

Primary Business Name: ONECHRONOS

BD Number: 286322

BD - AMENDMENT

07/20/2023

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the *applicant* required to be reported on Schedule B?

☒ Yes ☐ No

Ownership Codes: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%
A - 5% but less than 10% C - 25% but less than 50% E - 75% or more

| Full Legal Name | DE/FE/I | Title or Status | Date Acquired | Own. Code | Control Person | PR | CRD #(or S.S.No., IRS Tax #, Emp. ID) |
|------------------------|---------|--|---------------|-----------|----------------|----|---------------------------------------|
| DAN, BERNARD WILLIAM | I | CEO | 12/2016 | NA | Y | N | 2421761 |
| DORSEY, MICHAEL THOMAS | I | CHIEF COMPLIANCE OFFICER | 03/2022 | NA | N | N | 2560077 |
| DOYLE, KEVIN | I | DIRECTOR | 12/2016 | NA | N | N | xxx-xx-xxxx |
| HARPEL, JEFFREY KEITH | I | FINOP, PRINCIPAL FINANCIAL OFFICER, PRINCIPAL OPERATIONS OFFICER | 04/2017 | NA | N | N | 1367784 |
| JOHNSON, STEPHEN DAVID | I | DIRECTOR | 12/2016 | NA | Y | N | xxx-xx-xxxx |
| LITTLEPAGE, KELLY C | I | DIRECTOR | 12/2016 | NA | Y | N | xxx-xx-xxxx |
| OCX GROUP INC | DE | SOLE MEMBER | 12/2016 | E | Y | N | 47-4149392 |
| SUTH, RICHARD JR | I | DIRECTOR | 03/2017 | NA | N | N | 2164733 |