

Primary Business Name: LUMINEX TRADING & ANALYTICS LLC**BD Number: 171752****BD - AMENDMENT****09/19/2019****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)
CLARK, JONATHAN ANDREW	I	PRESIDENT	08/2015	NA	Y	N	2603188
CLARK, JONATHAN ANDREW	I	CEO AND DIRECTOR	09/2015	NA	Y	N	2603188
CRONIN, MICHAEL KEVIN	I	DIRECTOR	01/2015	NA	N	N	1849645
DOLAN, JAMES CHRISTOPHER	I	CHIEF COMPLIANCE OFFICER	09/2015	NA	Y	N	3219968
DOLAN, JAMES CHRISTOPHER	I	CHIEF LEGAL OFFICER	10/2015	NA	Y	N	3219968
EVARTS, NATHANIEL NELSON	I	DIRECTOR	02/2019	NA	N	N	2460453
FARLEY, BRENDA	I	DIRECTOR	07/2019	NA	N	N	7146025
FMR SAKURA HOLDINGS, INC.	DE	OWNER	03/2018	D	Y	N	82-4664912
HOPKINS, THOMAS JOHN	I	FINOP	10/2015	NA	N	N	1835087
LANE, DAVID KENNETH	I	DIRECTOR	11/2018	NA	N	N	2516957
SKOKO, DRAGAN	I	DIRECTOR	06/2018	NA	N	N	4394961
STUTSMAN, PETER DUARD	I	DIRECTOR	09/2018	NA	N	N	2986277
WHITEHEAD, PAUL NOAH	I	DIRECTOR	04/2015	NA	N	N	4336636
WILLIAMS, CLIVE MARTIN	I	DIRECTOR	01/2015	NA	N	N	6451605