

## Direct Owners/Executive Officers

**Organization CRD Number: 15794**

**Organization Name: BNP PARIBAS SECURITIES CORP.**

**Organization SEC Number: 8-32682**

**Applicant Name: BNP PARIBAS SECURITIES CORP.**

**No IA Record**

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
BNP PARIBAS US WHOLESALE HOLDINGS, CORP	Domestic Entity	OWNER	12/1984	75% or more	Y	N	74-1953834
PLENTY, LLOYD SAMUEL	Individual	DIRECTOR	06/2018	Less than 5%	Y	N	<a href="#">4679805</a>
RICARD, PHILIPPE RAYMOND	Individual	DIRECTOR	06/2018	Less than 5%	Y	N	<a href="#">6986968</a>
DE LAMBILLY, HUBERT CHARLES	Individual	CHIEF EXECUTIVE OFFICER	10/2018	Less than 5%	Y	N	<a href="#">6948081</a>
HAWLEY, ROBERT WILLIAM JR	Individual	DIRECTOR	04/2014	Less than 5%	Y	N	<a href="#">828024</a>
ALTER, ANDREW WILLIAM	Individual	GENERAL COUNSEL	10/2008	Less than 5%	N	N	<a href="#">4183449</a>
MCCLOSKEY, THERESA ANN	Individual	CHIEF COMPLIANCE OFFICER	05/2019	Less than 5%	N	N	<a href="#">1525735</a>
HUTCHINSON, KATE ALEXANDRA MS	Individual	CHIEF OPERATIONS OFFICER	06/2020	Less than 5%	N	N	<a href="#">4424271</a>
FARRELL, MICHAEL F	Individual	CHIEF FINANCIAL OFFICER, FINOP	12/2017	Less than 5%	N	N	<a href="#">2562352</a>
HAWLEY, ROBERT WILLIAM JR	Individual	CHAIRMAN	09/2017	Less than 5%	Y	N	<a href="#">828024</a>
CASTILLO, SUSANNA BEATRIZ	Individual	CHIEF CONDUCT AND CONTROL OFFICER	04/2020	Less than 5%	N	N	<a href="#">4992387</a>
NUNN, GEORGE ALVARO	Individual	CHIEF OPERATING OFFICER	04/2019	Less than 5%	Y	N	<a href="#">2405499</a>

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