

### Direct Owners/Executive Officers

**Organization CRD Number: 283942**

**Organization Name: BOFA SECURITIES, INC.**

**Organization SEC Number: 8-69787**

**Applicant Name: BOFA SECURITIES, INC.**

[View IA Record](#)

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
NB HOLDINGS CORPORATION	Domestic Entity	SOLE STOCKHOLDER	05/2019	75% or more	Y	N	56-1857749
MONTAG, THOMAS KELL	Individual	DIRECTOR & CHIEF EXECUTIVE OFFICER	09/2015	Less than 5%	Y	N	<a href="#">1474696</a>
GALLO, FABRIZIO	Individual	DIRECTOR	01/2016	Less than 5%	Y	N	<a href="#">4529600</a>
CACCAMISE, WILLIAM CHARLES JR	Individual	CHIEF LEGAL OFFICER	09/2015	Less than 5%	N	N	<a href="#">2547189</a>
GALLINEK, WILFRED ERIC	Individual	CHIEF COMPLIANCE OFFICER / BROKER-DEALER	09/2015	Less than 5%	N	N	<a href="#">4669008</a>
GUARDINO, JOSEPH ANTHONY JR	Individual	CHIEF OPERATIONS OFFICER & FINOP	09/2015	Less than 5%	N	N	<a href="#">2907957</a>
SMITH, ANDREA BRADLEY	Individual	OUTSIDE DIRECTOR	04/2018	Less than 5%	Y	N	<a href="#">6938616</a>
CARTAINA, JOHN ANDREW	Individual	CHIEF COMPLIANCE OFFICER / REGISTERED INVESTMENT ADVISER	02/2018	Less than 5%	N	N	<a href="#">6558455</a>
APPLEBAUM, LIZBETH NELLE	Individual	CHIEF FINANCIAL OFFICER	07/2017	Less than 5%	N	N	<a href="#">6172247</a>