

## **SUPPLEMENTAL INFORMATION FOR QUESTIONS 13A, 13B AND 14**

### **Question 13A**

To briefly describe the nature of the arrangement with Smarsh:

- BNY Mellon has had a relationship with Smarsh for over 10 years with various products. The Enterprise Archive contract was executed on November 20, 2020. Enterprise Archive is a secure, high-performance platform designed for organizations with demanding regulatory requirements handling large volumes of data. It provides a unified compliance and e-discovery workflow across our entire corpus of archived electronic communications.

To briefly describe the nature of the arrangement with NCC Group:

1. NCC is providing designated third-party services for applicable books and records retention to comply with SEC Rule 17a-3, 17a-4, 18a-5, and 18a-6.

To briefly describe the nature of the arrangement with NICE Engage:

1. Infrastructure and application used to record telephone calls for compliance and quality purposes. (Cisco and Avaya phones, Cisco Jabber).

### **Question 13B**

To briefly describe the nature of the arrangements with Euroclear Bank, ClearStream, and JP Morgan Chase Bank N.A.:

- Euroclear Bank: Used to segregate margin for uncleared derivatives.
- ClearStream: Used to segregate margin for uncleared derivatives.
- JP Morgan Chase Bank, N.A. New York: Used to segregate margin for uncleared derivatives.

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### **Question 14**

To briefly describe the nature of the arrangement with Bank of New York Mellon Corporation.

- Bank of New York Mellon Corporation: The Bank of New York Mellon Corporation is the holding company for The Bank of New York Mellon.