

List of Counterparties Rated by SVO

For Schedule DB, Part D, Section 1

December 31 2023

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NOTE:

An insurance company that wishes to be added to:

- the [List of Counterparties Rated by the SVO for Schedule DB, Part D, Section 1](#)

must file the counterparty with the SVO if they wish to obtain a final NAIC Designation for reporting purposes.

Please refer to the "Counterparties Designated By The SVO For Schedule DB, Part D, SECTION 1" in Part 2 of the Purposes and Procedures Manual for text discussing the Counterparty application process and a detailed discussion of the preliminary status of NAIC Designations assigned under this process.

If an insurance company doesn't file an annual update by June 1, 2021, the counterparty will be deleted from the List effective July 1, 2021. If deleted, the insurance company will have to submit an initial filing in order for the counterparty to be placed on the List.

Approved Counterparties

COUNTERPARTY NAME	LOCATION	EXCHANGE	DESIGNATION	APPROVAL DATE	EXPIRATION DATE
Abbey National Treasury Services PLC	London, UK	LSE	1.E	05/24/2023	06/30/2024
AIG Markets, Inc.	Wilton, CT	OTC	2.B	05/03/2023	06/30/2024
Australia & New Zealand Banking Group Ltd	Melbourne	OTC	1.D	05/17/2023	06/30/2024
Bank of America, N.A.	Charlotte, NC	NASDAQ	1.F	05/11/2023	06/30/2024
Bank of Montreal	Montreal, CA	TSE	1.C	05/24/2023	06/30/2024
Barclays Bank, Plc	London, UK	LSE	1.E	05/11/2023	06/30/2024
BNP Paribas	Paris, France	OTC	1.D	05/12/2023	06/30/2024
BofA Securities, Inc	New York, NY	NYSE	1.E	05/30/2023	06/30/2024
BofA Securities, Inc.	Wilmington, DE	NYSE	1.E	05/24/2023	06/30/2024
CANADIAN IMPERIAL BANK OF COMMERCE (CIBC)	TORONTO, CANADA	OTC	1.E	05/22/2023	06/30/2024
Citibank, N.A.	Sioux Falls, SD	NYSE	1.E	05/24/2023	06/30/2024
Citibank, NA	New York, NY	OTC	1.E	05/11/2023	06/30/2024
Citigroup Global Markets Inc.	New York, NY	NYSE	1.E	05/24/2023	06/30/2024
Corebridge Markets LLC	Houston, TX	OTC	2.A	05/03/2023	06/30/2024
Credit Agricole Corporate and Investment Bank	France	France	1.D	05/17/2023	06/30/2024
Credit Agricole Corporate and Investment Bank	Montrouge, France	PSE	1.D	05/24/2023	06/30/2024
Credit Suisse International	London, UK	OTC	1.G	05/17/2023	06/30/2024
Credit Suisse Securities (USA) LLC	New York, NY	NASDAQ	1.G	05/30/2023	06/30/2024
Credit Suisse Securities (USA) LLC	Wilmington, DE	NYSE	1.G	05/24/2023	06/30/2024
Deutsche Bank AG	Frankfurt, Germany	Frankfurt Stock Exchange	1.F	05/23/2023	06/30/2024
Deutsche Bank AG - London Branch	London, UK	NYSE	1.G	05/12/2023	06/30/2024
Deutsche Bank AG - New York Branch	New York, NY	NYSE	1.E	05/26/2023	06/30/2024
Fifth Third Bank, Ohio	Cincinnati, OH	OTC	1.G	05/17/2023	06/30/2024
Fortitude Life Insurance & Annuity Company	Jersey City, New Jersey	New York	2.A	05/02/2023	06/30/2024
Goldman Sachs & Co. LLC	New York, NY	NASDAQ	1.E	05/23/2023	06/30/2024
Goldman Sachs Bank USA	New York, NY	OTC	1.E	05/11/2023	06/30/2024
Goldman Sachs International	London, UK	London Stock Exchange	1.E	05/11/2023	06/30/2024
Goldman Sachs Mitsui Marine Derivative Products, Inc	New York, New York	NYSE	1.C	05/12/2023	06/30/2024
HSBC Bank PLC	London, UK	London Stock Exchange	1.E	05/30/2023	06/30/2024
HSBC Bank USA, N.A.	New York, NY	NASDAQ	1.E	05/11/2023	06/30/2024
HSBC Bank USA, N.A.	McClean, VA	NYSE	1.D	05/24/2023	06/30/2024
ING Capital Markets LLC	New York, NY	New York	1.D	05/27/2023	06/30/2024
ING Capital Markets LLC	Wilmington	NYSE	1.D	05/24/2023	06/30/2024
J.P. Morgan Securities, LLC	New York, NY	NASDAQ	1.D	05/11/2023	06/30/2024
J.P. Morgan Securities, LLC	Wilmington, DE	NYSE	1.C	05/24/2023	06/30/2024
Jefferies Financial Services, Inc.	New York, NY	OTC	2.B	05/11/2023	06/30/2024
JP Morgan Chase Bank, N.A.	Columbus, OH	NYSE	1.E	05/11/2023	06/30/2024
Merrill Lynch Capital Services, Inc.	New York	OTC	1.E	05/17/2023	06/30/2024
Mizuho Bank Ltd.	Tokyo, Japan	TSE/TYO	1.F	05/23/2023	06/30/2024
Mizuho Capital Markets LLC	New York, NY	NYSE	1.G	05/27/2023	06/30/2024
Mizuho Capital Markets LLC	Wilmington, DE	NYSE	1.F	05/24/2023	06/30/2024

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Morgan Stanley & Co. International Plc	London, UK	NASDAQ	1.E	05/23/2023	06/30/2024
Morgan Stanley & Co., LLC	New York, NY	NASDAQ	1.E	05/23/2023	06/30/2024
Morgan Stanley Capital Services LLC	Wilmington , DE	NYSE	1.C	05/24/2023	06/30/2024
Morgan Stanley Capital Services, Inc	New York, NY	OTC	1.E	05/11/2023	06/30/2024
MUFG Bank, LTD	New york	New York	1.E	05/17/2023	06/30/2024
MUFG Bank, Ltd.	Tokyo, Japan	TSE/TYO	1.F	07/27/2023	06/30/2024
National Australia Bank Limited	Melbourne, Australia	Australian Stock Exchange	1.D	05/23/2023	06/30/2024
NATIXIS	NY	OTC	1.D	05/17/2023	06/30/2024
Natixis S.A.	Paris, France	Paris Stock Exchange	1.E	05/23/2023	06/30/2024
Natwest Markets PLC	London, UK	London Stock Exchange	1.E	05/23/2023	06/30/2024
Nomura Global Financial Products, Inc	New York , NY	NYSE	1.G	05/24/2023	06/30/2024
PRUCO Life Insurance Company of Arizona	United States	OTC	1.D	05/02/2023	06/30/2024
Prudential Global Funding	Newark, NJ	OTC	1.E	05/02/2023	06/30/2024
Rabobank Nederland - NY Branch	New York, NY	OTC	1.C	05/12/2023	06/30/2024
Royal Bank of Canada	Toronto, Canada	Toronto Stock Exchange	1.D	05/24/2023	06/30/2024
SMBC Capital Markets Inc.	Wilmington , DE	NYSE	1.F	05/24/2023	06/30/2024
Societe Generale S.A.	Paris, France	Paris Stock Exchange	1.E	05/24/2023	06/30/2024
Swiss Re Risk Solutions Corporation	Wilmington, DE	N/A	1.F	05/02/2023	06/30/2024
Toronto Dominion Bank	Toronto, Canada	Toronto Stock Exchange	1.C	05/24/2023	06/30/2024
TRUIST BANK	Charlotte, NC	NYSE	1.G	05/22/2023	06/30/2024
UBS AG	Zurich, Switzerland	OTC	1.D	05/24/2023	06/30/2024
Wells Fargo Bank N.A.	Sioux Falls, SD	NYSE	1.D	05/24/2023	06/30/2024
Wells Fargo Bank N.A.	San Francisco, CA	OTC	1.D	05/11/2023	06/30/2024
Wells Fargo Securities, LLC	Charlotte, NC	NASDAQ	1.E	05/30/2023	06/30/2024

Expired Counterparties

COUNTERPARTY NAME	LOCATION	EXCHANGE	DESIGNATION	APPROVAL DATE	EXPIRATION DATE
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