

**Primary Business Name: BLUE OCEAN ATS****BD Number: 306512****BD - AMENDMENT****11/12/2021****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
BROWN, JASON MATTHEW	I	HEAD OF SALES AND ATS OPERATIONS	08/2021	NA	Y	N	2334010
PAVERMAN, MARK ELLIOT	I	CHIEF COMPLIANCE OFFICER	10/2021	NA	N	N	1046105
SHINNICK, GREGORY DANIEL	I	MANAGING DIRECTOR	11/2019	NA	Y	N	2421941