

List of Counterparties Rated by SVO

For Schedule DB, Part D, Section 1

June 30 2025

The NAIC is the authoritative source for insurance industry information. Our expert solutions support the efforts of regulators, insurers and researchers by providing detailed and comprehensive insurance information. The NAIC offers a wide range of publications in the following categories:

Accounting & Reporting

Information about statutory accounting principles and the procedures necessary for filing financial annual statements and conducting risk-based capital calculations.

Consumer Information

Important answers to common questions about auto, home, health and life insurance — as well as buyer's guides on annuities, long-term care insurance and Medicare supplement plans.

Financial Regulation

Useful handbooks, compliance guides and reports on financial analysis, company licensing, state audit requirements and receiverships.

Legal

Comprehensive collection of NAIC model laws, regulations and guidelines; state laws on insurance topics; and other regulatory guidance on antifraud and consumer privacy.

Market Regulation

Regulatory and industry guidance on market-related issues, including antifraud, product filing requirements, producer licensing and market analysis.

NAIC Activities

NAIC member directories, in-depth reporting of state regulatory activities and official historical records of NAIC national meetings and other activities.

Special Studies

Studies, reports, handbooks and regulatory research conducted by NAIC members on a variety of insurance related topics.

Statistical Reports

Valuable and in-demand insurance industry-wide statistical data for various lines of business, including auto, home, health and life insurance.

Supplementary Products

Guidance manuals, handbooks, surveys and research on a wide variety of issues.

Capital Markets & Investment Analysis

Information regarding portfolio values and procedures for complying with NAIC reporting requirements.

White Papers

Relevant studies, guidance and NAIC policy positions on a variety of insurance topics.

For more information about NAIC publications, visit us at:

http://www.naic.org/prod_serv_home.htm

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 |
|---|-------------------------|--------------------------|-------------|---------------|-----------------|
| AIG Markets, Inc. | Wilton, CT | OTC | 2.A | 04/09/2025 | 06/30/2026 |
| Australia & New Zealand Banking Group Ltd | Melbourne | OTC | 1.D | 05/29/2025 | 06/30/2026 |
| Bank of America, N.A. | Charlotte, NC | NASDAQ | 1.C | 05/09/2025 | 06/30/2026 |
| Bank of Montreal | Montreal, CA | TSE | 1.C | 05/09/2025 | 06/30/2026 |
| Barclays Bank, Plc | London, UK | LSE | 1.E | 05/09/2025 | 06/30/2026 |
| BNP Paribas | Paris, France | OTC | 1.E | 05/09/2025 | 06/30/2026 |
| BofA Securities, Inc | New York, NY | NYSE | 1.E | 05/23/2025 | 06/30/2026 |
| BofA Securities, Inc. | Wilmington, DE | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| CANADIAN IMPERIAL BANK OF COMMERCE (CIBC) | TORONTO, CANADA | OTC | 1.D | 05/29/2025 | 06/30/2026 |
| Citibank, N.A. | Sioux Falls, SD | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| Citibank, NA | New York, NY | OTC | 1.E | 05/19/2025 | 06/30/2026 |
| Citigroup Global Markets Inc. | New York, NY | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| Cooperatieve Rabobank U.A. | Utrecht, Netherlands | LSE | 1.D | 05/09/2025 | 06/30/2026 |
| Corebridge Markets LLC | Houston, TX | OTC | 2.C | 04/09/2025 | 06/30/2026 |
| Credit Agricole Corporate and Investment Bank | Montrouge, France | PSE | 1.E | 05/09/2025 | 06/30/2026 |
| Credit Agricole Corporate and Investment Bank | France | France | 1.D | 05/19/2025 | 06/30/2026 |
| Credit Suisse International | London, UK | OTC | 1.D | 05/19/2025 | 06/30/2026 |
| Deutsche Bank AG | Frankfurt, Germany | Frankfurt Stock Exchange | 1.G | 05/09/2025 | 06/30/2026 |
| Deutsche Bank AG - London Branch | London, UK | NYSE | 1.F | 05/26/2024 | 06/30/2025 |
| Deutsche Bank AG - New York Branch | New York, NY | NYSE | 1.F | 05/19/2025 | 06/30/2026 |
| Fifth Third Bank, Ohio | Cincinnati, OH | OTC | 1.G | 05/29/2025 | 06/30/2026 |
| Fortitude Life Insurance & Annuity Company | Jersey City, New Jersey | New York | 2.A | 05/29/2025 | 06/30/2026 |
| Goldman Sachs & Co. LLC | New York, NY | NASDAQ | 1.E | 05/09/2025 | 06/30/2026 |
| Goldman Sachs Bank USA | New York, NY | OTC | 1.E | 05/09/2025 | 06/30/2026 |
| Goldman Sachs International | London, UK | London Stock Exchange | 1.E | 05/09/2025 | 06/30/2026 |
| GOLDMAN SACHS MITSUI MARINE DERIVATIVE PRODUCTS, L.P. | Wilmington, DE | OTC | 1.D | 05/30/2025 | 06/30/2026 |
| HSBC Bank PLC | London, UK | London Stock Exchange | 1.D | 05/09/2025 | 06/30/2026 |
| HSBC Bank USA, N.A. | McClean, VA | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| HSBC Bank USA, N.A. | New York, NY | NASDAQ | 1.D | 05/19/2025 | 06/30/2026 |
| ING Capital Markets LLC | New York, NY | New York | 1.D | 05/20/2025 | 06/30/2026 |
| ING Capital Markets LLC | Wilmington | NYSE | 1.D | 05/13/2025 | 06/30/2026 |
| J.P. Morgan Chase & Co. | New York, NY | NYSE | 1.E | 05/28/2025 | 06/30/2026 |
| J.P. Morgan Securities, LLC | New York, NY | NASDAQ | 1.D | 05/27/2025 | 06/30/2026 |
| J.P. Morgan Securities, LLC | Wilmington, DE | NYSE | 1.C | 05/09/2025 | 06/30/2026 |
| Jefferies Financial Services, Inc. | New York, NY | OTC | 2.B | 05/13/2025 | 06/30/2026 |
| JP Morgan Chase Bank, N.A. | Columbus, OH | NYSE | 1.C | 05/09/2025 | 06/30/2026 |
| JP MORGAN CHASE BANK, NATIONAL ASSOCIATION | NEW YORK BRANCH | NYSE | 1.C | 06/24/2024 | 06/30/2025 |
| Merrill Lynch Capital Services, Inc. | New York | OTC | 1.G | 05/29/2025 | 06/30/2026 |
| Mizuho Capital Markets LLC | Wilmington, DE | NYSE | 1.G | 05/09/2025 | 06/30/2026 |
| Mizuho Capital Markets LLC | New York, NY | NYSE | 1.F | 05/28/2025 | 06/30/2026 |

| COUNTERPARTY NAME | LOCATION | EXCHANGE | DESIGNATION | APPROVAL DATE | EXPIRATION DATE |
|--|----------------------|---------------------------|-------------|---------------|-----------------|
| Morgan Stanley & Co. International Plc | London, UK | NASDAQ | 1.C | 05/09/2025 | 06/30/2026 |
| Morgan Stanley Capital Services LLC | Wilmington , DE | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| Morgan Stanley Capital Services, Inc | New York, NY | OTC | 1.C | 05/20/2025 | 06/30/2026 |
| MUFG Bank, LTD | New york | New York | 1.G | 05/29/2025 | 06/30/2026 |
| MUFG Bank, Ltd. | Tokyo, Japan | TSE/TYO | 1.F | 05/09/2025 | 06/30/2026 |
| National Australia Bank Limited | Melbourne, Australia | Australian Stock Exchange | 1.D | 05/09/2025 | 06/30/2026 |
| NATIXIS | NY | OTC | 1.E | 05/29/2025 | 06/30/2026 |
| Natixis S.A. | Paris, France | Paris Stock Exchange | 1.E | 05/09/2025 | 06/30/2026 |
| Natwest Markets PLC | London, UK | London Stock Exchange | 1.E | 05/20/2025 | 06/30/2026 |
| Nomura Global Financial Products, Inc | New York , NY | NYSE | 1.G | 05/09/2025 | 06/30/2026 |
| PRUCO Life Insurance Company of Arizona | United States | OTC | 1.D | 05/29/2025 | 06/30/2026 |
| Prudential Global Funding | Newark, NJ | OTC | 1.E | 05/29/2025 | 06/30/2026 |
| Rabobank Nederland - NY Branch | New York, NY | OTC | 1.C | 05/20/2025 | 06/30/2026 |
| Royal Bank of Canada | Toronto, Canada | Toronto Stock Exchange | 1.C | 05/09/2025 | 06/30/2026 |
| SG Americas Securities, LLC | Wilmington, DE | NYSE | 1.F | 05/28/2025 | 06/30/2026 |
| SMBC Capital Markets Inc. | Wilmington , DE | NYSE | 1.F | 05/28/2025 | 06/30/2026 |
| Societe Generale - New York Branch | New York | NYS | 1.E | 05/29/2025 | 06/30/2026 |
| Societe Generale S.A. | Paris, France | Paris Stock Exchange | 1.E | 05/09/2025 | 06/30/2026 |
| Swiss Re Corporate Solutions Global Markets Inc. | New York, NY | Swiss Exchange | 1.D | 04/11/2024 | 06/30/2025 |
| Swiss Re Risk Solutions Corporation | Wilmington, DE | N/A | 1.E | 05/13/2025 | 06/30/2026 |
| Toronto Dominion Bank | Toronto, Canada | Toronto Stock Exchange | 1.C | 05/09/2025 | 06/30/2026 |
| TRUIST BANK | Charlotte, NC | NYSE | 1.G | 05/29/2025 | 06/30/2026 |
| UBS AG | Zurich, Switzerland | OTC | 1.E | 05/09/2025 | 06/30/2026 |
| Wells Fargo Bank N.A. | Sioux Falls, SD | NYSE | 1.E | 05/09/2025 | 06/30/2026 |
| Wells Fargo Bank N.A. | San Francisco, CA | OTC | 1.D | 05/28/2025 | 06/30/2026 |
| Wells Fargo Securities, LLC | Wilmington , DE | NYSE | 1.E | 05/09/2025 | 06/30/2026 |

Expired Counterparties

| COUNTERPARTY NAME | LOCATION | EXCHANGE | DESIGNATION | APPROVAL DATE | EXPIRATION DATE |
|-------------------|----------|----------|-------------|---------------|-----------------|
|-------------------|----------|----------|-------------|---------------|-----------------|