

SCHEDULE A Primary Business Name: BLUE OCEAN ATS

BD Number: 306512

BD - AMENDMENT**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	P R	CRD #(or S.S.No., IRS Tax #, Emp. ID)
BEATON, DANIEL STEWART	I	CHIEF FINANCIAL OPERATIONS PRINCIPAL	09/2020	NA		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
HYNDMAN, BRIAN KEITH	I	PRESIDENT/COO	06/2022	NA	N	N	2281837

SCHEDULE B**Primary Business Name: BLUE OCEAN ATS****BD Number: 306512****BD - AMENDMENT****BD - INDIRECT OWNERS**

Ownership Codes: **C - 25% but less than 50%**
 D - 50% but less than 75%

Full Legal Name	DE/FE/I	Entity in Which Interest is Owned	Status	Date Acquired	Own. Code	Control Person	PR	CRD # (or SSN, IRS Tax #, Emp. ID)
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