

Direct Owners/Executive Officers

Organization CRD Number: 816

Organization Name: CREDIT SUISSE SECURITIES (USA) LLC

Organization SEC Number: 8-422

Applicant Name: CREDIT SUISSE SECURITIES (USA) LLC

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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#
LUPETIN, SERGIO JOSEPH	Individual	CHIEF FINANCIAL OFFICER	07/2018	Less than 5%	N	N	1221963
DOMINICK, PAULA ANN	Individual	CHIEF COMPLIANCE OFFICER FOR THE BROKER DEALER	01/2016	Less than 5%	N	N	1222643
WYNPERLE, MARY	Individual	SECRETARY	03/2018	Less than 5%	N	N	5892462
DELL'ARENA, ANTHONY JOSEPH	Individual	CHIEF COMPLIANCE OFFICER (CCO) FOR INVESTMENT ADVISER	08/2018	Less than 5%	N	N	2691702
AMINE, JAMES LOUIS	Individual	BOARD MEMBER	12/2014	Less than 5%	Y	N	2294971
CREDIT SUISSE (USA), INC.	Domestic Entity	SOLE MEMBER	11/2000	75% or more	Y	Y	13-1898818
RICHARDS, BRUCE TILTON	Individual	BOARD MEMBER	02/2017	Less than 5%	Y	N	4640086
GALIETTO, PAUL REID	Individual	HEAD OF EQUITIES - TEXAS DESIGNATED OFFICER	02/2018	Less than 5%	Y	N	1400597
LEAMON, JERRY PRESTON	Individual	BOARD MEMBER	04/2016	Less than 5%	Y	N	6615160
OECHSLIN, JOACHIM CHRISTIAN	Individual	BOARD MEMBER	04/2016	Less than 5%	Y	N	6653852
VARVEL, ERIC MORRIS	Individual	BOARD MEMBER AND CHIEF EXECUTIVE OFFICER	09/2016	Less than 5%	Y	N	1850251
CHIN, BRIAN MATTHEW	Individual	BOARD MEMBER	09/2016	Less than 5%	Y	N	4679495
KEARSLEY, GUY CHARLES	Individual	CHIEF RISK OFFICER	10/2016	Less than 5%	N	N	5640706
CURRAN, RICHARD JOHN SR.	Individual	HEAD OF OPERATIONS	04/2017	Less than 5%	N	N	4136136