

## Direct Owners/Executive Officers

Organization CRD Number: 79

Organization Name: J.P. MORGAN SECURITIES LLC

Organization SEC Number: 8-35008

Applicant Name: J.P. MORGAN SECURITIES LLC

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
J.P. MORGAN BROKER DEALER HOLDINGS INC.	Domestic Entity	STOCKHOLDER	09/2010	75% or more	Y	Y	13-4110995
BELL, JEREMY S	Individual	CHIEF COMPLIANCE OFFICER – REGISTERED INVESTMENT ADVISER	11/2019	Less than 5%	N	N	<a href="#">4268755</a>
COLLINS, JAMES MICHAEL	Individual	CHIEF FINANCIAL OFFICER	06/2008	Less than 5%	N	N	<a href="#">2725065</a>
DEMPSEY, PATRICK PAUL	Individual	TREASURER	08/2013	Less than 5%	N	N	<a href="#">2830362</a>
DUGGER, CHRISTINA B	Individual	CHIEF COMPLIANCE OFFICER – BROKER DEALER	11/2019	Less than 5%	N	N	<a href="#">5599227</a>
FREILICH, WILLIAM HOWARD	Individual	CHIEF LEGAL OFFICER	05/2013	Less than 5%	N	N	<a href="#">2203801</a>
GELLER, JEREMY ROSS	Individual	ELECTED MANAGER AND MEMBER	12/2018	Less than 5%	Y	N	<a href="#">4466173</a>
HARRIS, MITCHELL HOWARD	Individual	CHIEF OPERATING OFFICER	08/2019	Less than 5%	Y	N	<a href="#">2321424</a>
HARVEY, CHRISTOPHER LEO	Individual	ELECTED MANAGER AND MEMBER	05/2017	Less than 5%	Y	N	<a href="#">2948006</a>
HOLMES, ROBERT CULLUM	Individual	ELECTED MANAGER AND MEMBER	03/2013	Less than 5%	Y	N	<a href="#">2948416</a>
SIPPEL, JASON EDWIN	Individual	CEO, CHAIRMAN, ELECTED MANAGER AND MEMBER	01/2013	Less than 5%	Y	N	<a href="#">1718602</a>
STEIN, ERIC JOHN SR	Individual	ELECTED MANAGER AND MEMBER	07/2014	Less than 5%	Y	N	<a href="#">2630215</a>
TEPPER, ERIC DAVID	Individual	ELECTED MANAGER AND MEMBER	08/2017	Less than 5%	Y	N	<a href="#">2242377</a>
WINKELMAN, AMANDA DENISE	Individual	ELECTED MANAGER AND MEMBER	10/2019	Less than 5%	N	N	<a href="#">2352562</a>