

Direct Owners/Executive Officers

Organization CRD Number: 283942

Organization Name: BOFA SECURITIES, INC.

Organization SEC Number: 8-69787

Applicant Name: BOFA SECURITIES, INC.

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| 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 | 1474696 |
| GALLO, FABRIZIO | Individual | DIRECTOR | 01/2016 | Less than 5% | Y | N | 4529600 |
| CACCAMISE, WILLIAM CHARLES JR | Individual | CHIEF LEGAL OFFICER | 09/2015 | Less than 5% | N | N | 2547189 |
| GALLINEK, WILFRED ERIC | Individual | CHIEF COMPLIANCE OFFICER / BROKER-DEALER | 09/2015 | Less than 5% | N | N | 4669008 |
| GUARDINO, JOSEPH ANTHONY JR | Individual | CHIEF OPERATIONS OFFICER & FINOP | 09/2015 | Less than 5% | N | N | 2907957 |
| SMITH, ANDREA BRADLEY | Individual | OUTSIDE DIRECTOR | 04/2018 | Less than 5% | Y | N | 6938616 |
| CARTAINA, JOHN ANDREW | Individual | CHIEF COMPLIANCE OFFICER / REGISTERED INVESTMENT ADVISER | 02/2018 | Less than 5% | N | N | 6558455 |
| APPLEBAUM, LIZBETH NELLE | Individual | CHIEF FINANCIAL OFFICER | 07/2017 | Less than 5% | N | N | 6172247 |