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

BD - AMENDMENT

02/22/2023

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)
CHIULLI, EUGENE JAMES	I	CHIEF FINANCIAL OFFICER	06/2022	NA	Y	N	2976702
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
PRATNICKI, GREG	I	CHIEF COMPLIANCE OFFICER	10/2022	NA	Y	N	2409187
PRATNICKI, GREG	I	ANTI - MONEY LAUNDERING COMPLIANCE OFFICER	09/2021	NA	Y	N	2409187
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
WHELAN, THOMAS WILLIAM	I	PRESIDENT	12/2022	NA	Y	N	2361736

© 2023 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc.
Privacy | Legal | Terms & Conditions