EXHIBIT A

List in Exhibit A any person who either directly or indirectly, through agreement or otherwise, may control or direct the management or policies of registrant. For each person listed, provide the full name and address and attach a copy of each written agreement or, if the agreements are unwritten, describe the agreement or arrangement through which such person exercises or may exercise such control or direction.

DTCC Controls the Applicant

The Applicant is a Delaware limited liability company. DTCC, a New York corporation, directly and wholly owns the Applicant and is the Applicant's sole member ("Member"). No other entity controls the Applicant.

The Applicant's proposed Amended and Restated Limited Liability Company Agreement, which will be adopted when this application is approved ("LLC Agreement"), provides that "[t]he Member shall have full discretion to manage and control the business and affairs of the [Applicant], and to make all decisions affecting the business and affairs of the [Applicant] and to take all actions it deems necessary, appropriate or convenient to accomplish the purpose of the [Applicant] as set forth herein except as and to the extent such power is granted to the Board of Managers ("Board") pursuant to this [LLC Agreement]."[1]

The LLC Agreement further provides that "[t]he Member shall have the power to act for and on behalf of, and to bind, the [Applicant], except as and to the extent such power is granted to the [Board] pursuant to this [LLC Agreement]."[2]

Delaware law specifically provides that a Delaware limited liability company can be managed in whole or in part by its members. In such a case, action by members consistent with the limited liability company agreement binds the limited liability company. Accordingly, a permissible action by DTCC, as Member, under the LLC Agreement binds the Applicant.

The LLC Agreement provides for up to 16 managers on the Board (each, a "Manager"), up to three of whom are representatives of DTCC.[3] The Board has the powers set forth in the LLC Agreement and in the proposed DTCC ITP LLC Board of Managers Charter, which will be adopted when this application is approved ("Charter"). Among other things, pursuant to the Charter, the Board: (1) has the power to bind the Applicant, subject to the rights and powers of the Member; (2) provides strategic advice to the Chair of the Board and the General Manager; (3) supports the Applicant's tone and ethical culture expectations set by DTCC; (4) reviews and approves the Applicant's pricing structures; (5) oversees the effectiveness of the Applicant's audit, compliance, internal control environment and risk management practices, risk assessment and risk management monitoring processes, including a periodic review of risk tolerances and legal, financial, compliance and regulatory risks; (6) reviews the Applicant's business plans; (7) reviews the Applicant's annual budget, financial objectives and actions; (8) reviews the Applicant's key

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[1] LLC Agreement, Section V(b)(iii). The LLC Agreement is Attachment E-1 to Exhibit E.
[2] LLC Agreement, Section V(b)(ii).
[3] LLC Agreement, Section VI(a)(ii).

reporting to regulators, DTCC and other stakeholders; (9) assists in fostering the Applicant's ability to ensure compliance with applicable laws and regulations, including other applicable regulatory guidance and generally accepted standards; (10) reviews annually the Board's responsibilities as set forth in the Charter and recommends any changes; (11) performs annually an assessment of the skills and experience of the Board, to confirm consistency with composition expectations in the LLC Agreement; (12) conducts an annual self-assessment of its performance; and (13) performs such other functions as the Board believes appropriate or necessary, or as otherwise prescribed by the LLC Agreement or other applicable rules or regulations.[4] The LLC Agreement requires that the Applicant's Chair of the Board and General Manager also serve on the Board as representatives of DTCC.[5] DTCC has the power to remove any Manager with or without cause.[6]

The LLC Agreement requires the Applicant to have three officers: the Principal, the General Manager (together, the "Executive Officers"), and the Secretary.[7] The LLC Agreement also provides that DTCC, as Member, appoints and has the power to remove and fix the compensation of the Executive Officers and the Secretary.[8] Through the foregoing mechanisms, DTCC has the authority and the power to exercise control over the Applicant.

The Applicant is controlled by DTCC in several ways that are material to its operations and that provide additional oversight over the Applicant's activities. First, DTCC establishes and implements policies applicable to the Applicant, such as policies related to risk management and internal controls, information security, and governance. Second, DTCC periodically questions the Applicant and requests changes concerning the Applicant's business based on information received in reports submitted to the DTCC Board of Directors (the "DTCC Board") for review and comment, including, for example, the Applicant's audit reports and related metrics, key risks, budget, and business strategy. Third, DTCC's President of Clearing & Securities Services (who is also the Principal of the Applicant and the Chair of the Board), along with other DTCC management, as appropriate, provides reports to the DTCC Enterprise Services Committee and the Technology & Cyber Committee (each, a DTCC Board committee) at each regular meeting of such Committee. These reports often include information and updates on the Applicant's business matters, the Client Services, and technology used for the Client Services. The Applicant also keeps DTCC informed of its activities by sharing a summary of the Board meeting minutes with the DTCC Board.

The Applicant can report and escalate significant or material matters pertaining to the Applicant to DTCC executive management, which matters are then further reported/escalated to the DTCC Executive Committee (described below) and/or the DTCC Board, as appropriate. The Applicant's General Manager escalates items that they believe are important for review and awareness of DTCC, as Member, both as part of their day-to-day responsibilities (i.e., reporting matters to the Applicant's Principal (who is also a member of the DTCC Executive Committee), and as needed,

[4] LLC Agreement, Section VI(a)(i); DTCC ITP LLC Board of Managers Charter, Section IV. The Charter is Attachment E-2 to Exhibit E.
[5] LLC Agreement, Sections VI(b)(ii) and (iii).
[6] LLC Agreement, Section VI(a)(iii).
[7] LLC Agreement, Section VI(b)(i).
[8] LLC Agreement, Section VI(b)(i)(A).

to the Board either at a periodic Board meeting or at an off-cycle Board meeting, per the LLC Agreement.

The Applicant's matters are periodically reviewed by DTCC in the normal course of DTCC's review of the matters of each of its subsidiaries' businesses within various executive management committees (which are not DTCC Board committees) and according to their own charters. These committees include the DTCC Executive Committee, the DTCC Investment Executive Committee, the DTCC Management Risk Committee, and the DTCC Information Technology ("IT") Governance Committee.

The DTCC Executive Committee is chaired by the President and CEO of DTCC and generally meets biweekly. Among other things, the DTCC Executive Committee reviews enterprise-wide goals, budgets, and performance, including as those items relate to the Applicant. The DTCC Executive Committee provides oversight; recommends changes; approves material new business initiatives; assesses operating effectiveness; reviews organizational talent, succession planning, and compensation policy; and monitors significant regulatory matters.

The DTCC Investment Executive Committee is overseen by the DTCC Executive Committee. The DTCC Investment Executive Committee is chaired by a DTCC Executive Committee member and meets monthly. Among other things, the DTCC Investment Executive Committee oversees enterprise-wide annual IT investment demand planning and budget approval; reviews and approves off cycle investment funding; oversees investment initiatives including monitoring and challenging such initiatives; and escalates issues to the DTCC Executive Committee, including as those issues relate to the Applicant.

The DTCC Management Risk Committee is chaired by a member of the DTCC Executive Committee. The DTCC Management Risk Committee has been delegated by the DTCC Board Risk Committee the responsibility of implementing the DTCC risk management framework, including the Applicant's risk management framework. The DTCC Management Risk Committee, among other things, approves risk policy and risk tolerance statements; approves business continuity, resilience, and information security programs; approves the AML policy, sanctions policy and records management policy; reviews key risks and the functioning and adequacy of controls over such risks; escalates risk matters to the DTCC Board Risk Committee; and oversees compliance with regulatory requirements.

The DTCC IT Governance Committee is chaired by an IT Managing Director of DTCC. The DTCC IT Governance Committee meets bimonthly. The DTCC IT Governance Committee provides governance for DTCC's enterprise IT organization, including for the Applicant. Among other things, the DTCC IT Governance Committee facilitates oversight of DTCC's IT strategy; assesses performance and progress against that strategy and oversees technology capabilities; oversees the development of infrastructure capabilities, reviews production stability related services and capacity planning; provides guidance on IT architecture decisions; reviews IT Process Risk and Controls; reviews new initiatives and critical risk concerns; reviews material changes to IT policies; and escalates to the DTCC Executive Committee, as necessary.

Natural Persons Who Control the Applicant

The current Managers of the Board, along with their respective roles and contact information, can be found at https://auth.dtcc.com/about/businesses-and-subsidiaries/dtccitp, which is updated when there are changes. The Applicant does not view each individual Manager as having control over the Applicant as a result of his or her role as a Manager.

The Executive Officers and Secretary

The Applicant has the following Executive Officers and Secretary, each of whom is employed by a Service Provider affiliate of the Applicant and made available to the Applicant, pursuant to the Services Agreements, to act as Executive Officers or Secretary of the Applicant and to operate the Applicant's business. Service Providers and Services Agreements are described in Exhibit C.

Mr. Brian Steele
Chair of the Board
Principal of the Applicant
Managing Director of DTCC
570 Washington Boulevard
Jersey City, NJ 07310

Mr. Valentino Wotton
General Manager of the Applicant
Managing Director of DTCC
1 Snowden Street, Broadgate Quarter
London EC2A 2DQ
United Kingdom

Ms. Annette Nichols
Secretary of the Applicant
Executive Director, Secretary of DTCC
570 Washington Boulevard
Jersey City, NJ 07310