

## BrokerCheck Report

### DIGITAL BROKERAGE SERVICES LLC

CRD# 308213

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## DIGITAL BROKERAGE SERVICES LLC

CRD# 308213

SEC# 8-70512

### Main Office Location

499 WASHINGTON BLVD  
JERSEY CITY, NJ 07310  
Regulated by FINRA Woodbridge Office

### Mailing Address

TWO DESTINY WAY  
MAIL ZONE WG3D  
WESTLAKE, TX 76262

### Business Telephone Number

833-327-3444

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a limited liability company.  
This firm was formed in Delaware on 02/27/2020.  
Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 6



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 02/27/2020.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### DIGITAL BROKERAGE SERVICES LLC

Doing business as DIGITAL BROKERAGE SERVICES LLC

CRD# 308213

SEC# 8-70512

### Main Office Location

499 WASHINGTON BLVD  
JERSEY CITY, NJ 07310

Regulated by FINRA Woodbridge Office

### Mailing Address

TWO DESTINY WAY  
MAIL ZONE WG3D  
WESTLAKE, TX 76262

### Business Telephone Number

833-327-3444



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	FIDELITY GLOBAL BROKERAGE GROUP, INC.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	MEMBER
<b>Position Start Date</b>	02/2020
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	ABRAMOV, NATELLI 4330056
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL FINANCIAL OFFICER
<b>Position Start Date</b>	01/2025
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CULLARO, GIUSEPPE SALVATORE 4738727
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRESIDENT, CHIEF EXECUTIVE OFFICER
<b>Position Start Date</b>	07/2025

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** HUNT, JON PETER  
2270130

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRINCIPAL OPERATIONS OFFICER

**Position Start Date** 01/2025

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** MCGINTY, JOHN JR.  
5560420

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 04/2021

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** O'BRIEN, EDWARD DANIEL

## Firm Profile



### Direct Owners and Executive Officers (continued)

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Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	10/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	WEAVER, BRYAN ROBERT 2933941
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF LEGAL OFFICER
Position Start Date	07/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No
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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



### Indirect Owners

Legal Name & CRD# (if any):	FMR LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FIDELITY GLOBAL BROKERAGE GROUP, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	10/2018
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	11/24/2020

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	11/24/2020



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	12/02/2020
Alaska	Approved	12/03/2020
Arizona	Approved	12/08/2020
Arkansas	Approved	12/01/2020
California	Approved	11/30/2020
Colorado	Approved	12/04/2020
Connecticut	Approved	12/09/2020
Delaware	Approved	12/08/2020
District of Columbia	Approved	11/30/2020
Florida	Approved	03/01/2021
Georgia	Approved	11/25/2020
Hawaii	Approved	12/02/2020
Idaho	Approved	12/01/2020
Illinois	Approved	12/07/2020
Indiana	Approved	12/07/2020
Iowa	Approved	11/30/2020
Kansas	Approved	12/01/2020
Kentucky	Approved	09/02/2020
Louisiana	Approved	12/01/2020
Maine	Approved	12/02/2020
Maryland	Approved	12/04/2020
Massachusetts	Approved	12/24/2020
Michigan	Approved	10/02/2020
Minnesota	Approved	05/12/2021
Mississippi	Approved	09/29/2020
Missouri	Approved	12/18/2020
Montana	Approved	12/02/2020
Nebraska	Approved	11/30/2020
Nevada	Approved	12/03/2020
New Hampshire	Approved	11/30/2020
New Jersey	Approved	11/30/2020
New Mexico	Approved	11/30/2020
New York	Approved	11/30/2020

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	12/03/2020
North Dakota	Approved	12/07/2020
Ohio	Approved	11/27/2020
Oklahoma	Approved	12/03/2020
Oregon	Approved	11/30/2020
Pennsylvania	Approved	12/04/2020
Puerto Rico	Approved	12/03/2020
Rhode Island	Approved	11/30/2020
South Carolina	Approved	12/01/2020
South Dakota	Approved	11/30/2020
Tennessee	Approved	12/10/2020
Texas	Approved	12/02/2020
Utah	Approved	11/30/2020
Vermont	Approved	12/01/2020
Virgin Islands	Approved	02/05/2021
Virginia	Approved	11/30/2020
Washington	Approved	12/04/2020
West Virginia	Approved	12/01/2020
Wisconsin	Approved	12/01/2020
Wyoming	Approved	12/04/2020



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 4 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Mutual fund retailer

Non-exchange member arranging for transactions in listed securities by exchange member

Other - THE APPLICANT WILL OFFER INDIVIDUAL BROKERAGE ACCOUNTS FOR NEW INVESTORS THROUGH A MOBILE APPLICATION TO PURCHASE AND SELL EQUITY PRODUCTS THAT INCLUDE NATIONAL MARKET SECURITIES, MUTUAL FUNDS AND ETFS.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:



## Firm Operations

### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

**Name:** GREEN PIER FINTECH LLC

**CRD #:** 313305

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 10/14/2024

**Description:** THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, GREEN PIER FINTECH LLC ("GREEN PIER"), FOR SECURITIES CLEARANCE AND SETTLEMENT SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, GREEN PIER MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, GREEN PIER WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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**Name:** NATIONAL FINANCIAL SERVICES LLC

**CRD #:** 13041

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 04/01/2020

**Description:** THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, NATIONAL FINANCIAL SERVICES LLC ("NFS"), FOR SECURITIES CLEARANCE AND SETTLEMENT SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, NFS MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, NFS WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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**Name:** FIDELITY BROKERAGE SERVICES LLC

**CRD #:** 7784

**Business Address:** 900 SALEM STREET

## Firm Operations



### Introducing Arrangements

**This firm does refer or introduce customers to other brokers and dealers.**

SMITHFIELD, RI 02917

**Effective Date:** 04/01/2020

**Description:** THE APPLICANT MAY REFER CUSTOMERS ON A FULLY DISCLOSED BASIS TO ITS AFFILIATE, FIDELITY BROKERAGE SERVICES LLC.

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## Firm Operations

### Industry Arrangements



**This firm does have books or records maintained by a third party.**

**Name:** GREEN PIER FINTECH LLC  
**CRD #:** 313305  
**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210  
**Effective Date:** 10/14/2024  
**Description:** THE MAINTENANCE AND PREPARATION OF APPLICANT'S REQUIRED BOOKS AND RECORDS WILL BE PERFORMED BY GREEN PIER FINTECH LLC IN ITS CAPACITY AS THE AFFILIATED CLEARING FIRM FOR APPLICANT.

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**Name:** HYLAND SOFTWARE, INC.  
**Business Address:** 28105 CLEMENS RD.  
WESTLAKE, OH 44145-1145  
**Effective Date:** 01/10/2024  
**Description:** CLOUD BASED WORM STORAGE FOR CERTAIN RECORDS THROUGH NUXEO APPLICATION.

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**Name:** ALLEGO  
**Business Address:** 117 KENDRICK STREET  
SUITE 900  
NEEDHAM, MA 02494  
**Effective Date:** 03/11/2021  
**Description:** THIS ENTITY MAINTAINS ELECTRONIC RECORDS OF SALES TRAINING MATERIALS

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**Name:** NATIONAL FINANCIAL SERVICES LLC  
**CRD #:** 13041  
**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210  
**Effective Date:** 01/01/2021  
**Description:** THE MAINTENANCE AND PREPARATION OF APPLICANT'S REQUIRED BOOKS AND RECORDS WILL BE PERFORMED BY NATIONAL FINANCIAL SERVICES LLC IN ITS CAPACITY AS THE AFFILIATED CLEARING FIRM FOR APPLICANT.

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## Firm Operations



### Industry Arrangements (continued)

<b>Name:</b>	AMAZON WEB SERVICES
<b>Business Address:</b>	410 TERRY AVENUE NORTH SEATTLE, WA 98109
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	CLOUD SERVICES OFFERED THROUGH AMAZON SIMPLE STORAGE SERVICE("S3").
<b>Name:</b>	MICROSOFT CORPORATION
<b>Business Address:</b>	ONE MICROSOFT WAY REDMOND, WA 98052-6399
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	CLOUD SERVICES OFFERED THROUGH MICROSOFT'S ONLINE SERVICE SUBSCRIPTIONS FOR EXCHANGE ONLINE, SHAREPOINT ONLINE, ONE DRIVE BUSINESS, TEAMS AND IMMUTABLE STORAGE FOR AZURE BLOBS("SERVICES").
<b>Name:</b>	FIDELITY GLOBAL BROKERAGE GROUP, INC.
<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02210
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	THE APPLICANT IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC., WHICH MAY PERFORM THE MAINTENANCE AND PREPARATION OF APPLICANT'S REQUIRED BOOKS AND RECORDS.
<b>Name:</b>	GLOBAL RELAY COMMUNICATIONS INC.
<b>Business Address:</b>	220 CAMBIE STREET 2ND FLOOR VANCOUVER, CANADA V6B 2M9
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	GLOBAL RELAY RETAINS AND STORES E-COMMUNICATIONS.
<b>Name:</b>	IRON MOUNTAIN
<b>Business Address:</b>	745 ATLANTIC AVENUE BOSTON, MA 02111
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	MAINTAINS LEGACY PAPER RECORDS.



## Firm Operations



### Industry Arrangements (continued)

This firm does have accounts, funds, or securities maintained by a third party.

**Name:** GREEN PIER FINTECH LLC

**CRD #:** 313305

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 10/14/2024

**Description:** THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, GREEN PIER FINTECH LLC ("GREEN PIER"), FOR SECURITIES CLEARANCE AND SETTLEMENT SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, GREEN PIER MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, GREEN PIER WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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**Name:** NATIONAL FINANCIAL SERVICES LLC

**CRD #:** 13041

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 04/01/2020

**Description:** THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, NATIONAL FINANCIAL SERVICES LLC ("NFS"), FOR SECURITIES CLEARANCE AND SETTLEMENT SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, NFS MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, NFS WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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This firm does have customer accounts, funds, or securities maintained by a third party.

**Name:** GREEN PIER FINTECH LLC

**CRD #:** 313305

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 10/14/2024

**Description:** THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, GREEN PIER FINTECH LLC ("GREEN PIER"), FOR SECURITIES CLEARANCE AND SETTLEMENT

## Firm Operations



### Industry Arrangements (continued)

SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, GREEN PIER MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, GREEN PIER WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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<b>Name:</b>	NATIONAL FINANCIAL SERVICES LLC
<b>CRD #:</b>	13041
<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02210
<b>Effective Date:</b>	04/01/2020
<b>Description:</b>	THE APPLICANT WILL INTRODUCE ITS CUSTOMERS' ACCOUNTS ON A FULLY-DISCLOSED BASIS TO ITS AFFILIATE, NATIONAL FINANCIAL SERVICES LLC ("NFS"), FOR SECURITIES CLEARANCE AND SETTLEMENT SERVICES IN ACCORDANCE WITH SEC RULE 15C3-3(K)(2)(II). AS SUCH, NFS MAY HOLD OR MAINTAIN INTRODUCED CUSTOMERS' FUNDS AND/OR SECURITIES. IN ADDITION, NFS WILL HOLD PROPRIETARY ACCOUNTS FOR THE APPLICANT IN CONNECTION WITH THE FOREGOING.

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### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**GREEN PIER FINTECH LLC is under common control with the firm.**

<b>CRD #:</b>	313305
<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02210
<b>Effective Date:</b>	01/19/2022
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP INC. GREEN PIER FINTECH LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP INC.

**FIDELITY DIVERSIFYING SOLUTIONS LLC is under common control with the firm.**

<b>CRD #:</b>	315088
<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02210
<b>Effective Date:</b>	10/31/2021
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** FIDELITY DIVERSIFYING SOLUTIONS LLC IS A WHOLLY-OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY-OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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**FIDELITY INSTITUTIONAL WEALTH ADVISER LLC is under common control with the firm.**

**CRD #:** 301896

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY INSTITUTIONAL WEALTH ADVISER LLC IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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**FIDELITY PRIME FINANCING is under common control with the firm.**

**CRD #:** 299736

**Business Address:** 155 SEAPORT BOULEVARD  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** FIDELITY PRIME FINANCING, LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL

## Firm Operations



### Organization Affiliates (continued)

BROKERAGE GROUP, INC.

#### LEVEL MARKETS, LLC is under common control with the firm.

<b>CRD #:</b>	171752
<b>Business Address:</b>	99 SUMMER STREET SUITE 1700 BOSTON, MA 02210
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	LEVEL MARKETS, LLC. IS A REGISTERED BROKER-DEALER THAT IS A WHOLLY-OWNED SUBSIDIARY OF LEVEL HOLDINGS, LLC. FIDELITY GLOBAL BROKERAGE GROUP, INC. AND FMR SAKURA HOLDINGS, INC., BOTH WHOLLY-OWNED SUBSIDIARIES OF FMR LLC, HAVE MEMBERSHIP INTERESTS IN LEVEL HOLDINGS, LLC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

#### NATIONAL FINANCIAL SERVICES LLC is under common control with the firm.

<b>CRD #:</b>	13041
<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02210
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** NATIONAL FINANCIAL SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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**IMPRESA MANAGEMENT LLC is under common control with the firm.**

**CRD #:** 168741

**Business Address:** 255 STATE STREET  
BOSTON, MA 02109

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** IMPRESA MANAGEMENT LLC IS AN INDEPENDENTLY OWNED REGISTERED INVESTMENT ADVISER TO CERTAIN EMPLOYEES' SECURITIES COMPANIES AND PRIVATE FUNDS. THE OWNERS OF IMPRESA MANAGEMENT LLC INCLUDE VARIOUS SHAREHOLDERS OF FMR LLC WHO CONTROL FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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**FIDELITY BUSINESS SERVICES INDIA PRIVATE LIMITED is under common control with the firm.**

**Business Address:** PINEHURST EMBASSY GOLF LINKS BUSINESS PARK OFF.  
INTERMEDIATE RING RD KORAMANGALA  
BANGALORE, INDIA 560038

**Effective Date:** 02/27/2020

**Foreign Entity:** Yes

**Country:** INDIA

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY BUSINESS SERVICES INDIA PRIVATE LIMITED IS A MAJORITY OWNED SUBSIDIARY OF FIDELITY INVESTMENT SYSTEMS INDIA INC., WHICH IS IN TURN A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC

## Firm Operations



### Organization Affiliates (continued)

IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY PERSONAL TRUST COMPANY FSB is under common control with the firm.

**Business Address:** 245 SUMMER STREET  
MZ7B  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY PERSONAL TRUST COMPANY FSB IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY THRIFT HOLDING COMPANY INC. FIDELITY THRIFT HOLDING COMPANY INC IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY MANAGEMENT & RESEARCH (JAPAN) LIMITED is under common control with the firm.

**Business Address:** KAMIYACHO PRIME PLACE AT 1-17  
TORANOMON-4-CHOME MANTO-KU  
TOKYO, JAPAN

**Effective Date:** 02/27/2020

**Foreign Entity:** Yes

**Country:** JAPAN

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY MANAGEMENT & RESEARCH (JAPAN) LIMITED IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY MANAGEMENT & RESEARCH COMPANY. FIDELITY MANAGEMENT & RESEARCH COMPANY IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY

## Firm Operations



### Organization Affiliates (continued)

GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY MANAGEMENT & RESEARCH (HONG KONG) LIMITED is under common control with the firm.

<b>CRD #:</b>	148045
<b>Business Address:</b>	FLOOR 9 CONNAUGHT RD CENTRAL HONG KONG, HONG KONG
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	HONG KONG
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	FIDELITY MANAGEMENT & RESEARCH (HONG KONG) LIMITED IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY MANAGEMENT & RESEARCH COMPANY. FIDELITY MANAGEMENT & RESEARCH COMPANY IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY CLEARING CANADA ULC is under common control with the firm.

<b>Business Address:</b>	483 BAY STREET SUITE 200 TORONTO, CANADA M5G 2N7
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	CANADA
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	FIDELITY CLEARING CANADA ULC IS A WHOLLY OWNED SUBSIDIARY OF BLUE JAY LUX 2 SARL, WHICH IS IN TURN WHOLLY OWNED BY 483 BAY STREET HOLDINGS LP, A JOINT VENTURE BETWEEN FIDELITY CANADA INVESTORS LLC AND FIL LIMITED. FIDELITY CANADA INVESTORS LLC IS



## Firm Operations



### Organization Affiliates (continued)

OWNED BY THE SHAREHOLDERS WHO CONTROL FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC., OF WHICH DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY.

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#### FIDELITY (CANADA) ASSET MANAGEMENT ULC is under common control with the firm.

**Business Address:** 483 BAY STREET  
SUITE 200  
TORONTO, CANADA M5G 2N7

**Effective Date:** 02/27/2020

**Foreign Entity:** Yes

**Country:** CANADA

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY (CANADA) ASSET MANAGEMENT ULC IS A WHOLLY OWNED SUBSIDIARY OF BLUE JAY LUX 2 SARL, WHICH IS IN TURN WHOLLY OWNED BY 483 BAY STREET HOLDINGS LP, A JOINT VENTURE BETWEEN FIDELITY CANADA INVESTORS LLC AND FIL LIMITED. FIDELITY CANADA INVESTORS LLC IS OWNED BY THE SHAREHOLDERS WHO CONTROL FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC., OF WHICH DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY.

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#### FIDELITY INSTITUTIONAL ASSET MANAGEMENT TRUST COMPANY is under common control with the firm.

**Business Address:** 245 SUMMER STREET  
MZ F7B  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY INSTITUTIONAL ASSET MANAGEMENT TRUST COMPANY IS WHOLLY OWNED BY FIAM HOLDINGS LLC. FIAM HOLDINGS LLC IS A

## Firm Operations



### Organization Affiliates (continued)

WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIAM LLC is under common control with the firm.

<b>CRD #:</b>	133196
<b>Business Address:</b>	900 SALEM STREET SMITHFIELD, RI 02917
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	FIAM LLC IS A WHOLLY OWNED SUBSIDIARY OF FIAM HOLDINGS LLC. FIAM HOLDINGS LLC IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY- OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY GLOBAL BROKERAGE GROUP, INC. controls the firm.

<b>Business Address:</b>	245 SUMMER STREET MZ F7B BOSTON, MA 02210
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY INVESTMENTS CANADA ULC is under common control with the firm.

## Firm Operations



### Organization Affiliates (continued)

<b>Business Address:</b>	483 BAY STREET SUITE 200 TORONTO, CANADA M5G 2N7
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	CANADA
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	FIDELITY INVESTMENTS CANADA ULC IS A WHOLLY OWNED SUBSIDIARY OF FIC HOLDINGS ULC, WHICH IS IN TURN WHOLLY OWNED BY BLUE JAY LUX 1 SARL. BLUE JAY LUX 1 SARL IS WHOLLY OWNED BY 483A BAY STREET HOLDINGS LP, A JOINT VENTURE BETWEEN FIDELITY CANADA INVESTORS LLC AND FIL LIMITED. FIDELITY CANADA INVESTORS LLC IS OWNED BY THE SHAREHOLDERS WHO CONTROL FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. OF WHICH DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY.

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#### FIDELITY MANAGEMENT TRUST COMPANY is under common control with the firm.

<b>Business Address:</b>	245 SUMMER STREET BOSTON, MA 02110
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	FIDELITY MANAGEMENT TRUST COMPANY IS A WHOLLY-OWNED SUBSIDIARY OF FMTC HOLDINGS LLC. FMTC HOLDINGS LLC IS A WHOLLY-OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY-OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC

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#### FIDELITY DISTRIBUTORS COMPANY LLC is under common control with the firm.

## Firm Operations



### Organization Affiliates (continued)

**CRD #:** 17507

**Business Address:** 100 SALEM STREET  
SMITHFIELD, RI 02917

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** FIDELITY DISTRIBUTORS COMPANY LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FMR INVESTMENT MANAGEMENT (UK) LIMITED is under common control with the firm.

**CRD #:** 108273

**Business Address:** 1 ST MARTINS LE GRAND  
LONDON, ENGLAND EC1A4AS

**Effective Date:** 02/27/2020

**Foreign Entity:** Yes

**Country:** ENGLAND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FMR INVESTMENT MANAGEMENT (UK) LIMITED IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY MANAGEMENT & RESEARCH (UK) INC., WHICH IS IN TURN A WHOLLY OWNED SUBSIDIARY OF FIDELITY MANAGEMENT & RESEARCH COMPANY. FIDELITY MANAGEMENT & RESEARCH COMPANY IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY MANAGEMENT & RESEARCH COMPANY LLC is under common control with the firm.

**CRD #:** 108281

## Firm Operations



### Organization Affiliates (continued)

**Business Address:** 245 SUMMER STREET  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** FIDELITY MANAGEMENT & RESEARCH COMPANY IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### FIDELITY BROKERAGE SERVICES LLC is under common control with the firm.

**CRD #:** 7784

**Business Address:** 900 SALEM STREET  
SMITHFIELD, RI 02917

**Effective Date:** 02/27/2020

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** FIDELITY BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC.

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#### STRATEGIC ADVISERS LLC is under common control with the firm.

**CRD #:** 104555

**Business Address:** 155 SEAPORT BOULEVARD  
BOSTON, MA 02210

**Effective Date:** 02/27/2020

## Firm Operations



### Organization Affiliates (continued)

<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	STRATEGIC ADVISERS LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY ADVISORY HOLDINGS LLC. FIDELITY ADVISORY HOLDINGS LLC IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC

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#### BALLYROCK INVESTMENT ADVISORS LLC is under common control with the firm.

<b>CRD #:</b>	115324
<b>Business Address:</b>	245 SUMMER STREET MZ F7B BOSTON, MA 02210
<b>Effective Date:</b>	02/27/2020
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	BALLYROCK INVESTMENT ADVISORS LLC IS A WHOLLY OWNED SUBSIDIARY OF FMR LLC. FMR LLC IS THE PARENT COMPANY OF FIDELITY GLOBAL BROKERAGE GROUP, INC. DIGITAL BROKERAGE SERVICES LLC IS A WHOLLY OWNED SUBSIDIARY OF FIDELITY GLOBAL BROKERAGE GROUP, INC

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#### This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union

## Firm Operations



### Organization Affiliates (continued)

- or foreign bank

Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	6	0





## Disclosure Event Details

### Regulatory - Final

#### Disclosure 1 of 6

<b>Reporting Source:</b>	Firm
<b>Affiliate:</b>	FMR LLC
<b>Current Status:</b>	Final
<b>Allegations:</b>	ON APRIL 14, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM LUXEMBOURG'S COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER (THE "CSSF") THAT THE CSSF WAS ISSUING AN ADMINISTRATIVE FINE OF APPROXIMATELY US\$5,000 AGAINST FMR LLC BASED ON THE FINDING THAT FMR LLC, FOR SHARES HELD BY CLIENT FUNDS AND ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, FAILED TIMELY TO COMPLY WITH THE DEADLINES FOR THE NOTIFICATION OF MAJOR SHAREHOLDINGS IN A LUXEMBOURG-BASED COMPANY PROVIDED FOR BY ARTICLE 11(2) OF THE TRANSPARENCY LAW.
<b>Initiated By:</b>	COMMISSION SURVEILLANCE DU SECTEUR FINANCIER
<b>Date Initiated:</b>	12/19/2013
<b>Docket/Case Number:</b>	MAF.13/2704-MAR/SMO
<b>Principal Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s)/Relief Sought:</b>	NONE
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	04/23/2014
<b>Sanctions Ordered:</b>	Monetary/Fine \$5,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	NONE
<b>Firm Statement</b>	ON APRIL 14, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM LUXEMBOURG'S COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER (THE "CSSF") THAT THE CSSF WAS ISSUING AN ADMINISTRATIVE FINE OF APPROXIMATELY US\$5,000



AGAINST FMR LLC BASED ON THE FINDING THAT FMR LLC, FOR SHARES HELD BY CLIENT FUNDS AND ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, FAILED TIMELY TO COMPLY WITH THE DEADLINES FOR THE NOTIFICATION OF MAJOR SHAREHOLDINGS IN A LUXEMBOURG-BASED COMPANY PROVIDED FOR BY ARTICLE 11(2) OF THE TRANSPARENCY LAW.

## Disclosure 2 of 6

<b>Reporting Source:</b>	Firm
<b>Affiliate:</b>	FMR LLC
<b>Current Status:</b>	Final
<b>Appealed To and Date Appeal Filed:</b>	ADMINISTRATIVE COURT, MARCH 13, 2014
<b>Allegations:</b>	ON FEBRUARY 24, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSPEKTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$9,000, AGAINST FMR LLC BASED ON A FINDING THAT A NOTIFICATION OF A CHANGE IN SHAREHOLDINGS IN A SWEDISH CORPORATION, WHICH SHARES WERE HELD BY CLIENT ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, HAD BEEN MADE FOUR DAYS LATE. THE LATE NOTIFICATION WAS A RESULT OF INCORRECT DATA THAT HAD BEEN SUPPLIED TO FMR LLC'S FILING AGENT BY A THIRD-PARTY VENDOR.
<b>Initiated By:</b>	SWEDEN'S FINANSINSPEKTIONEN(SFSA)
<b>Date Initiated:</b>	02/24/2014
<b>Docket/Case Number:</b>	13-5339
<b>Principal Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	09/15/2014
<b>Sanctions Ordered:</b>	Monetary/Fine \$9,000.00

**Other Sanctions Ordered:**

<b>Sanction Details:</b>	FMR LLC IS BEING FINED APPROXIMATELY \$9000.00. FINE WAS PAID BY THE FIRM ON 9/15/2014
<b>Firm Statement</b>	THE ADMINISTRATIVE COURT AFFIRMED THE SFSA'S DECISION ON JULY 17, 2014. FINE WAS PAID BY THE FIRM ON 9/15/2014

**Disclosure 3 of 6**

<b>Reporting Source:</b>	Firm
<b>Affiliate:</b>	FMR LLC
<b>Current Status:</b>	Final
<b>Allegations:</b>	ON APRIL 21, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM THE HELLENIC REPUBLIC CAPITAL MARKET COMMISSION (THE "HCMC") THAT THE HCMC WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY \$6,300, AGAINST FMR LLC BASED ON A FINDING THAT, IN 2007, FMR LLC, FOR SHARES HELD BY CLIENT FUNDS AND ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, FAILED TO TIMELY DISCLOSE A LARGE SHAREHOLDING IN A GREEK LISTED ISSUER TO THE HCMC AND TO THE ISSUER, AS PROVIDED FOR BY CERTAIN ARTICLES OF LAW 3556/2007.
<b>Initiated By:</b>	HELLENIC REPUBLIC CAPITAL MARKET COMMISSION
<b>Date Initiated:</b>	04/21/2014
<b>Docket/Case Number:</b>	NO.F09222/7084
<b>Principal Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	10/29/2013
<b>Sanctions Ordered:</b>	Monetary/Fine \$6,300.00
<b>Other Sanctions Ordered:</b>	NONE
<b>Sanction Details:</b>	NONE

**Firm Statement**

ON APRIL 21, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM THE HELLENIC REPUBLIC CAPITAL MARKET COMMISSION (THE "HCMC") THAT THE HCMC WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY \$6,300, AGAINST FMR LLC BASED ON A FINDING THAT, IN 2007, FMR LLC, FOR SHARES HELD BY CLIENT FUNDS AND ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, FAILED TO TIMELY DISCLOSE A LARGE SHAREHOLDING IN A GREEK LISTED ISSUER TO THE HCMC AND TO THE ISSUER, AS PROVIDED FOR BY CERTAIN ARTICLES OF LAW 3556/2007

**Disclosure 4 of 6****Reporting Source:**

Firm

**Affiliate:**

FMR LLC

**Current Status:**

Final

**Allegations:**

ON FEBRUARY 28, 2017, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSPEKTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$1,700, AGAINST FMR LLC BASED ON A FINDING THAT A NOTIFICATION OF A CHANGE IN SHAREHOLDINGS IN A SWEDISH CORPORATION, WHICH SHARES WERE HELD BY CLIENT ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, HAD BEEN MADE TWO DAYS LATE. THE LATE NOTIFICATION WAS A RESULT OF INCORRECT DATA THAT HAD BEEN SUPPLIED TO FMR LLC'S FILING AGENT BY A THIRD-PARTY VENDOR.

**Initiated By:**

SWEDEN'S FINANSINSPEKTIONEN(SFSA)

**Date Initiated:**

02/28/2017

**Docket/Case Number:**

16-11812

**Principal Product Type:**

Equity Listed (Common &amp; Preferred Stock)

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:**

Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s)/Relief Sought:****Resolution:**

Decision

**Resolution Date:**

02/22/2017

**Sanctions Ordered:**

Monetary/Fine \$1,700.00

**Other Sanctions Ordered:****Sanction Details:** NONE**Firm Statement**

ON FEBRUARY 28, 2017, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSPEKTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$1,700, AGAINST FMR LLC BASED ON A FINDING THAT A NOTIFICATION OF A CHANGE IN SHAREHOLDINGS IN A SWEDISH CORPORATION, WHICH SHARES WERE HELD BY CLIENT ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, HAD BEEN MADE TWO DAYS LATE. THE LATE NOTIFICATION WAS A RESULT OF INCORRECT DATA THAT HAD BEEN SUPPLIED TO FMR LLC'S FILING AGENT BY A THIRD-PARTY VENDOR.

**Disclosure 5 of 6****Reporting Source:** Firm**Affiliate:** FMR LLC**Current Status:** Final

**Allegations:** ON MAY 21, 2018, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSPEKTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$40,000, AGAINST FMR LLC BASED ON A FINDING THAT A NOTIFICATION OF A CHANGE IN SHAREHOLDINGS IN A SWEDISH CORPORATION, WHICH SHARES WERE HELD BY CLIENT ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, HAD BEEN MADE EIGHT DAYS LATE. THE LATE NOTIFICATION AROSE BECAUSE, AS A RESULT OF A DATA ISSUE, FMR LLC'S FILING AGENT WAS NOT ALERTED ON A TIMELY BASIS THAT SUCH ACCOUNTS' HOLDINGS HAD CROSSED THE RELEVANT FILING THRESHOLD BY 0.0000012%.

**Initiated By:** SWEDEN'S FINANSINSPEKTIONEN(SFSA)**Date Initiated:** 05/21/2018**Docket/Case Number:** 17-12945**Principal Product Type:** Futures - Financial**Other Product Type(s):****Principal Sanction(s)/Relief Sought:** Civil and Administrative Penalt(ies) /Fine(s)**Other Sanction(s)/Relief Sought:**



<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	07/31/2018
<b>Sanctions Ordered:</b>	Monetary/Fine \$40,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	FINE OF 337,500 SWEDISH KRONA (APPROXIMATELY US\$40,000) WAS PAID BY FMR LLC ON JULY 31, 2018.
<b>Firm Statement</b>	ON MAY 21, 2018, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSPEKTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$40,000, AGAINST FMR LLC BASED ON A FINDING THAT A NOTIFICATION OF A CHANGE IN SHAREHOLDINGS IN A SWEDISH CORPORATION, WHICH SHARES WERE HELD BY CLIENT ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, HAD BEEN MADE EIGHT DAYS LATE. THE LATE NOTIFICATION AROSE BECAUSE, AS A RESULT OF A DATA ISSUE, FMR LLC'S FILING AGENT WAS NOT ALERTED ON A TIMELY BASIS THAT SUCH ACCOUNTS' HOLDINGS HAD CROSSED THE RELEVANT FILING THRESHOLD BY 0.0000012%.

#### Disclosure 6 of 6

<b>Reporting Source:</b>	Firm
<b>Affiliate:</b>	FMR LLC
<b>Current Status:</b>	Final
<b>Allegations:</b>	ON MAY 22, 2023, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM THE HELLENIC CAPITAL MARKET COMMISSION("HCMC") THAT FMR LLC FAILED TO NOTIFY THE HCMC AND THE ISSUING COMPANY OF A CHANGE IN SHAREHOLDINGS IN A GREEK COMPANY IN A TIMELY MANNER. THE NOTIFICATION WAS MADE THREE WORKING DAYS LATE. THE LATE NOTIFICATION WAS A TECHNICAL BREACH AS A RESULT OF THE CORPORATE RESTRUCTURING OF THE ISSUER.
<b>Initiated By:</b>	HELLENIC CAPITAL MARKET COMMISSION
<b>Date Initiated:</b>	05/22/2020
<b>Docket/Case Number:</b>	1052
<b>Principal Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief</b>	


**Sought:**
**Other Sanction(s)/Relief  
Sought:**
**Resolution:** Decision

**Resolution Date:** 02/09/2023

**Sanctions Ordered:**
**Other Sanctions Ordered:** FMR LLC WAS ORDERED BY THE HCMC NOT TO REPEAT THE CONDUCT CONSTITUTING THE NOTED INFRINGEMENT AND NO MONETARY PENALTIES OR FINES WERE ASSESSED.

**Sanction Details:** FMR LLC WAS ORDERED BY THE HCMC NOT TO REPEAT THE CONDUCT CONSTITUTING THE NOTED INFRINGEMENT AND NO MONETARY PENALTIES OR FINES WERE ASSESSED.

**Firm Statement** ON MAY 22, 2023, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM THE HELLENIC CAPITAL MARKET COMMISSION("HCMC") THAT FMR LLC FAILED TO NOTIFY THE HCMC AND THE ISSUING COMPANY OF A CHANGE IN SHAREHOLDINGS IN A GREEK COMPANY IN A TIMELY MANNER. THE NOTIFICATION WAS MADE THREE WORKING DAYS LATE. THE LATE NOTIFICATION WAS A TECHNICAL BREACH AS A RESULT OF THE CORPORATE RESTRUCTURING OF THE ISSUER. FMR LLC WAS ORDERED NOT TO REPEAT THE CONDUCT IN THE FUTURE AND NO MONETARY FINES WERE ASSESSED.

## End of Report



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