

BD - DIRECT OWNERS/EXECUTIVE OFFICERSAre 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) |
|--|---------|--|-----------------------|-----------|----------------|----|---------------------------------------|
| ANDERSON, AUREL DAVINA | I | PRESIDENT | 10/2020 | NA | Y | N | 6573760 |
| KAPPOTIS, ERNEST DOMENIC GEORGE, KENNETH RONALD | I | PRINCIPAL FINANCIAL OFFICER AND PRINCIPAL OPERATIONS OFFICER | 0603 /2021 | NA | N | N | 48712512643369 |
| MATTEINI, FRANCESCO | I | CCO | 01/2017 | NA | N | N | 4991747 |
| USTOCKTRADE, LLC | DE | OWNER | 09/2014 | E | Y | N | 37-1601779 |