

**Primary Business Name: BLUE OCEAN ATS****BD Number: 306512****BD - AMENDMENT****11/12/2021****BD - INDIRECT OWNERS**

<b>Ownership Codes:</b>	<b>C - 25% but less than 50%</b>	<b>E - 75% or more</b>
	<b>D - 50% but less than 75%</b>	<b>F - Other General Partners</b>

<b>Full Legal Name</b>	<b>DE/FE/I</b>	<b>Entity in Which Interest is Owned</b>	<b>Status</b>	<b>Date Acquired</b>	<b>Own. Code</b>	<b>Control Person</b>	<b>PR</b>	<b>CRD # (or SSN, IRS Tax #, Emp. ID)</b>
BLUE OCEAN FINANCIAL TECHNOLOGY PTE. LTD.	FE	BLUE OCEAN TECHNOLOGIES, LLC	MEMBER	12/2016	C	Y	N	FOREIGN
SHINNICK, GREGORY DANIEL	I	BLUE OCEAN FINANCIAL TECHNOLOGY PTE. LTD.	SHAREHOLDER	09/2015	C	Y	N	2421941
URBANA CORPORATION	FE	URBANA INTERNATIONAL INC.	SHAREHOLDER	04/2021	E	Y	Y	FOREIGN
URBANA INTERNATIONAL DE INC.		BLUE OCEAN TECHNOLOGIES LLC	MEMBER	06/2021	C	Y	N	38-4179744