

Note: any attachments referenced herein are available in the Form 1 filings of Investors' Exchange LLC, which may be accessed through the SEC's EDGAR database.

Investors' Exchange LLC

- *Name:* Investors' Exchange LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on May 13, 2014
- *Brief description of nature and extent of affiliation:* Investors' Exchange LLC is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* Investors' Exchange LLC is a registered National Securities Exchange under Section 6 of the Securities Exchange Act of 1934, as amended.
- *A copy of the constitution:* N/A
- *A copy of existing by-laws or corresponding rules or instruments:* the Third Amended and Restated Operating Agreement is available at:
<https://www.iexexchange.io/resources/regulation/governance>
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of Investors' Exchange LLC

The following persons are officers of Investors' Exchange LLC:

Name	Title
Bradley T. Katsuyama	Chief Executive Officer, Chairman of the Board
Bryan Harkins	President
Robert Park	Senior Vice President, Chief Technology Officer
Rachel Barnett	Senior Vice President, Chief Legal Officer, Secretary
Claudia Crowley	Senior Vice President, Chief Regulatory Officer
Andrea Ledford	Senior Vice President, Chief People Officer
Stan Feldman	Senior Vice President, Chief Operating Officer

Craig Resnick	Senior Vice President, Chief Financial Officer, Treasurer
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Directors of Investors' Exchange LLC

The following persons are directors of Investors' Exchange LLC:

Board of Directors		
Name	Corporate Title	Term of Service
Bradley T. Katsuyama	Chairman and CEO	June 2016 - Present
Urvashi Batra	Board Member	February 2023 - Present
Jeff Charney	Board Member	June 2016 - Present
Brian Levine	Board Member	June 2016 - June 2019, February 2022 - Present
Jonathan Mariner	Board Member	June 2016 - Present
Wade I. Massad	Board Member	June 2016 - Present
Noel Reyes	Board Member	September 2023 - Present
Joseph Scafidi	Board Member	June 2016 - Present
Helen S. Scott	Board Member	June 2016 - Present
Jeffrey Sonnenfeld	Board Member	June 2016 - Present

Member Nominating Committee of Investors' Exchange LLC

The following persons are members of the Member Nominating Committee of Investors' Exchange LLC:

Member Nominating Committee		
Name	Committee Title	Term of Service
Urvashi Batra	Chairperson	February 2023 - Present
Noel Reyes	Board Member	October 2023 - Present

Regulatory Oversight Committee of Investors' Exchange LLC

The following persons are members of the Regulatory Oversight Committee of Investors' Exchange LLC:

Regulatory Oversight Committee		
Name	Committee Title	Term of Service
Helen S. Scott	Chairperson	June 2016 - Present
Joseph Scafidi	Board Member	June 2016 - Present
Wade I. Massad	Board Member	June 2016 - Present

Nominating Committee of Investors' Exchange LLC

The following persons are members of the Nominating Committee of Investors' Exchange LLC:

Nominating Committee		
Name	Committee Title	Term of Service
Jeff Charney	Chairperson	June 2016 - Present
Wade I. Massad	Board Member	June 2016 - Present
Jeffrey Sonnenfeld	Board Member	June 2016 - Present

Audit Committee of Investors' Exchange LLC

The following persons are members of the Audit Committee of Investors' Exchange LLC:

Audit Committee		
Name	Committee Title	Term of Service
Jonathan Mariner	Chairperson	June 2016 - Present
Joseph Scafidi	Board Member	June 2016 - Present
Wade I. Massad	Board Member	June 2016 - Present

Appeals Committee of Investors' Exchange LLC

The following persons are members of the Appeals Committee of Investors' Exchange LLC:

Appeals Committee		
Name	Committee Title	Term of Service
Joseph Scafidi	Chairperson	June 2016 - Present
Urvashi Batra	Board Member	February 2023 - Present
Jonathan Mariner	Board Member	June 2016 - Present

IEX Ventures LLC

- *Name:* IEX Ventures LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on June 3, 2015
- *Brief description of nature and extent of affiliation:* IEX Ventures LLC is a wholly-owned subsidiary of IEX Group, Inc.

- *Brief description of business or functions:* IEX Ventures LLC is a holding company which holds 100% of the equity of IEX Data Services LLC f/k/a IEX Cloud Services LLC and IEX Fund LLC.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-1 is the Certificate of Formation of IEX Ventures LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-2 is the Operating Agreement of IEX Ventures LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX Ventures LLC

The following persons are officers of IEX Ventures LLC:

Name	Title
Bradley T. Katsuyama	President
Rachel Barnett	Vice President, Chief Legal Officer, Secretary
Craig Resnick	Vice President, Treasurer

Managers of IEX Ventures LLC

The following persons are managers of IEX Ventures LLC:

Managers
Bradley T. Katsuyama
Craig Resnick

IEX Data Services LLC f/k/a IEX Cloud Services LLC

- *Name:* IEX Data Services LLC f/k/a IEX Cloud Services LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on August 15, 2018

- *Brief description of nature and extent of affiliation:* IEX Data Services LLC f/k/a IEX Cloud Services LLC is a wholly-owned subsidiary of IEX Ventures LLC which is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX Data Services LLC f/k/a IEX Cloud Services LLC is a platform that provides market data to customers.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-3 is the Certificate of Formation of IEX Data Services LLC f/k/a IEX Cloud Services LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-4 is the Operating Agreement of IEX Data Services LLC f/k/a IEX Cloud Services LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX Data Services LLC f/k/a IEX Cloud Services LLC

The following persons are officers of IEX Data Services LLC f/k/a IEX Cloud Services LLC:

Name	Title
Bradley T. Katsuyama	President
Rachel Barnett	Vice President, Chief Legal Officer, Secretary
Craig Resnick	Vice President, Treasurer

Managers of IEX Data Services LLC f/k/a IEX Cloud Services LLC

The following persons are managers of IEX Data Services LLC f/k/a IEX Cloud Services LLC:

Managers
Bradley T. Katsuyama
Robert Park

SWXTCH.IO Inc.

- *Address:* 2451 Cumberland Pkwy SE, STE 3310, Atlanta, GA 30339
- *Form of organization:* Corporation

- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware General Corporation Law (DEL. CODE ANN. tit. 8, § 101, et seq.) on May 8, 2025
- *Brief description of nature and extent of affiliation:* IEX Group, Inc. owns a minority interest in SWXTCH.IO Inc.
- *Brief description of business or functions:* SWXTCH.IO Inc. is a software company in the cloud networking business. Investors' Exchange LLC licenses SWXTCH.IO Inc.'s cloudSwXtch networking software for use in certain testing systems.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-5 is the Certificate of Incorporation of SWXTCH.IO Inc.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-6 are the By-Laws of SWXTCH.IO Inc.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Directors of SWXTCH.IO Inc.

The following persons are directors of SWXTCH.IO Inc.:

Directors
Brent Yates
Brannum Forsyth

Officers of SWXTCH.IO Inc.

The following persons are officers of SWXTCH.IO Inc.:

Officers	Title
Brent Yates	President

IEX Group, Inc.

- *Name:* IEX Group, Inc.
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Corporation

- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware General Corporation Law (8 Del. C. § 1-101, et seq.), on June 27, 2012
- *Brief description of nature and extent of affiliation:* Investors' Exchange LLC is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX Group, Inc. is a holding company which holds 100% of the equity of IEX Services, LLC, Investors' Exchange LLC, IEX Ventures LLC, and IEX DAP Group LLC. IEX Group, Inc. also owns a minority interest in SWXTCH.IO Inc.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-7 is the Third Amended and Restated Certificate of Incorporation of IEX Group, Inc.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-8 are the By-Laws of IEX Group, Inc.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX Group, Inc.

The following persons are officers of IEX Group, Inc.:

Name	Title
Bradley T. Katsuyama	Chief Executive Officer
Bryan Harkins	President
Ronan Ryan	Chief Operating Officer
Craig Resnick	Chief Financial Officer
Andrea Ledford	Chief People Officer
Rachel Barnett	Chief Legal Officer
Robert Park	Chief Technology Officer

Directors of IEX Group, Inc.

The following persons are directors of IEX Group, Inc.:

Directors
Bradley T. Katsuyama
Ronan Ryan
Justin LaFayette
Bridget van Kralingen
Thomas Birch

Robert Park
Michael Lynton

Compensation Committee of IEX Group, Inc.

The following persons are members of the Compensation Committee of IEX Group, Inc.:

Compensation Committee
Thomas Birch
Michael Lynton
Justin Lafayette

IEX Services LLC

- *Name:* IEX Services LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on January 22, 2013
- *Brief description of nature and extent of affiliation:* IEX Services LLC is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX Services LLC is a routing FINRA member and SEC registered broker-dealer for Investors' Exchange LLC in connection with the operation of the System.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-9 is the Certificate of Formation of IEX Services LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-10 is the Second Amended and Restated Operating Agreement of IEX Services LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX Services LLC

The following persons are officers of IEX Services LLC:

Name	Title
Bradley T. Katsuyama	President, Chief Executive Officer
Ronan Ryan	Senior Vice President
Bryan Harkins	Senior Vice President
Craig Resnick	Vice President, Chief Financial Officer, Principal Financial Officer, Treasurer
Robert Dukesherer	Vice President, Chief Compliance Officer, Anti-Money Laundering Compliance Officer
Alphonse Asare	Financial and Operations Principal (FINOP) and Principal Operations Officer

Managers of IEX Services LLC

The following persons are managers of IEX Services LLC:

Managers
Bradley T. Katsuyama
Ronan Ryan

IEX Options LLC

- *Name:* IEX Options LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on September 11, 2024
- *Brief description of nature and extent of affiliation:* IEX Options LLC is a wholly-owned subsidiary of Investors' Exchange LLC which is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX Options LLC is not currently operational.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-11 is the Certificate of Formation of IEX Options LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* N/A

- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:* N/A

Georgian Partners Growth LP

- *Name:* Georgian Partners Growth LP
- *Address:* 2 St. Clair Avenue West, 1400, Toronto, Ontario, Canada, M4V 1L
- *Form of organization:* Canadian Limited Partnership
- *Name of state, statute under which organized and date of incorporation:* Ontario, Canada on June 21, 2012, pursuant to the Ontario Limited Partnerships Act
- *Brief description of nature and extent of affiliation:* Georgian Partners Growth LP owns a minority interest in IEX Group, Inc.
- *Brief description of business or functions:* Georgian Partners Growth LP is an exempt reporting advisor (“ERA”) that acts as an adviser to private funds.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-12 is the Declaration of Limited Partnership of Georgian Partners Growth LP.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-13 is the Limited Partnership Agreement of Georgian Partners Growth LP.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of Georgian Partners Growth LP

The following persons are officers of Georgian Partners Growth LP:

Name	Title
Justin LaFayette	Lead Investor, Head of Firm
John Berton	Head of Operations
Simon Cheemun Chong	Head of Customer Operations
Megan Kathleen Vesely	Chief Legal Officer
Michael Joseph Ruthard	Chief Financial Officer

IEX DAX LLC

- *Name:* IEX DAX LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on May 6, 2022
- *Brief description of nature and extent of affiliation:* IEX DAX LLC is a wholly-owned subsidiary of Investors' Exchange LLC which is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX DAX LLC is not currently operational.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-14 is the Certificate of Formation of IEX DAX LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* N/A
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:* N/A

IEX DAP Group LLC

- *Name:* IEX DAP Group LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on October 20, 2021
- *Brief description of nature and extent of affiliation:* IEX DAP Group LLC is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX DAP Group LLC is a holding company which holds 100% of the equity of IEX DAP LLC and IEX DAP Services LLC.
- *A copy of the constitution:* N/A

- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-15 is the Certificate of Formation of IEX DAP Group LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-16 is the Limited Liability Company Agreement of IEX DAP Group LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX DAP Group LLC

The following persons are officers of IEX DAP Group LLC:

Name	Title
Bradley T. Katsuyama	Chief Executive Officer, President
Rachel Barnett	Chief Legal Officer, Secretary
Craig Resnick	Chief Financial Officer
Andrea Ledford	Chief People Officer
Robert Park	Chief Technology Officer

Manager of IEX DAP Group LLC

The following person is the manager of IEX DAP Group LLC:

Manager
Bradley T. Katsuyama

IEX DAP LLC

- *Name:* IEX DAP LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on October 20, 2021
- *Brief description of nature and extent of affiliation:* IEX DAP LLC is a wholly-owned subsidiary of IEX DAP Group LLC which is a wholly-owned subsidiary of IEX Group, Inc.
- *Brief description of business or functions:* IEX DAP LLC is a SEC registered broker-dealer and FINRA member authorized to operate an alternative trading system (“ATS”) to facilitate trading in digital asset securities.

- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-17 is the Certificate of Formation of IEX DAP LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-18 is the Limited Liability Company Agreement of IEX DAP LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX DAP LLC

The following persons are officers of IEX DAP LLC:

Name	Title
Bradley T. Katsuyama	President
Craig Resnick	Chief Financial Officer
Robert Dukesherer	Chief Compliance Officer
Terrance O'Connell	Principal Financial Officer
Alphonse Asare	Principal Operations Officer

Manager of IEX DAP LLC

The following person is the manager of IEX DAP LLC:

Manager
Bradley T. Katsuyama

IEX DAP Services LLC

- *Name:* IEX DAP Services LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on October 20, 2021
- *Brief description of nature and extent of affiliation:* IEX DAP Services LLC is a wholly-owned subsidiary of IEX DAP Group LLC which is a wholly-owned subsidiary of IEX Group, Inc.

- *Brief description of business or functions:* IEX DAP Services LLC is not currently operational.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-19 is the Certificate of Formation of IEX DAP Services LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-20 is the Limited Liability Company Agreement of IEX DAP Services LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX DAP Services LLC

The following persons are officers of IEX DAP Services LLC:

Name	Title
Bradley T. Katsuyama	President
Robert Dukesherer	Chief Compliance Officer
Terrance O’Connell	Financial and Operations Principal, Principal Financial Officer
Alphonse Asare	Principal Operations Officer

Manager of IEX DAP Services LLC

The following person is the manager of DAP Services LLC:

Manager
Bradley T. Katsuyama

IEX Fund LLC

- *Name:* IEX Fund LLC
- *Address:* 3 World Trade Center, 175 Greenwich Avenue, 58th Floor, New York, NY 10007
- *Form of organization:* Limited Liability Company
- *Name of state, statute under which organized and date of incorporation:* Delaware, Delaware Limited Liability Company Act (6 Del. C. § 18-101, et seq.), on July 21, 2022
- *Brief description of nature and extent of affiliation:* IEX Fund LLC is a wholly-owned subsidiary of IEX Ventures LLC which is a wholly-owned subsidiary of IEX Group, Inc.

- *Brief description of business or functions:* IEX Fund LLC is a shareholder in certain early-stage private companies.
- *A copy of the constitution:* N/A
- *A copy of the articles of incorporation or association including all amendments:* attached as Addendum C-21 is the Certificate of Formation of IEX Fund LLC.
- *A copy of existing by-laws or corresponding rules or instruments:* attached as Addendum C-22 is the Limited Liability Company Agreement of IEX Fund LLC.
- *Name and title of the present officers, governors, members of all standing committees, or persons performing similar functions:*

Officers of IEX Fund LLC

The following persons are officers of IEX Fund LLC:

Name	Title
Bradley T. Katsuyama	President
Rachel Barnett	Vice President, Chief Legal Officer, Secretary
Craig Resnick	Vice President, Treasurer

Managers of IEX Fund LLC

The following persons are managers of IEX Fund LLC:

Managers
Bradley T. Katsuyama
Ronan Ryan