

FIDELITY STOCK TRANSFER SOLUTIONS LLC

FORM TA-1/A (Amended Transfer Agent Registration)

Filed 10/16/26

Address 245 SUMMER STREET
BOSTON, MA, 02210
Telephone (401) 292-6071
CIK 0001920289

Form TA-1 Filer Information	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 FORM TA-1/A	OMB APPROVAL OMB Number: 3235-0084 Estimated average burden hours per response: 1.5
FORM TA-1/A		

TA-1/A : Filer Information

1(a). Filer CIK:	0001920289
1(b). Filer CCC:	*****
1(c). Is this a LIVE or TEST submission?	☒ Live ☐ Test
1(d). Would you like a Return Copy?	☒ Yes
1(e). Is this filing an amendment to a previous filing?	☒ Yes
1(e)(i). File Number	084-06838

Submission Contact Information

The registrant may provide a single e-mail address for contact purposes.

1(f)(i). Contact Name:	
1(f)(ii). Contact Phone Number:	
1(f)(iii). Contact E-Mail Address:	

Notification Information

The registrant may provide additional e-mail addresses for those persons the filer would like to receive notification e-mails regarding the filing.

1(g). Notification E-mail Address:

TA-1/A : Registrant Information

2. Appropriate regulatory agency (check one):	☒ Securities and Exchange Commission ☐ Federal Deposit Insurance Corporation ☐ Comptroller of the Currency
3(a). Full Name of Registrant:	Fidelity Stock Transfer Solutions LLC
3(a)(i). Previous name, if being amended:	
3(b). Financial Industry Number (FINS) number:	370197
3(c). Address of principal office where transfer agent activities are, or will be, performed:	
3(c)(i). Address 1	245 Summer Street
3(c)(ii). Address 2	
3(c)(iii). City	Boston

3(c)(iv). State or Country	MASSACHUSETTS
3(c)(v). Postal Code	02210
3(d). Is Mailing address different from response to Question 3c? If "yes" provide address(es):	☒ Yes ☐ No
3(d)(i). Address 1	245 Summer Street
3(d)(ii). Address 2	Mail Zone OSGN Attn: TA Compliance
3(d)(iii). City	Boston
3(d)(iv). State or Country	MASSACHUSETTS
3(d)(v). Postal Code	02210
3(e). Telephone Number (Include Area Code)	4012926071
4. Does Registrant conduct, or will it conduct, transfer agent activities at any location other than that given in Questions 3(c) above? If "Yes" provide address (es):	☒ Yes ☐ No
Other Business Location Record: 1	
4(a)(i). Address 1	499 Washington Blvd
4(a)(ii). Address 2	
4(a)(iii). City	Jersey City
4(a)(iv). State or Country	NEW JERSEY
4(a)(v). Postal Code	07310
Other Business Location Record: 2	
4(a)(i). Address 1	100 Howe Drive
4(a)(ii). Address 2	
4(a)(iii). City	Covington
4(a)(iv). State or Country	KENTUCKY
4(a)(v). Postal Code	41015
Other Business Location Record: 3	
4(a)(i). Address 1	One Destiny Way
4(a)(ii). Address 2	
4(a)(iii). City	Westlake
4(a)(iv). State or Country	TEXAS
4(a)(v). Postal Code	76262
Other Business Location Record: 4	
4(a)(i). Address 1	Two Destiny Way

4(a)(ii). Address 2

Westlake

4(a)(iii). City

TEXAS

4(a)(iv). State or Country

76262

4(a)(v). Postal Code

Other Business Location Record: 5

4(a)(i). Address 1

900 Salem Street

4(a)(ii). Address 2

Smithfield

4(a)(iii). City

RHODE ISLAND

4(a)(iv). State or Country

02917

4(a)(v). Postal Code

Other Business Location Record: 6

4(a)(i). Address 1

100 New Millennium Way

4(a)(ii). Address 2

Durham

4(a)(iii). City

NORTH CAROLINA

4(a)(iv). State or Country

27709

4(a)(v). Postal Code

Other Business Location Record: 7

4(a)(i). Address 1

6501 South Fiddlers Green Circle

4(a)(ii). Address 2

Suite 300 to 600

4(a)(iii). City

Greenwood Village

4(a)(iv). State or Country

COLORADO

4(a)(v). Postal Code

80111

Other Business Location Record: 8

4(a)(i). Address 1

4601 Touchton Road East

4(a)(ii). Address 2

Building 400

4(a)(iii). City

Jacksonville

4(a)(iv). State or Country

FLORIDA

4(a)(v). Postal Code

32246

Other Business Location Record: 9

4(a)(i). Address 1

Two Contra Way

4(a)(ii). Address 2

Merrimack

4(a)(iii). City

4(a)(iv). State or Country	NEW HAMPSHIRE
4(a)(v). Postal Code	03054
Other Business Location Record: 10	
4(a)(i). Address 1	49 North 400 West
4(a)(ii). Address 2	
4(a)(iii). City	Salt Lake City
4(a)(iv). State or Country	UTAH
4(a)(v). Postal Code	84101-1368
Other Business Location Record: 11	
4(a)(i). Address 1	300 New Millennium Way
4(a)(ii). Address 2	
4(a)(iii). City	Durham
4(a)(iv). State or Country	NORTH CAROLINA
4(a)(v). Postal Code	27709-820
5. Does registrant act, or will it act, as a transfer agent solely for its own securities, and/or securities of an affiliate(s)?	☐ Yes ☒ No
6. Has registrant, as a named transfer agent, engaged, or will it engage, a service company to perform any transfer agent functions?	☐ Yes ☒ No
7. Has registrant been engaged, or will it be engaged as a service company by a named transfer agent to perform transfer agent functions?	☐ Yes ☒ No

TA-1/A : Independent, Non-Issuer Registrant Information

Completion of Question 8 on this form is required by all independent, non-issuer registrants whose appropriate regulatory authority is the Securities and Exchange Commission. Those registrants who are not required to complete Question 8 should select "Not Applicable".

8. Is registrant a:	Other	LLC
----------------------------	-------	-----

Section for Initial Registration and for Amendments Reporting Additional Persons.

Proprietor or other entity information Related to item 8 Record: 1

8(a)(i). Full Name	Amy DeVasto
8(a)(ii). Relationship Start Date	03/17/2022
8(a)(iii). Title or Status	Chief Compliance Officer
8(a)(iv). Description of Authority	Oversee compliance with regulations
8(a)(v). Relationship End Date	

Proprietor or other entity information Related to item 8 Record: 2

8(a)(i). Full Name

Andrea Della Grotta

8(a)(ii). Relationship Start Date

01/30/2026

8(a)(iii). Title or Status

Vice President, Operations

8(a)(iv). Description of Authority

Vice President, Operations

8(a)(v). Relationship End Date

9. Does any person or entity not named in the answer to Question 8:

9(a). directly or indirectly, through agreement or otherwise exercise or have the power to exercise control over the management or policies of applicant, or;....

☒ Yes ☐ No

Entity information Related to item 9(a) Record: 1

9(a)(i). Exact name of each person or entity:

Schuyler Laird

9(a)(ii). Description of the Agreement or other basis:

Head of Fidelity Stock Transfer Solutions

9(b). wholly or partially finance the business of the applicant, directly or indirectly, in any manner other than by a public offering of securities made pursuant to the Securities Act of 1933 or by credit extended in the ordinary course of business by suppliers, banks and others?.....

☐ Yes ☒ No

TA-1/A : 10. Applicant and Control Affiliate Disciplinary History

The following definitions apply for purposes of answering this Question 10

Control
Affiliate

- An individual or firm that directly or indirectly controls, is under common control with, or is controlled by applicant. Included are any employees identified in 8(a), 8(b), 8(c) of this form as exercising control. Excluded are any employees who perform solely clerical, administrative support of similar functions, or who, regardless of title, perform no executive duties or have no senior policy making authority.

Investment or
investment
related

- Pertaining to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker dealer, investment company, investment adviser, futures sponsor, bank, or savings and loan association).

Involved

- Doing an act of aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

10(a). In the past ten years has the applicant or a control affiliate been convicted of or plead guilty or nolo contendere ("no contest") to:

10(a)(1). a felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting, or extortion?

☐ Yes ☒ No

10(a)(2). any other felony?

☐ Yes ☒ No

10(b). Has any court in the past ten years:

10(b)(1). enjoined the applicant or a control affiliate in connection with any investment-related activity?

☒ Yes ☐ No

Entity information Related to item 10(b)(1) Record: 1

10(b)(1)(i). The individuals named in the Action

National Financial Services LLC

10(b)(1)(ii). Title of Action

Official Committee of Equity Security Holders v. Bank of America Securities, Inc. et al., Adversary Proceeding No. 23-03106

10(b)(1)(iii). Date of Action

06/12/2023

10(b)(1)(iv). The Court or body taking the Action and its location

U.S. Bankruptcy Court for the Southern District of Texas

10(b)(1)(v). Description of the Action

On June 12, 2023, Official Committee of Equity Security Holders for the Sorrento Therapeutics, Inc. ("Sorrento") bankruptcy estate filed an adversary proceeding against National Financial Services LLC ("NFS") alleging that NFS and certain other defendants violated the automatic stay imposed in connection with the bankruptcy proceeding and Regulation SHO for allegedly facilitating naked short-selling of Scilex Holding Company stock, a wholly-owned subsidiary of Sorrento. On June 14, 2023, the U.S. Bankruptcy Court for the Southern District of Texas entered a temporary restraining order against NFS and the other defendants that prohibited them from engaging in short sales of "Dividended Scilex Stock" and requiring an accounting of "profits received from the naked-short [sic] selling of Dividended Scilex Stock and Scilex Common Stock..."

10(b)(1)(vi). The disposition of the proceeding

This matter was dismissed on July 28, 2023.

10(b)(2). found that the applicant or control affiliate was involved in a violation of investment-related statutes or regulations?

☐ Yes ☒ No

10 (c). Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

10(c)(1). found the applicant or control affiliate to have made a false statement or omission?

☐ Yes ☒ No

10(c)(2). found the applicant or control affiliate to have been involved in a violation of its regulation or statutes?

☐ Yes ☒ No

10(c)(3). found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?

☐ Yes ☒ No

10(c)(4). entered an order denying, suspending or revoking the applicant's or control affiliate's registration or otherwise disciplined it by restricting its activities?

☐ Yes ☒ No

10(d). Has any other Federal regulatory agency or any state regulatory agency :

10(d)(1). ever found the applicant or control affiliate to have made a false statement or

☐ Yes ☒ No

omission or to have been dishonest, unfair, or unethical?

10(d)(2). ever found the applicant or control affiliate to have been involved in a violation of investment-related regulations or statutes?

☒ Yes ☐ No

Entity information Related to item 10(d)(2) Record: 1

10(d)(2)(i). The individuals named in the Action

FIDELITY BROKERAGE SERVICES LLC

10(d)(2)(ii). Title of Action

IN THE MATTER OF FIDELITY BROKERAGE SERVICES LLC

10(d)(2)(iii). Date of Action

04/27/2026

10(d)(2)(iv). The Court or body taking the Action and its location

MASSACHUSETTS SECURITIES DIVISION

10(d)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE STATEMENT OF FACTS OR VIOLATIONS OF LAW, FIDELITY BROKERAGE SERVICES LLC (FIRM) CONSENTED TO THE ENTRY OF A CONSENT ORDER IN WHICH THE MASSACHUSETTS SECURITIES DIVISION (MSD) STATED IN ITS STATEMENT OF FACTS THAT THE FIRM FAILED TO ENFORCE CERTAIN CYBERSECURITY POLICIES DESIGNED TO PROTECT AGAINST UNAUTHORIZED ACCESS TO CERTAIN CUSTOMER ACCOUNT RECORDS IN CONNECTION WITH A DATA BREACH, IN VIOLATION OF SECTION 204(A)(2)(J) OF THE MASSACHUSETTS UNIFORM SECURITIES ACT.

10(d)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, FIDELITY BROKERAGE SERVICES LLC CONSENTED TO THE FOLLOWING SANCTIONS: (1) A CEASE-AND-DESIST ORDER; (2) THE IMPOSITION OF A CENSURE; (3) CERTAIN UNDERTAKINGS; AND (4) PAYMENT OF AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$1,250,000. THE ADMINISTRATIVE FINE WAS PAID IN ACCORDANCE WITH THE TERMS OF THE ORDER.

10(d)(3). ever found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business Denied, suspended, revoked or restricted?

☐ Yes ☒ No

10(d)(4). in the past ten years entered an order against the applicant or control affiliate in connection with investment-related activity?

☐ Yes ☒ No

10(d)(5). ever denied, suspended, or revoked applicant's or control affiliate's registration or license, or prevented it from associating with an investment-related business, or otherwise disciplined it by restricting its activities?

☐ Yes ☒ No

10(d)(6). ever revoked or suspended the applicant's or a control affiliate's license as an attorney or accountant?

☐ Yes ☒ No

10(e). Has any self-regulatory organization or commodities exchange ever:

10(e)(1). found the applicant or a control affiliate to have made a false statement or omission?

☐ Yes ☒ No

10(e)(2). found the applicant or a control

☒ Yes ☐ No

affiliate to have been involved in a violation of its rules?

Entity information Related to item 10(e)(2) Record: 1

10(e)(2)(i). The individuals named in the Action

Fidelity Brokerage Services LLC and Fidelity Investments Institutional Services Company, Inc.

10(e)(2)(ii). Title of Action

In the Matter of FBS and FIISC

10(e)(2)(iii). Date of Action

07/12/2012

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

As indicated in the letter of acceptance, waiver and consent No. 2008013791601, FINRA found that during the period December 1, 2006 thru December 31, 2008 FBS and FIISC (1) violated NASD Rules 2210 and 2110 and FINRA Rule 201 and that FIISC violated NASD Rule 2211, by distributing certain sales materials that were unbalanced and misleading, contained unwarranted statements and failed to provide a sound basis by which to evaluate the risks of the Fidelity UltraShort Bond Fund ("Fund"), and (2) failed to establish, maintain and enforce adequate supervisory systems, including system of follow-up and review which were reasonably designed to achieve compliance with NASD and FINRA Rules; as a result, certain sales materials failed to provide an accurate and balanced presentation concerning the nature, holdings and risks an investment in the Fund. FBS and FIISC thereby violated NASD Rules 3010(A) and (B), 2110 and 2211(B)(1)(B) and FINRA Rule 2010.

10(e)(2)(vi). The disposition of the proceeding

FBS and FIISC submitted and FINRA accepted a settlement in the form of an AWC, in which the firms neither admitted nor denied the findings. FBS and FIISC were censured and jointly and severally fined \$375,000.

Entity information Related to item 10(e)(2) Record: 2

10(e)(2)(i). The individuals named in the Action

Fidelity Brokerage Services LLC

10(e)(2)(ii). Title of Action

In the Matter of Fidelity Brokerage Services LLC

10(e)(2)(iii). Date of Action

11/06/2012

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE FINDINGS, FBS HAS AGREED TO PAY A \$65,000 FINE IN CONNECTION WITH FINRA'S ALLEGATIONS THAT FBS VIOLATED MSRB RULE G-17 AND G-30(A) IN 17 MUNICIPAL SECURITIES TRANSACTIONS BY PROVIDING A PRICE THAT WAS NOT FAIR AND REASONABLE, TAKING INTO CONSIDERATION ALL RELEVANT FACTORS, INCLUDING THE BEST JUDGMENT OF THE BROKER, DEALER OR MUNICIPAL SECURITIES DEALER AS TO THE FAIR MARKET VALUE OF THE SECURITIES AT THE TIME OF THE TRANSACTION AND OF ANY SECURITIES EXCHANGED OR TRADED IN CONNECTION WITH THE TRANSACTION, THE EXPENSE INVOLVED IN EFFECTING THE TRANSACTION, THE FACT THAT THE BROKER, DEALER, OR MUNICIPAL SECURITIES DEALER IS ENTITLED TO A PROFIT, AND THE TOTAL DOLLAR AMOUNT OF THE TRANSACTION.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$65,000 FOR MSRB RULES VIOLATIONS.

Entity information Related to item 10(e)(2) Record: 3

10(e)(2)(i). The individuals named in the Action

National Financial Services LLC

10(e)(2)(ii). Title of Action

In the Matter of National Financial Services LLC

10(e)(2)(iii). Date of Action

06/24/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

AT VARIOUS TIMES BETWEEN MID-FEBRUARY AND JUNE 2009, IN VIOLATION OF NASD RULE 3010 AND FINRA RULE 2010, NATIONAL FINANCIAL SERVICES, LLC ("NFS" OR THE "FIRM") FAILED TO ESTABLISH, ENFORCE AND UPDATE ITS WRITTEN SUPERVISORY PROCEDURES IN CONNECTION WITH MARKING ITS FIXED INCOME INVENTORY DAILY AND ACCURATE MARKING TO MARKET FIXED INCOME SECURITIES HELD IN INVENTORY. AMONG OTHER THINGS, FROM MID-FEBRUARY 2009 UNTIL MAY 2009, THE FIRM FAILED TO MONITOR FIXED INCOME TRADERS' MARKS FOR POTENTIAL MISMARKING BY COMPARING TRADERS' MARKS AGAINST THIRD PARTY VENDOR MARKS AS REQUIRED BY THE WSPS.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS CENSURED AND FINED \$250,000.

Entity information Related to item 10(e)(2) Record: 4

10(e)(2)(i). The individuals named in the Action

National Financial Services LLC

10(e)(2)(ii). Title of Action

In the Matter of National Financial Services LLC

10(e)(2)(iii). Date of Action

11/01/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

NFS SUBMITTED, AND FINRA ACCEPTED, A SETTLEMENT IN THE FORM OF AN ACCEPTANCE, WAIVER AND CONSENT ("AWC") IN WHICH THE FIRM NEITHER ADMITTED OR DENIED THE FINDINGS. THE AWC ALLEGED THAT DURING THE 3RD QUARTER 2012 NFS FAILED TO TIMELY REPORT TRADES IN TRACE-ELIGIBLE SECURITIZED PRODUCTS WITHIN THE TIME REQUIRED IN VIOLATION OF FINRA RULES 6730(A) AND 2010.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500 WHICH WAS PAID ON 11/19/2013

Entity information Related to item 10(e)(2) Record: 5

10(e)(2)(i). The individuals named in the Action

National Financial Services LLC

10(e)(2)(ii). Title of Action

In the Matter of National Financial Services LLC

10(e)(2)(iii). Date of Action

11/13/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$60,000. FINRA ACKNOWLEDGES THAT THE FIRM SELF-REPORTED THE ISSUES DESCRIBED HEREIN AND UNDERTOOK AN INTERNAL REVIEW OF ITS SUPERVISORY POLICIES, PROCEDURES, AND SYSTEMS RELATING TO THESE ISSUES. THE SANCTIONS BELOW REFLECT THE CREDIT THAT THE FIRM HAS BEEN GIVEN FOR SELF-

REPORTING THESE ISSUES AND PROVIDING INFORMATION OBTAINED AS A RESULT OF ITS INTERNAL INVESTIGATION TO FINRA

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS ANTO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$60,000

Entity information Related to item 10(e)(2) Record: 6

10(e)(2)(i). The individuals named in the Action

Fidelity Brokerage Services LLC

10(e)(2)(ii). Title of Action

In the Matter of Fidelity Brokerage Services LLC

10(e)(2)(iii). Date of Action

11/13/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS ANTO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$60,000. FINRA ACKNOWLEDGES THAT THE FIRM SELF-REPORTED THE ISSUES DESCRIBED HEREIN AND UNDERTOOK AN INTERNAL REVIEW OF ITS SUPERVISORY POLICIES, PROCEDURES, AND SYSTEMS RELATING TO THESE ISSUES. THE SANCTIONS BELOW REFLECT THE CREDIT THAT THE FIRM HAS BEEN GIVEN FOR SELF-REPORTING THESE ISSUES AND PROVIDING INFORMATION OBTAINED AS A RESULT OF ITS INTERNAL INVESTIGATION TO FINRA.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS ANTO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$60,000

Entity information Related to item 10(e)(2) Record: 7

10(e)(2)(i). The individuals named in the Action

Fidelity Brokerage Services LLC

10(e)(2)(ii). Title of Action

In the Matter of Fidelity Brokerage Services LLC

10(e)(2)(iii). Date of Action

11/26/2013

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA alleged that in seven transactions for or with a customer, FBS violated FINRA Rule 2010 and NASD Rule 2320 by failing to use reasonable diligence to ascertain the best inter-dealer market and by failing to provide a price to the customer that was as favorable as possible under prevailing market conditions.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS ANTO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED \$60,000.

Entity information Related to item 10(e)(2) Record: 8

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

05/02/2014

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

DURING THE PERIOD JAN 1, 2009 THROUGH JULY 31, 2011 (TRADE REPORTING REVIEW PERIOD) AND ON TRADDATES MAY 8 AND 9, 2012 (TMMS REVIEW PERIOD), NFS FAILED TO REPORT TO THE FINRA AND NASDAQ TRADREPORTING FACILITY THE CORRECT SYMBOL INDICATING THE CAPACITY IN WHICH THE FIRM EXECUTED 93TRANSACTIONS DURING THE TRADE REPORTING REVIEW PERIOD AND 20 TRANSACTIONS DURING THE TMM REVIEW PERIOD IDENTIFIED FROM A SAMPLE OF TRANSACTIONS REVIEWED. THE FIRM REPORTED PRINCIPACAPACITY WHEN IT ACTED AS AGENT IN VIOLATION OF FINRA RULE 7230A.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, NFS ENTERED INTO A SETTLEMENT WITH FINRA IN THFORM OF AN ACCEPTANCE, WAIVER AND CONSENT (AWC) AND AGREED TO THE FINDINGS AND TO THEIMPOSITION OF A CENSURE AND \$55,000 FINE.

Entity information Related to item 10(e)(2) Record: 9

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

05/02/2014

10(e)(2)(iv). The Court or body taking the Action and its location

NASDAQ

10(e)(2)(v). Description of the Action

THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT DURING THE PERIODJANUARY 1, 2009 THROUGH JULY 31, 2011 IT ENTERED ORDERS INTO THE NASDAQ MARKET CENTER THATFAILED TO INDICATE THE CORRECT CAPACITY IDENTIFIED FROM A SAMPLE OF TRANSACTIONS REVIEWED. FOTHESE ORDERS, THE FIRM REPORTED A PRINCIPAL CAPACITY WHEN IT ACTED AS AGENT. AS A RESULT, THEFIRM VIOLATED NASDAQ RULE 4611(A)(6).

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, NFS ENTERED INTO A SETTLEMENT WITH FINRA IN THFORM OF AN ACCEPTANCE, WAIVER AND CONSENT (AWC) AND AGREED TO THE FINDINGS AND TO THEIMPOSITION OF A CENSURE AND \$10,000 FINE.

Entity information Related to item 10(e)(2) Record: 10

10(e)(2)(i). The individuals named in the Action

FIDELITY BROKERAGE SERVICES LLC

10(e)(2)(ii). Title of Action

In the Matter of FIDELITY BROKERAGE SERVICES LLC

10(e)(2)(iii). Date of Action

01/16/2015

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THEENTRY OF FINDINGS THAT, AT VARIOUS TIMES FROM JANUARY 2006 TO SEPTEMBER 2013, EXCESS FEES WERCHARGED TO 20,633 CUSTOMER ACCOUNTS, TOTALING APPROXIMATELY \$2.4 MILLION.

10(e)(2)(vi). The disposition of the proceeding

a. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE FIRM IS CENSURED AND FINED \$350,000. INDETERMINING THE APPROPRIATE SANCTIONS, FINRA CONSIDERED THE FIRM'S INTERNAL REVIEW THROUGHWHICH IT SELF-IDENTIFIED THE VIOLATIONS ADDRESSED IN THIS AWC.

Entity information Related to item 10(e)(2) Record: 11

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

08/18/2015

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTION AND TO THE ENTIRE FINDINGS THAT IT INCORRECTLY DESIGNATED THE TAPE ELIGIBLE FLAG OF "R" FOR REPORTS TO THE FINRA/NASDAQ TRADE REPORTING FACILITY (TRF) AND REPORTED THE INCORRECT RELATED MARKET CENTER INDICATOR CODE IN REPORTS TO THE FINRA/NASDAQ TRF.

10(e)(2)(vi). The disposition of the proceeding

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTION OF A FINE OF \$5,000

Entity information Related to item 10(e)(2) Record: 12

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

08/18/2015

10(e)(2)(iv). The Court or body taking the Action and its location

NASDAQ

10(e)(2)(v). Description of the Action

FINRA, ON BEHALF OF CBOE, FOUND THAT NATIONAL FINANCIAL SERVICES LLC FAILED TO IMPLEMENT, MAINTAIN, AND ENFORCE A WRITTEN PROCEDURE PROVIDING THE STEPS THE FIRM SHOULD TAKE IN THE EVENT AN OVERAGE WAS IDENTIFIED SO THAT THE FIRM COULD TAKE PROMPT ACTION TO BRING A POSITION INTO COMPLIANCE AND FOR FAILING TO HAVE A PROCESS TO PREVENT THE EXECUTION OF OPTION TRADES ACCOUNT IN WHICH THE FIRM HAD AN INTEREST THAT WOULD RESULT IN THE BREACH OF THE POSITION LIMITS AS A RESULT, CBOE FOUND THAT NATIONAL FINANCIAL SERVICES LLC VIOLATED CBOE RULES 4.11 AND 4.24.

10(e)(2)(vi). The disposition of the proceeding

NATIONAL FINANCIAL SERVICES LLC, WITHOUT ADMITTING OR DENYING THE FINDINGS, CONSENTED TO THE IMPOSITION OF THE FOLLOWING SANCTIONS: (1) CENSURE, AND (2) A MONETARY FINE IN THE AMOUNT OF \$7,500 PAID ON OCTOBER 6, 2020.

Entity information Related to item 10(e)(2) Record: 13

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

11/20/2024

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA FOUND THAT NATIONAL FINANCIAL SERVICES LLC MISREPORTED CERTAIN QUANTITATIVE INFORMATION OR FAILED TO DISCLOSE CERTAIN MATERIAL ASPECTS OF THE FIRM'S RELATIONSHIPS WITH ITS EXECUTION VENUES IN ITS RULE 606(A) QUARTERLY REPORTS UNDER REGULATION NMS OF THE SECURITIES EXCHANGE ACT OF 1934 AND THAT NATIONAL FINANCIAL SERVICES LLC ERRONEOUSLY EXCLUDED IMMEDIATE-OR-CANCEL (IOC) MID-POINT PEG ORDERS IN ITS RULE 605 MONTHLY REPORTS

UNDER REGULATION NMS.

10(e)(2)(vi). The disposition of the proceeding

NATIONAL FINANCIAL SERVICES LLC, WITHOUT ADMITTING OR DENYING THE FINDINGS, CONSENTED TO THE FOLLOWING SANCTIONS: (1) CENSURE, AND (2) A MONETARY FINE IN THE AMOUNT OF \$175,000.

Entity information Related to item 10(e)(2) Record: 14

10(e)(2)(i). The individuals named in the Action

NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF NATIONAL FINANCIAL SERVICES LLC

10(e)(2)(iii). Date of Action

03/19/2025

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA FOUND THAT NATIONAL FINANCIAL SERVICES LLC FAILED TO TIMELY TRANSFER OVER 5,600 UITS VIA AUTOMATED CUSTOMER ACCOUNT TRANSFER SERVICE (ACATS), AND IT FURTHER FAILED TO TRANSFER APPROXIMATELY 4,000 OF THOSE UITS IN KIND, AS CUSTOMERS HAD INSTRUCTED. NFS LLC ALSO FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SYSTEM, INCLUDING WSPS, REASONABLY DESIGNED TO SUPERVISE THE TIMELY COMPLETION OF ACATS TRANSFERS FOR UITS WITH PENDING CORPORATE EVENTS (E.G., A REDEMPTION DATE) THAT COMPLIED WITH FINRA RULE 11870(E). BEFORE NOVEMBER 2023, THE FIRM HAD NO SUPERVISORY SYSTEM, INCLUDING WSPS, ADDRESSING UITS WHOSE ACATS TRANSFERS THE FIRM BLOCKED DUE TO A PENDING REDEMPTION OR OTHER CORPORATE EVENT. AND WHILE THE SYSTEM, INCLUDING WSPS, THAT THE FIRM ESTABLISHED IN NOVEMBER 2023 IS DESIGNED TO BLOCK ACATS TRANSFERS DUE TO IMMINENT CORPORATE EVENTS, IT IS NOT DESIGNED TO ACHIEVE COMPLIANCE WITH NFS' OBLIGATION TO COMPLETE EACH TRANSFER WITHIN THREE BUSINESS DAYS FOLLOWING THE VALIDATION OF A TRANSFER INSTRUCTION.

10(e)(2)(vi). The disposition of the proceeding

NATIONAL FINANCIAL SERVICES LLC, WITHOUT ADMITTING OR DENYING THE FINDINGS, CONSENTED TO THE FOLLOWING SANCTIONS: (1) A CENSURE, (2) A MONETARY FINE IN THE AMOUNT OF \$100,000, AND (3) CERTIFY IN WRITING THAT IT HAS REMEDIATED THE ISSUES IDENTIFIED IN THE AWC AND IMPLEMENTED A REASONABLY DESIGNED SUPERVISORY SYSTEM, INCLUDING WSPS.

Entity information Related to item 10(e)(2) Record: 15

10(e)(2)(i). The individuals named in the Action

DIGITAL BROKERAGE SERVICES LLC

10(e)(2)(ii). Title of Action

IN THE MATTER OF DIGITAL BROKERAGE SERVICES LLC

10(e)(2)(iii). Date of Action

12/22/2025

10(e)(2)(iv). The Court or body taking the Action and its location

FINRA

10(e)(2)(v). Description of the Action

FINRA FOUND THAT DIGITAL BROKERAGE SERVICES LLC DISTRIBUTED CERTAIN RETAIL COMMUNICATIONS REGARDING ITS MOBILE APPLICATION AND CRYPTO ASSETS OR CRYPTO ASSET-RELATED SERVICES THAT FAILED TO CLEARLY DISCLOSE THAT THE CRYPTO ASSETS WERE NOT OFFERED THROUGH A REGISTERED BROKER-DEALER OR THAT DID NOT PROVIDE A FAIR AND BALANCED PRESENTATION OF THE BENEFITS AND RISKS OF THE PRODUCTS DISCUSSED. THE FINDINGS STATED THAT AFTER FINRA NOTIFIED THE FIRM OF ITS VIOLATIVE COMMUNICATIONS, THE FIRM STOPPED USING CERTAIN COMMUNICATIONS RELATED TO CRYPTO ASSETS AND UNDERTOOK A REVIEW OF THE WAY IN WHICH IT DESCRIBED CRYPTO ASSETS AND CRYPTO ASSET-RELATED SERVICES IN ITS COMMUNICATIONS,

AND DISCONTINUED OR UPDATED ITS COMMUNICATION TO ACHIEVE COMPLIANCE WITH FINRA'S CONTENT STANDARDS.

10(e)(2)(vi). The disposition of the proceeding

DIGITAL BROKERAGE SERVICES LLC, WITHOUT ADMITTING OR DENYING THE FINDINGS, CONSENTED TO THE FOLLOWING SANCTIONS: (1) A CENSURE, AND (2) A MONETARY FINE IN THE AMOUNT OF \$85,000.

10(e)(3). found the applicant or a control affiliate to have been the cause of an investment-related business losing its authorization to do business?

☐ Yes ☒ No

10(e)(4). disciplined the applicant or a control affiliate by expelling or suspending it from membership, by barring or suspending its association with other members, or by otherwise restricting its activities?

☐ Yes ☒ No

10(f). Has any foreign government, court, regulatory agency or exchange ever entered an order against the applicant or a control affiliate related to investments or fraud?

☒ Yes ☐ No

Entity information Related to item 10(f) Record: 1

10(f)(i). The individuals named in the Action

FMR LLC

10(f)(ii). Title of Action

IN THE MATTER OF FMR LLC

10(f)(iii). Date of Action

04/21/2014

10(f)(iv). The Court or body taking the Action and its location

HELLENIC REPUBLIC CAPITAL MARKET COMMISSION (THE "HCMC")

10(f)(v). Description of the Action

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 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, PROVIDED FOR BY CERTAIN ARTICLES OF LASW 3556/2007.

10(f)(vi). The disposition of the proceeding

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.

Entity information Related to item 10(f) Record: 2

10(f)(i). The individuals named in the Action

FMR LLC

10(f)(ii). Title of Action

In the matter of FMR LLC

10(f)(iii). Date of Action

02/24/2014

10(f)(iv). The Court or body taking the Action and its location

SWEDEN'S FINANSINSKEPTIONEN (THE "SFSA")

10(f)(v). Description of the Action

ON FEBRUARY 24, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM SWEDEN'S FINANSINSKEPTIONEN (THE "SFSA") THAT THE SFSA WAS ISSUING A FINE, EQUIVALENT TO APPROXIMATELY US\$9,000, AGAINST FMR LLC BASED ON A FINDING

10(f)(vi). The disposition of the proceeding

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. FMR LLC IS APPEALING THE SFSB'S DECISION

FMR LLC SUBMITTED AN APPEAL TO THE ADMINISTRATIVE COURT ON MARCH 13, 2014 AND IS AWAITING FURTHER ACTION BY THE COURT

Entity information Related to item 10(f) Record: 3

10(f)(i). The individuals named in the Action

FMR LLC

10(f)(ii). Title of Action

IN THE MATTER OF FMR LLC

10(f)(iii). Date of Action

04/14/2014

10(f)(iv). The Court or body taking the Action and its location

LUXEMBOURG'S COMMISSION DE SURVEILLANCE DUE SECTEUR FINANCIER (THE CSSF)

10(f)(v). Description of the Action

LUXEMBOURG'S COMMISSION DE SURVEILLANCE DUE SECTEUR FINANCIER (THE "CSSF") WAS ISSUING AN ADMINISTRATIVE FINE OF APPROXIMATELY US\$5,000 AGAINST FMR LLC BASED ON THE FINDINGS THAT FMR LLC FOR SHARES HELD BY CLIENT FUNDS AND ACCOUNTS MANAGED BY FMR LLC'S INVESTMENT ADVISORY SUBSIDIARIES, FAILED TIMELY TO COMPLY WITH DEADLINES FOR THE NOTIFICATION OF MAJOR SHAREHOLDING IN A LUXEMBOURG BASED COMPANY PROVIDED FOR BY ARTICLE 11(2) OF THE TRANSPARENCY LAW.

10(f)(vi). The disposition of the proceeding

ON APRIL 14, 2014, FMR LLC, THE REGISTRANT'S ULTIMATE PARENT COMPANY, RECEIVED NOTICE FROM LUXEMBOURG'S COMMISSION DE SURVEILLANCE DUE SECTEUR FINANCIER (THE "CSSF") THAT THE CSSF WAS ISSUING AN ADMINISTRATIVE FINE OF APPROXIMATELY US\$5000 AGAINST FMR LLC

10(g). Is the applicant or a control affiliate now the subject of a proceeding that could result in a yes answer for questions 10(a) – 10(f) ?

☒ Yes ☐ No

Entity information Related to item 10(g) Record: 1

10(g)(i). The individuals named in the Action

Fidelity Brokerage Services LLC

10(g)(ii). Title of Action

IN THE MATTER OF FIDELITY BROKERAGE SERVICES LLC

10(g)(iii). Date of Action

01/26/2022

10(g)(iv). The Court or body taking the Action and its location

Massachusetts Securities Division

10(g)(v). Description of the Action

E-2021-0030

10(g)(vi). The disposition of the proceeding

CENSURE; HIRE INDEPENDENT COMPLIANCE CONSULTANT TO REVIEW POLICIES & RECOMMEND REVISIONS; ADMINISTRATIVE FINE.

10(h). Has a bonding company denied, paid out on, or revoked a bond for the applicant or a control affiliate?

☐ Yes ☒ No

10(i). Does the applicant or a control affiliate have any unsatisfied judgments or liens

☐ Yes ☒ No

against it?

TA-1/A : Signature

ATTENTION: INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACT CONSTITUTE FEDERAL CRIMINAL VIOLATIONS. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a)

SIGNATURE: The registrant submitting this form, and as required, the SEC supplement and Schedules A-D, And the executing official hereby represent that all the information contained herein is true, correct and complete.

11(a). Signature of Official responsible for Form:

Amy DeVasto

11(b). Telephone Number:

401-292-6071

11(c). Title of Signing Officer:

Chief Compliance Officer Transfer Agent

11(d). Date Signed (Month/Day/Year):

10/16/2026