

**Part I: Identifying Information**

**Item 8:** Attach as Exhibit 1, the most recently filed or amended Schedule A of Form BD for the Broker-Dealer Operator disclosing information related to direct owners and executive officers.

**Schedule A –Direct Owners**

| Full Legal Name             | CRD / Tax ID | Entity Type     | Roles  | Date Role Acquired | Ownership % | Control Person | Public Reporting Company |
|-----------------------------|--------------|-----------------|--|--------------------|-------------|----------------|--------------------------|
| NB Holdings Corporation     | 56-1857749   | Domestic Entity | Sole Stockholder                                       | 05/2019            | 75 or more  | Y              | N                        |
| Rae, Glen Alexander         | 6300829      | Individual      | Chief Legal Officer                                    | 08/2019            | Less than 5 | N              | N                        |
| Guardino, Joseph Anthony Jr | 2907957      | Individual      | Chief Operations Officer & FINOP                       | 09/2015            | Less than 5 | N              | N                        |
| Alam, Syed Faruqe           | 2394838      | Individual      | Chief Financial Officer                                | 09/2019            | Less than 5 | N              | N                        |
| Zuberi, Soofian J Jalil     | 2372292      | Individual      | Director & Chief Executive Officer                     | 02/2022            | Less than 5 | Y              | N                        |
| Chepucavage, Laura P        | 4672504      | Individual      | Director   | 02/2022            | Less than 5 | Y              | N                        |
| Gadkari, Sarang Rajan       | 2522409      | Individual      | Director   | 02/2022            | Less than 5 | Y              | N                        |
| Magasiner, Andrei Grischa   | 4368115      | Individual      | Director   | 02/2022            | Less than 5 | Y              | N                        |
| Bhatia, Kashyap P           | 6110368      | Individual      | Chief Compliance Officer/Broker-Dealer                 | 08/2022            | Less than 5 | N              | N                        |
| Bliss, Claire Renee         | 6588570      | Individual      | Chief Compliance Officer/Registered Investment Adviser | 09/2022            | Less than 5 | N              | N                        |