

Primary Business Name: ONECHRONOS

BD Number: 286322

BD - AMENDMENT

11/13/2023

**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                               |