Primary Business Name: INSTINET, LLC **BD Number: 7897**

BD - AMENDMENT

11/13/2019

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)
GOVONI, MARK JAMES	I	PRESIDENT	05/2016	NA	Y	N	4574136
HALPIN, IRENE ANN	I	ASSOCIATE GENERAL COUNSEL, CHIEF COMPLIANCE OFFICER (BROKER DEALER, NON-CBOE/C2) AND ANTI-MONEY LAUNDERING COMPLIANCE OFFICER	09/2017	NA	Y	N	6764763
INSTINET HOLDINGS INCORPORATED	DE	DIRECT OWNER	12/2005	E	Y	N	20-3879157
KENNIFF, ALICE M	I	ASSOCIATE GENERAL COUNSEL AND CHIEF COMPLIANCE OFFICER (INVESTMENT ADVISER)	09/2016	NA	Y	N	5615714
MAURO, LUKE	I	HEAD OF OPERATIONS	02/2014	NA	Y	N	4188932
RICHMOND, LAURE E	I	CHIEF FINANCIAL OFFICER	09/2019	NA	Y	N	5115429
SISKOVIC, JULIE MARIE	I	CHIEF COMPLIANCE OFFICER (BROKER-DEALER, CBOE/C2)	11/2019	NA	Y	N	1385048
WEBB, FARON ROSS	I	GENERAL COUNSEL	01/2014	NA	Y	N	2452057