.		
777	TD Ameritrade Clearing, Inc.		
780	Morgan, Keegan & Company, Inc.		
792	Merrill Lynch, Pierce, Fenner & Smith Inc.		
793	Stifel Nicolaus & Company Incorporated		
795	RBC Capital Markets, LLC		
796	RBC Capital Markets, LLC		



OCC USD Clearing Banks

Bank of America, N.A.

Bank of Montreal

BMO Harris N.A.

Brown Brothers Harriman & Company

Citibank, N.A.

JPMorgan Chase Bank, N.A.

PNC Bank, N.A.

The Bank of New York Mellon

U.S. Bank

OCC EUR Clearing Banks

BMO Harris N.A.

Brown Brothers Harriman & Company

JPMorgan Chase Bank, London

OCC Approved Depository

The Depository Trust Company

55 Water Street

New York, New York 10041

(212) 855-1000

Correspondent Clearing Corporation

National Securities Clearing Corporation

55 Water Street

New York, New York 10041

(212) 412-8400

OCC Letter of Credit Banks

U.S. Institutions

Bank of America, N.A.
Bank of Tokyo-Mitsubishi UFJ Trust
BMO Harris N.A.
Citibank, N.A.
Comerica Bank
Commerce Bank, N.A.
Deutsche Bank Trust Company, Americas
HSBC Bank, USA, N.A.
JPMorgan Chase Bank, N.A.
PNC Bank, N.A.
State Street Bank & Trust Company
Sun Trust Bank
The Bank of New York Mellon
The Northern Trust Company
U.S. Bank, N.A.
Union Bank of California
Wells Fargo Bank, N.A.

OCC Letter of Credit Banks

Non-U.S. Institutions

ABN AMRO Bank N.V.
Australia and New Zealand Banking Group Limited
Bank of Montreal
BNP Paribas U.S.A.
Commerzbank
Credit Agricole Corporate and Investment Bank
Credit Industriel et Commercial
Credit Suisse
Deutsche Bank AG
DNB Nor Bank ASA
HSB Nordbank AG
Landesbank Hessen – Thuringen Girozentrale
Lloyds TSB Bank PLC
National Australia Bank Limited
Natixis
Norddeutsche Landesbank Girozentrale
Royal Bank of Canada
Societe Generale
Standard Chartered Bank
Svenska Handelsbanken
UniCredit Bank AG
Westdeutsche Landesbank Girozentrale



OCC Escrow Deposit Banks

Bank of America, N.A.

BMO Harris N.A.

Citibank, N.A.

Comerica Bank

JPMorgan Chase Bank, N.A.

Keybank National Association

M&I Marshall & Ilsley Bank

Mellon Trust of New England

PNC Bank, N.A.

State Street Bank & Trust Company

Sun Trust Bank

The Bank of New York Mellon

The Fifth Third Bank

The Northern Trust Company

U.S. Bank, N.A.

Union Bank of California

Wells Fargo Bank, N.A.

OCC Government Delivery Banks

BMO Harris N.A.

JPMorgan Chase Bank, N.A.

The Bank of New York Mellon

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Facsimile: (212) 422-5072/5074

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Telephone: (202) 756-1968
Facsimile: (202) 756-7518

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C2 Options Exchange Incorporated

400 South LaSalle Street
Chicago, Illinois 60605
Telephone: (312) 786-5600
Web site: www.C2exchange.com

Chicago Board Options Exchange, Incorporated

400 South LaSalle Street
Chicago, Illinois 60605
Telephone: (312) 786-5600
Web site: www.cboe.com

International Securities Exchange, LLC

60 Broad Street
26th Floor
New York, New York 10004
Telephone: (212) 943-2400
Web site: www.ise.com

NASDAQ OMX BX, LLC

*For Options Participant status on
BOX Options Exchange*
100 Franklin Street
Boston, Massachusetts 02110
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Web site: www.bostonoptions.com

NASDAQ OMX PHLX, LLC

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Philadelphia, Pennsylvania 19103
Telephone: (215) 496-5000
Web site: www.nasdaqomx.com

The NASDAQ Stock Market LLC

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Web site: www.nyse.com

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