BrokerCheck Report

LIGHTSPEED TRADING, LLC

CRD# 131703

Section Title	Page(s)
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 6
Firm History	7
Firm Operations	8 - 16

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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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.

LIGHTSPEED TRADING, LLC

CRD# 131703

SEC# 8-66493

Main Office Location

50 HARRISON STREET
SUITE 215
HOBOKEN, NJ 07030

Mailing Address

50 HARRISON STREET
SUITE 215
HOBOKEN, NJ 07030

Business Telephone Number

201-610-9909

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 limited liability company.

This firm was formed in Delaware on 03/12/2003.

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?	**No**

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:	12/29/2006
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 03/12/2003.

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.

LIGHTSPEED TRADING, LLC

Doing business as LIGHTSPEED TRADING, LLC

CRD# 131703

SEC# 8-66493

Main Office Location

50 HARRISON STREET
SUITE 215
HOBOKEN, NJ 07030

Mailing Address

50 HARRISON STREET
SUITE 215
HOBOKEN, NJ 07030

Business Telephone Number

201-610-9909

Other Names of this Firm

Name	Where is it used
INFINITY EQUITIES, INC.	IL

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):	CORTRIGHT, ROBERT SCOT MR. 2187605
Is this a domestic or foreign entity or an individual?	Individual
Position	MEMBER
Position Start Date	05/2003
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):	PLAUT, THOMAS FREDERICK 1339785
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	05/2003
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):	MARRA, MATTHEW CRAIG 4668221
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL OPERATIONS PRINCIPAL

Direct Owners and Executive Officers (continued)

Position Start Date	05/2003
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CORTRIGHT, STEPHEN CHRISTOPHER MR.
	2296014
Is this a domestic or foreign entity or an individual?	Individual
Position	MEMBER
Position Start Date	05/2003
Percentage of Ownership	5% but less than 10%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LIVA, EDWARD III
	4918122
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER, CHIEF OPERATIONS OFFICER, SROP, CROP
Position Start Date	04/2006
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

No information reported.

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 10/22/2004 to 02/27/2007.

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 6 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
U S. government securities broker
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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

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

Name:	LEGENT CLEARING
CRD #:	117176
Business Address:	9300 UNDERWOOD AVENUE SUITE 400 OMAHA, NE 68114
Effective Date:	03/03/2005
Description:	LEGENT HOLDS A SECURITY DEPOSIT WHICH LIGHTSPEED PARTIALLY COUNTS TOWARDS NET CAPITAL.

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

Name:	LEGENT CLEARING
CRD #:	117176
Business Address:	9300 UNDERWOOD AVENUE SUITE 400 OMAHA, NE 68114
Effective Date:	03/03/2005
Description:	LEGENT, VIA A CLEARING AGREEMENT, MAINTAINS CUSTODY OF CUSTOMER FUNDS ON BEHALF OF LIGHTSPEED TRADING LLC.

Control Persons/Financing

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

This firm does have individuals who wholly or partly finance the firm's business.

Name:	FX SOLUTIONS, LLC
Business Address:	127 E. RIDGEWOOD AVENUE SUITE 201 RIDGEWOOD, NJ 07450
Effective Date:	03/05/2003
Description:	LIGHTSPEED TRADING, LLC HAS RECEIVED FUNDING (PARTLY FINANCED) FROM FX SOLUTIONS, LLC A NFA MEMBER (NFA ID: 0312620) AND REGISTERED FUTURES COMMISSION MERCHANT. IN CERTAIN CIRCUMSTANCES, FX SOLUTIONS, LLC'S PRINCIPALS AND MANAGERS

Firm Operations

Industry Arrangements (continued)

SERVE IN THE SAME OR COMPARABLE FUNCTIONS WITH LIGHTSPEED TRADING, LLC.

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.

FIN LABS DOMESTIC FUND, LLC is under common control with the firm.

Business Address:	127 E. RIDGEWOOD AVENUE RIDGEWOOD, NJ
Effective Date:	03/12/2003
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO INDIRECTLY MANAGING MEMBERS OF FIN LABS DOMESTIC FUND, LLC.

FIN LABS MASTER FUND, LTD. is under common control with the firm.

Business Address:	KINGS COURT BAY STREET PO BOX N-3944 NASSAU, BAHAMAS
Effective Date:	03/12/2003
Foreign Entity:	Yes
Country:	BAHAMAS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FIN LABS MASTER FUND, LTD.

FIN LABS INTERNATIONAL FUND, LTD. is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

Business Address:	KINGS COURT BAY STREET PO BOX N-3944 NASSAU, BAHAMAS
Effective Date:	03/12/2003
Foreign Entity:	Yes
Country:	BAHAMAS
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FIN LABS INTERNATIONAL FUND, LTD.

FINANCIAL LABS, LLC is under common control with the firm.

Business Address:	2 BRATTLE SQUARE CAMBRIDGE, MA 02138
Effective Date:	03/12/2003
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FINANCIAL LABS, LLC.

FOREX FUNDS OF NY, LLC is under common control with the firm.

Business Address:	127 E. RIDGEWOOD AVENUE RIDGEWOOD, NJ 07450
Effective Date:	03/12/2003
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No

Firm Operations

Organization Affiliates (continued)

Description: INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FOREX FUNDS OF NY, LLC.

FOREX FUNDS, LLC is under common control with the firm.

Business Address: 127 E. RIDGEWOOD AVENUE
RIDGEWOOD, NJ 07450

Effective Date: 03/12/2003

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FOREX FUNDS, LLC.

FX SOLUTIONS, LLC is under common control with the firm.

Business Address: 127 E. RIDGEWOOD AVENUE
RIDGEWOOD, NJ 07450

Effective Date: 03/12/2003

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: INDIVIDUALS WHO ARE MAJORITY OWNERS OF LIGHTSPEED TRADING, LLC ARE ALSO MAJORITY OWNERS OF FX SOLUTIONS, LLC.

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**

Firm Operations

Organization Affiliates (continued)

End of Report

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