

## Part I, Item 8—Identifying Information

**Request:** Attach as Exhibit 1, the most recently filed or amended Schedule A of Form BD for the Broker-Dealer Operator disclosing information related to direct owners and executive officers.

### Response:

#### Schedule A –Direct Owners

Full Legal Name	CRD / Tax ID	Entity Type	Roles	Date Role Acquired	Ownership %	Control Person	Public Reporting Company
<del>Merrill Lynch, Pierce, Fenner &amp; Smith Incorporated</del> NB Holdings Corporation	<del>56-1857749</del>	Domestic Entity	<del>Common</del> Sole Stockholder	<del>09/01/2015</del> 05/2019	75 or more	Y	N
NB Holdings Corporation		Domestic Entity	Preferred Series A Stockholder	01/01/2019	75 or more	Y	N
Montag, Thomas Kell	1474696	Individual	Director & Chief Executive Officer	09/01/201509/2015	Less than 5	Y	N
Gallo, Fabrizio	4529600	Individual	Director	01/01/201601/2016	Less than 5	Y	N
Caccamise, William Charles Jr	2547189	Individual	Chief Legal Officer	09/01/201509/2015	Less than 5	N	N
Gallinek, Wilfred Eric	4669008	Individual	Chief Compliance Officer/Broker-Dealer	09/01/201509/2015	Less than 5	N	N
Guardino, Joseph Anthony Jr	2907957	Individual	Chief Operations Officer & FINOP	09/01/201509/2015	Less than 5	N	N
Applebaum, Lizbeth Nelle	6172247	Individual	Chief Financial Officer	07/01/201707/2017	Less than 5	N	N
Smith, Andrea Bradley	6938616	Individual	Outside Director	04/01/201804/2018	Less than 5	Y	N
Cartaina, John Andrew	6558455	Individual	Chief Compliance Officer/Registered Investment Adviser	02/01/201802/2018	Less than 5	N	N

Form ATS-N  
BofAS CRD # 283942

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Delete	11
Move From	0
Move To	0
Table Insert	10
Table Delete	1
Table moves to	0
Table moves from	0
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Embedded Excel	0
Format changes	0
<b>Total Changes:</b>	<b>33</b>