

**Primary Business Name: BIDS TRADING L.P.****BD Number: 141296****BD - AMENDMENT****01/08/2021****BD - DIRECT OWNERS/EXECUTIVE OFFICERS****Are there any indirect owners of the *applicant* required to be reported on Schedule B?**☒ **Yes** ☐ **No**

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

<b>Full Legal Name</b>	<b>DE/FE/I</b>	<b>Title or Status</b>	<b>Date Acquired</b>	<b>Own. Code</b>	<b>Control Person</b>	<b>PR</b>	<b>CRD #(or S.S.No., IRS Tax #, Emp. ID)</b>
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
LEIBOWITZ, IRA BENJAMIN	I	CONTROLLER	11/2019	NA	N	N	4267169
Lazo, Theodore Richard	I	CHIEF LEGAL OFFICER	01/2020	NA	N	N	7215911
MAHONEY, TIMOTHY JOSEPH	I	PRESIDENT	10/2006	NA	Y	N	1298478
SHAY, MARYBETH	I	VICE PRESIDENT, SALES & MARKETING	10/2007	NA	Y	N	2040245
SMITH, BRIAN PATRICK	I	CHIEF COMPLIANCE OFFICER	02/2008	NA	N	N	2866603