

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)
ABREU, JULIAN JAVIER	I	ROSFP - PRIME SERVICES	03/2019	NA	N	N	5160018
BANCONE, ANTHONY	I	ROSFP - DISTRIBUTION	08/2013	NA	N	N	1790892
BARCLAYS GROUP US INC.	DE	OWNS BARCLAYS CAPITAL INC.	12/1999	E	Y	N	13-3249618
SMITH, DANIEL DAVID	I	BOARD DIRECTOR	12/2023	NA	Y	N	5500659
SMITH, DANIEL DAVID WESTWOOD, JAI	I	CHIEF OPERATIONS OFFICER	12/2023 08/2024	NA	Y	N	5500659 4611538
JAISING, RAHUL	I	ROSFP - PRIME SERVICES	08/2013	NA	N	N	4754959
MOGAVERO, ANDREW MICHAEL	I	CHIEF EXECUTIVE OFFICER	05/2024	NA	Y	N	3247485
MATHIS, CAROL PEDERSEN	I	CHIEF FINANCIAL OFFICER	12/2020	NA	N	N	4322657
MELI, JEFFREY ANTHONY	I	HEAD OF RESEARCH	07/2015	NA	N	N	4477654

O'CONNOR, CLAIRE SCHOLZ	I	BOARD DIRECTOR	09/2018	NA	Y	N	1907247
SHALA, LUAN	I	BOARD DIRECTOR	05/2021	NA	Y	N	4543214
SMITH, JULIETTE SARA	I	CHIEF LEGAL OFFICER	02/2021	NA	N	N	5696210
ZACHARIA, ZACHARIA	I	CHIEF COMPLIANCE OFFICER	05/2019	NA	N	N	2440444
