

Liquidnet, Inc.

BD Number: 103987

01/16/2024

BD – DIRECT OWNERS / EXECUTIVE OFFICERS

|                  |                          |                           |                           |
|------------------|--------------------------|---------------------------|---------------------------|
| Ownership Codes: | NA – less than 5%        | B – 10% but less than 25% | D - 50% but less than 75% |
|                  | A – 5% but less than 10% | C – 25% but less than 50% | E – 75% or more           |

| Full Legal Name              | DE/FE/I | Title or Status                                    | Date Acquired | Own. Code | Control Person | PR | CRD # (or S.S.No., IRS Tax #, Emp. ID) |
|------------------------------|---------|--|---------------|-----------|----------------|----|--|
| BOND, ROBERT                 | I       | CEO/DIRECTOR                                       | 09/2021       | NA        | Y              | N  | 4121948                                |
| DESIMONE, LISA MARIE         | I       | CHIEF COMPLIANCE OFFICER                           | 12/2021       | NA        | Y              | N  | 2691368                                |
| GOULET, STEPHEN PAUL         | I       | SENIOR MANAGING DIRECTOR/GENERAL COUNSEL/SECRETARY | 04/2021       | NA        | N              | N  | 4769810                                |
| LIQUIDNET HOLDINGS, INC.     | DE      | SHAREHOLDER  | 01/2000       | E         | Y              | N  | 13-4092641                             |
| PEZEU, CHRISTIAN JEAN MICHEL | I       | CHIEF FINANCIAL OFFICER                            | 04/2021       | NA        | Y              | N  | 5661987                                |