

**Primary Business Name: BLUE OCEAN ATS****BD Number: 306512****BD - AMENDMENT****11/17/2020****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)
BEATON, DANIEL STEWART	I	CHIEF FINANCIAL OPERATIONS PRINCIPAL	09/2020	NA	N	N	4240769
BLUE OCEAN TECHNOLOGIES, LLC	DE	MANAGING MEMBER	10/2019	E	Y	N	84-3422717
SHINNICK, GREGORY DANIEL	I	CCO/MANAGING DIRECTOR	11/2019	NA	Y	N	2421941