

## 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	<a href="#">1221963</a>
WYNPERLE, MARY	Individual	SECRETARY	03/2018	Less than 5%	N	N	<a href="#">5892462</a>
DELL'ARENA, ANTHONY JOSEPH	Individual	CHIEF COMPLIANCE OFFICER (CCO) FOR INVESTMENT ADVISER	08/2018	Less than 5%	N	N	<a href="#">2691702</a>
CREDIT SUISSE (USA), INC.	Domestic Entity	SOLE MEMBER	11/2000	75% or more	Y	Y	13 1898818
LALIME, CRYSTAL MARIE	Individual	GENERAL COUNSEL	01/2019	Less than 5%	N	N	<a href="#">5027893</a>
MILLER, DAVID LAWRENCE	Individual	HEAD OF CAPITAL MARKETS & ADVISORY	08/2020	Less than 5%	N	N	<a href="#">2973313</a>
KRAUSS, DAVID I	Individual	CHIEF RISK OFFICER	08/2020	Less than 5%	N	N	<a href="#">6584345</a>
RICHARDS, BRUCE TILTON	Individual	BOARD MEMBER	02/2017	Less than 5%	Y	N	<a href="#">4640086</a>
GALIETTO, PAUL REID	Individual	HEAD OF EQUITIES - TEXAS DESIGNATED OFFICER	02/2018	Less than 5%	N	N	<a href="#">1400597</a>
LEAMON, JERRY PRESTON	Individual	BOARD MEMBER	04/2016	Less than 5%	Y	N	<a href="#">6615160</a>
VARVEL, ERIC MORRIS	Individual	BOARD MEMBER AND CHIEF EXECUTIVE OFFICER	09/2016	Less than 5%	Y	N	<a href="#">1850251</a>
CHIN, BRIAN MATTHEW	Individual	BOARD MEMBER	09/2016	Less than 5%	Y	N	<a href="#">4679495</a>
CURRAN, RICHARD JOHN SR.	Individual	HEAD OF OPERATIONS	04/2017	Less than 5%	N	N	<a href="#">4136136</a>
FISKE, MARY BETH	Individual	CHIEF COMPLIANCE OFFICER FOR THE BROKER DEALER	08/2020	Less than 5%	N	N	<a href="#">2733944</a>
KIM, JAY	Individual	CO-HEAD OF FIXED INCOME SALES & TRADING AND HEAD OF CREDIT	08/2020	Less than 5%	N	N	<a href="#">2943078</a>