

Primary Business Name: BIDS TRADING L.P.

BD Number: 141296

BD - AMENDMENT

06/17/2019

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the *applicant* required to be reported on Schedule B?☒ Yes ☐ No

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

| Full Legal Name | DE/FE/I | Title or Status | Date Acquired | Own. Code | Control Person | PR | CRD #(or S.S.No., IRS Tax #, Emp. ID) |
|-------------------------|---------|--|---------------|-----------|----------------|----|---------------------------------------|
| BIDS HOLDINGS GP LLC | DE | GENERAL PARTNER | 06/2006 | NA | Y | N | 20-5087280 |
| BIDS HOLDINGS L.P. | DE | SOLE LIMITED PARTNER | 06/2006 | E | Y | N | 20-5087370 |
| LEE, JAMES A | I | PRODUCT MANAGER/COO | 06/2006 | NA | N | N | 5185439 |
| MAHONEY, TIMOTHY JOSEPH | I | CHIEF EXECUTIVE OFFICER | 10/2006 | NA | Y | N | 1298478 |
| SHAY, MARYBETH | I | SENIOR MANAGING DIRECTOR - SALES & MARKETING | 10/2007 | NA | Y | N | 2040245 |
| SMITH, BRIAN PATRICK | I | CHIEF COMPLIANCE OFFICER | 02/2008 | NA | N | N | 2866603 |