

BrokerCheck Report

NOBLETRADING.COM, INC.

CRD# 119024

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

NOBLETRADING.COM, INC.

CRD# 119024

SEC# 8-53723

Main Office Location148 MADISON AVENUE, 9TH FLOOR
NEW YORK, NY 10016**Mailing Address**148 MADISON AVENUE, 9TH FLOOR
NEW YORK, NY 10016**Business Telephone Number**

212-810-2200

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 08/09/1999.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 05/24/2010

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 08/09/1999.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

NOBLETRADING.COM, INC.

Doing business as NOBLETRADING.COM, INC.

CRD# 119024

SEC# 8-53723

Main Office Location

148 MADISON AVENUE, 9TH FLOOR
NEW YORK, NY 10016

Mailing Address

148 MADISON AVENUE, 9TH FLOOR
NEW YORK, NY 10016

Business Telephone Number

212-810-2200



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	LIGHTSPEED FINANCIAL, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	DIRECT OWNER
Position Start Date	02/2010
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ACTMAN, ANDREW HOWARD 2869087
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	02/2010
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LYONS, JASON ROBERT 2921790
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO / FINOP
Position Start Date	02/2010

Firm Profile**Direct Owners and Executive Officers (continued)**

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): PETZOLD, KEITH WILLIAM
2944070

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 02/2010

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	SCHONFELD GROUP HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	LIGHTSPEED FINANCIAL, INC.
Relationship to Direct Owner	OWNER
Relationship Established	08/2009
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SCHONFELD GROUP, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SCHONFELD GROUP HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	03/2004
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SCHONFELD, STEVEN BART 1051868
Is this a domestic or foreign	Individual

Firm Profile



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established SCHONFELD GROUP, INC.

Relationship to Direct Owner OWNER

Relationship Established 03/2004

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SCHONFELD, STEVEN BART
1051868

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established SCHONFELD GROUP HOLDINGS, LLC

Relationship to Direct Owner OWNER

Relationship Established 03/2009

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 06/19/2002 to 12/31/2011.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Mutual fund retailer

Put and call broker or dealer or option writer

Non-exchange member arranging for transactions in listed securities by exchange member

Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name: PENSON FINANCIAL SERVICES, INC.
CRD #: 25866
Business Address: 1700 PACIFIC AVENUE - SUITE 1400
DALLAS, TX 75201
Effective Date: 03/01/2008
Description: NOBLETRADING IS INTRODUCING CUSTOMER ACCOUNTS DIRECTLY TO PENSON FINANCIAL ON A FULLY DISCLOSED BASIS. PENSON FINANCIAL WILL HOLD ALL ACCOUNTS, FUNDS, AND SECURITIES. PENSON FINANCIAL IS THE CLEARING FIRM FOR NOBLETRADING.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: PENSON FINANCIAL SERVICES, INC.

CRD #: 25866

Business Address: 1700 PACIFIC AVENUE - SUITE 1400
DALLAS, TX 75201

Effective Date: 03/01/2008

Description: NOBLETRADING IS INTRODUCING CUSTOMER ACCOUNTS DIRECTLY TO PENSON FINANCIAL ON A FULLY DISCLOSED BASIS. PENSON FINANCIAL WILL HOLD ALL ACCOUNTS, FUNDS, AND SECURITIES. PENSON FINANCIAL IS THE CLEARING FIRM FOR NOBLETRADING.

This firm does have accounts, funds, or securities maintained by a third party.

Name: PENSON FINANCIAL SERVICES, INC.

CRD #: 25866

Business Address: 1700 PACIFIC AVENUE - SUITE 1400
DALLAS, TX 75201

Effective Date: 03/01/2008

Description: NOBLETRADING IS INTRODUCING CUSTOMER ACCOUNTS DIRECTLY TO PENSON FINANCIAL ON A FULLY DISCLOSED BASIS. PENSON FINANCIAL WILL HOLD ALL ACCOUNTS, FUNDS, AND SECURITIES. PENSON FINANCIAL IS THE CLEARING FIRM FOR NOBLETRADING.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: PENSON FINANCIAL SERVICES, INC.

CRD #: 25866

Business Address: 1700 PACIFIC AVENUE - SUITE 1400
DALLAS, TX 75201

Effective Date: 03/01/2008

Description: NOBLETRADING IS INTRODUCING CUSTOMER ACCOUNTS DIRECTLY TO PENSON FINANCIAL ON A FULLY DISCLOSED BASIS. PENSON FINANCIAL WILL HOLD ALL ACCOUNTS, FUNDS, AND SECURITIES. PENSON FINANCIAL IS THE CLEARING FIRM FOR NOBLETRADING.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

Firm Operations



Industry Arrangements (continued)

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

LIGHTSPEED TRADING, LLC is under common control with the firm.

CRD #:	35519
Business Address:	148 MADISON AVENUE 9TH FLOOR NEW YORK, NY 10016
Effective Date:	02/12/2010
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL THROUGH LIGHTSPEED HOLDINGS, LLC

SCHON-EX LLC is under common control with the firm.

CRD #:	32211
Business Address:	ONE JERICO PLAZA JERICO, NY 11753
Effective Date:	02/12/2010
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL THROUGH SCHONFELD GROUP HOLDINGS, LLC

Firm Operations



Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	2	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Firm

Current Status: Final



Allegations: NOBLETRADING.COM MAINTAINED AN ACCOUNT WITH A MONTANA RESIDENT, AND WITHOUT BEING REGISTERED BY THE DEPARTMENT, CONDUCTED A CERTAIN NUMBER OF SECURITIES TRANSACTIONS ON BEHALF OF THE MONTANA RESIDENT.

Initiated By: STATE OF MONTANA

Date Initiated: 03/30/2010

Docket/Case Number: SEC-2010-07

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 04/06/2010

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered: REIMBURSEMENT TO THE MONTANA RESIDENT FOR WHOM THE TRADES WERE TRANACTED A TOTAL OF \$1943.68 FOR HIS REALIZED ECONOMIC LOSS.

Sanction Details: FINE PAID TO THE STATE OF MONTANA IN THE AMOUNT OF \$5000.00 AND REIMBURSEMENT TO THE CUSTOMER OF \$1943.68. BOTH WERE PAID 3/30/10.

Disclosure 2 of 2

Reporting Source: Regulator

Current Status: Final

Allegations: NOBLETRADING.COM (NOBLE) APPLIED FOR BD REGISTRATION 05/14/2009. COMMISSION RECORDS REFLECT NOBLE WAS PREVIOUSLY REGISTERED AS A BD IN AL FROM 03/20/2003-12/31/2006. DOCUMENTS RECEIVED FROM NOBLE'S CLEARING FIRM REFLECT BD EFFECTED 1,098 SECURITIES TRANSACTIONS FOR AL CLIENTS FROM 02/20/2007- 08/18/2009 SUBSEQUENT TO TERMINATION. RECORDS REFLECT THAT 42 TRANSACTIONS WERE EFFECTED AFTER NOBLE WAS ADVISED THAT EFFECTING SECURITIES TRANSACTIONS FOR AL CLIENTS W/O BENEFIT OF REGISTRATION WAS UNLAWFUL.



Initiated By: ALABAMA
Date Initiated: 01/29/2010
Docket/Case Number: CD-2010-0005
URL for Regulatory Action:
Principal Product Type: Equity - OTC
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Cease and Desist
Other Sanction(s)/Relief Sought: NOBLETRADING.COM (NOBLE) APPLIED FOR BD REGISTRATION 05/14/2009. COMMISSION RECORDS REFLECT NOBLE WAS PREVIOUSLY REGISTERED AS A BD IN AL FROM 03/20/2003-12/31/2006. DOCUMENTS RECEIVED FROM NOBLE'S CLEARING FIRM REFLECT BD EFFECTED 1,098 SECURITIES TRANSACTIONS FOR AL CLIENTS FROM 02/20/2007- 08/18/2009 SUBSEQUENT TO TERMINATION. RECORDS REFLECT THAT 42 TRANSACTIONS WERE EFFECTED AFTER NOBLE WAS ADVISED THAT EFFECTING SECURITIES TRANSACTIONS FOR AL CLIENTS W/O BENEFIT OF REGISTRATION WAS UNLAWFUL.
Resolution: Order
Resolution Date: 11/01/2010
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Sanctions Ordered: Cease and Desist/Injunction
Other Sanctions Ordered:
Sanction Details: RESPONDENT PROVIDED EVIDENCE OF ISSUING/COMPLETING RESCISSION OFFERS TO ALABAMA INVESTORS OTHER THAN ONE, WHO COULD NOT BE LOCATED. HOWEVER, RESPONDENT HAS ADVISED IT IS NO LONGER IN BUSINESS. THEREFORE, THE CEASE AND DESIST ORDER IS A FINAL AND PERMANENT ORDER OF THE COMMISSION AS OF 11/1/2010.
Regulator Statement NOBLETRADING.COM (NOBLE) APPLIED FOR BD REGISTRATION 05/14/2009. COMMISSION RECORDS REFLECT NOBLE WAS PREVIOUSLY REGISTERED AS A BD IN AL FROM 03/20/2003-12/31/2006. DOCUMENTS RECEIVED FROM NOBLE'S CLEARING FIRM REFLECT BD EFFECTED 1,098 SECURITIES TRANSACTIONS FOR AL CLIENTS FROM 02/20/2007- 08/18/2009 SUBSEQUENT TO TERMINATION. RECORDS REFLECT THAT 42



TRANSACTIONS WERE EFFECTED AFTER NOBLE WAS ADVISED THAT EFFECTING SECURITIES TRANSACTIONS FOR AL CLIENTS W/O BENEFIT OF REGISTRATION WAS UNLAWFUL.

Reporting Source: Firm

Current Status: Final

Allegations: FIRM TERMINATED ITS REGISTRATION STATUS IN THE STATE OF ALABAMA ON 12/31/2006. SINCE THE TERMINATION, THE FIRM HAS CONDUCTED BUSINESS IN THE STATE OF ALABAMA WITHOUT REGISTRATION.

Initiated By: STATE OF ALABAMA

Date Initiated: 01/29/2010

Docket/Case Number: CD-2010-0005

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Cease and Desist

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 01/29/2010

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: CEASE AND DESIST AS OF 01/29/2010

End of Report



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