

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