

**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) |
|-------------------------|---------|--------------------------|---------------|-----------|----------------|----|---------------------------------------|
|                         |         |                          |               |           |                |    |                                       |
| FREDERICK, CHARLES      | I       | PRESIDENT                | 1/2026        | NA        | Y              | N  | 3272244                               |
| RICHMOND, LAUREE        | I       | GFO, FINOP               | 03/2024       | NA        | N              | N  | 5115429                               |
| CHEN, DENNO MIN-WEI     | I       | CHIEF COMPLIANCE OFFICER | 01/2025       | NA        | N              | N  | 8012832                               |
| DISPIGNA, RALPH JOHN    | I       | DIRECTOR, HEAD OF SALES  | 1/2026        | NA        | N              | N  | 6507539                               |
| ANGELA HAJEK            | I       | FINOP                    | 07/2026       | NA        | N              | N  | 5163386                               |
| TMX U.S. HOLDINGS, INC. | DE      | SHAREHOLDER              | 08/2023       | E         | Y              | N  | 38-4285659                            |