

Primary Business Name: BLUE OCEAN ATS**BD Number: 306512****BD - AMENDMENT****05/30/2023****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) |
|------------------------------|---------|--------------------------------------|---------------|-----------|----------------|----|---------------------------------------|
| 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 |
| HYNDMAN, BRIAN KEITH | I | PRESIDENT/COO | 06/2022 | NA | N | N | 2281837 |
| PAVERMAN, MARK ELLIOT | I | CHIEF COMPLIANCE OFFICER & CEO | 10/2021 | NA | N | N | 1046105 |