

Owners and Executive Officers

| | |
|--------------------------|-----------------|
| Direct Owners & Officers | Indirect Owners |
|--------------------------|-----------------|

The owners/officers listed below are reported on your firm's Form BD. The displayed information is current as of the previous day. If it is no longer accurate, your firm should amend your Form BD through Web CRD. [Click here to amend Form BD](#)

| Full Legal Name | Title or Status | Title or Status Acquired | Percent Ownership | Control Person | Public Reporting Company |
|---------------------------------|---|-----------------------------|-----------------------|-------------------|--------------------------------|
| Individual | | | | | |
| <u>CONNORS, JOHN THOMAS MR.</u> | EXECUTIVE DIRECTOR-CORPORATE LEGAL AND GOVERNANCE | 04/01/2014 | Less than 5% | No | No |
| <u>ROY, DYLAN JOSEPH</u> | MANAGING DIRECTOR-TRADING TEAM LEADER | 09/01/2015 | Less than 5% | Yes | No |
| <u>MOLINARO, SAMUEL</u> | GROUP MANAGING DIRECTOR-CHAIRMAN OF THE BOARD | 04/01/2016 | Less than 5% | Yes | No |
| <u>MATTONE, RALPH MICHAEL</u> | PRINCIPAL FINANCIAL OFFICER | 12/01/2016 | Less than 5% | Yes | No |
| <u>VAN TASSEL, JAMES C</u> | MANAGING DIRECTOR, US EQUITIES RESEARCH | 06/01/2017 | Less than 5% | Yes | No |
| <u>LOFTUS, MICHAEL L</u> | MANAGING ATTORNEY, INVESTMENT BANKING & CAPITAL MARKETS | 02/01/2018 | Less than 5% | No | No |
| <u>HURD, MARY G</u> | PRINCIPAL OPERATIONS OFFICER | 10/01/2018 | Less than 5% | Yes | No |
| <u>MUNFA, LAUREN K</u> | CHIEF COMPLIANCE OFFICER | 08/01/2019 | Less than 5% | No | No |
| <u>LEONE, CHRIS MARTIN</u> | PRESIDENT | 12/01/2019 | Less than 5% | Yes | No |
| Domestic Entity | | | | | |
| UBS AMERICAS INC | MEMBER, VOTING | 10/01/2003 | 50% but less than 75% | Yes | No |
| UBS AMERICAS HOLDING LLC | SHAREHOLDER | 08/01/2015 | Less than 5% | Yes | No |
| Foreign Entity | | | | | |
| No Information Available. | | | | | |