

**Primary Business Name: LUMINEX TRADING & ANALYTICS LLC****BD Number: 171752****BD - AMENDMENT****04/05/2023****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)
CONARY, NEIL WHITNEY	I	CEO	03/2022	NA	Y	N	1060818
DOLAN, JAMES CHRISTOPHER	I	CHIEF COMPLIANCE OFFICER	09/2015	NA	Y	N	3219968
HAGEN, DAVID WALTER	I	CHIEF PRODUCT OFFICER	03/2022	NA	N	N	2101752
KEZAR MARKETS, LLC	DE	OWNER	03/2022	E	Y	N	20-1926812
LINARES, JOHN FITZGERALD	I	GENERAL COUNSEL, CORPORATE SECRETARY	03/2022	NA	N	N	3104547
MIELE, STEPHEN R	I	CHIEF STRATEGY OFFICER	03/2022	NA	N	N	2645590
STUPAY, MICHAEL ELLIOT	I	FINOP, PRINCIPAL OPERATIONS OFFICER, PRINCIPAL FINANCIAL OFFICER	03/2022	NA	N	N	2287906