BrokerCheck Report

TOS TRADING LLC

CRD# 148080

Section Title	Page(s)
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 6
Firm History	7
Firm Operations	8 - 13
Disclosure Events	14

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.
-

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.

TOS TRADING LLC

CRD# 148080

SEC# 8-67967

Main Office Location

600 W. CHICAGO AVE., SUITE 100
CHICAGO, IL 60654-2597

Mailing Address

600 W. CHICAGO AVE., SUITE 100
CHICAGO, IL 60654-2597

Business Telephone Number

773 435-3210

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 07/15/2008.

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**

The number of disclosures from non-registered control affiliates is 1

©2024 FINRA. All rights reserved.

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:	01/31/2009
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

©2024 FINRA. All rights reserved.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/15/2008.

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.

TOS TRADING LLC

Doing business as TOS TRADING LLC

CRD# 148080

SEC# 8-67967

Main Office Location

600 W. CHICAGO AVE., SUITE 100
CHICAGO, IL 60654-2597

Mailing Address

600 W. CHICAGO AVE., SUITE 100
CHICAGO, IL 60654-2597

Business Telephone Number

773 435-3210

©2024 FINRA. All rights reserved.

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):	THINKORSWIM HOLDINGS INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER, MANAGER & OWNER
Position Start Date	07/2008
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):	GRADY, ANN MARIE 4505862
Is this a domestic or foreign entity or an individual?	Individual
Position	COMPLIANCE OFFICER
Position Start Date	07/2008
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SHERIDAN, SCOTT DANIEL 2420659
Is this a domestic or foreign entity or an individual?	Individual
Position	EXEC. VP
Position Start Date	07/2008

©2024 FINRA. All rights reserved.

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):	SKIRUCHA, MICHAEL ROBERT 5532856
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	07/2008
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SOSNOFF, TOM 704235
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	07/2008
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

©2024 FINRA. All rights reserved.

Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	THINKORSWIM GROUP INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	THINKORSWIM HOLDINGS INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2007
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

©2024 FINRA. All rights reserved.

Firm History

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

No information reported.

©2024 FINRA. All rights reserved.

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 10/15/2008 to 02/02/2009.

©2024 FINRA. All rights reserved.

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 3 types of businesses.

Types of Business

Exchange member engaged in floor activities
Put and call broker or dealer or option writer
Trading securities for own account

©2024 FINRA. All rights reserved.

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.

©2024 FINRA. All rights reserved.

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: 08/01/2008

Description: PENSON WILL ALSO MAINTAIN A MAJORITY OF THE APPLICANT'S TRADE AND CLEARANCE RECORDS FOR BOOKS & RECORDS

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
SUITE 1400
DALLAS, TX 75201

Effective Date: 08/01/2008

Description: AGREEMENT WITH PENSON FINANCIAL SERVICES INC. TOS TRADING,LLC HAS ENTERED INTO A JOINT BACK OFFICE AGREEMENT WITH PENSON FINANCIAL SERVICES INC. ("PENSON"). PENSON WILL CLEAR ALL SECURITIES TRANSACTIONS AND HOLD ALL FUNDS ON TOS TRADING LLC'S BEHALF IN ACCORDANCE ALL RELATED BUSINESS AND REGULATORY REQUIREMENTS.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

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

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

©2024 FINRA. All rights reserved.

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.

THINKORSWIM, INC. is under common control with the firm.

CRD #:	106069
Business Address:	600 W. CHICAGO AVE., SUITE 100 CHICAGO, IL 60654-2497
Effective Date:	09/14/1999
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THINKORSWIM INC. OPERATES AN ELECTRONIC RETAIL EXECUTION BROKERAGE BUSINESS. THINKORSWIM INC. AND THE APPLICANT ARE UNDER COMMON CONTROL OF THINKORSWIM HOLDINGS INC.

THINKORSWIM ADVISORS, INC. is under common control with the firm.

CRD #:	111046
Business Address:	600 W. CHICAGO AVE., SUITE 100 CHICAGO, IL 60654-2597
Effective Date:	10/01/1999
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THINKORSWIM ADVISORS ASSISTS IN THE MANAGEMENT OF FUNDS FOR

©2024 FINRA. All rights reserved.

Firm Operations

Organization Affiliates (continued)

INSTITUTIONAL AND HIGH NET WORTH INDIVIDUALS. THIS ENTITY IS OWNED DIRECTLY BY THINKORSWIM HOLDINGS INC. AND IS UNDER THE SAME COMMON CONTROL AS THE APPLICANT. THE ULTIMATE PARENT COMPANY OF THINKORSWIM HOLDINGS INC. IS THINKORSWIM GROUP INC.

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**

©2024 FINRA. All rights reserved.

Disclosure Events for Non-Registered Control Affiliates

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	1	0	0

©2024 FINRA. All rights reserved.

Disclosure Event Details

Regulatory - Pending

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	THINKORSWIM GROUP INC.
Current Status:	Pending
Allegations:	THINKORSWIM GROUP INC. IS THE PARENT COMPANY OF INVESTOOLS INC. WHICH PROVIDES SECURITIES-RELATED TRAINING PROGRAMS. THE SEC HAS OPENED AN INQUIRY INTO CERTAIN REPRESENTATIONS MADE BY CERTAIN PRESENTERS OF THIS EDUCATIONAL MATERIAL MADE TO PUBLIC INVESTORS IN ATTENDANCE AT CERTAIN TRAINING SEMINARS. THE SUBJECT PARTIES WERE/ARE EMPLOYED BY INVESTOOLS,INC. A SUBSIDIARY OF THINKORSWIM GROUP INC. THIS INQUIRY DOES NOT INVOLVE ANY EMPLOYEE OR OFFICER OF THINKORSWIM,INC.(FINRA MEMBER) OR TOS TRADING LLC(SUBJECT APPLICANT): HOWEVER, THESE TWO ENTITIES ARE UNDER COMMON CONTROL OF THE SAME PARENT COMPANY, THINKORSWIM GROUP, INC.
Initiated By:	U.S. SECURITIES EXCHANGE COMMISSION
Date Initiated:	03/01/2008
Docket/Case Number:	
Principal Product Type:	Options
Other Product Type(s):	EQUITY AND OPTIONS SECURITIES-RELATED TRAINING AND EDUCATIONAL PROGRAMS
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Firm Statement	SEC HAS NOTIFIED THINKORSWIM GROUP INC. OF THE SUBJECT FORMAL INVESTIGATION. THERE HAS BEEN NO FURTHER NOTICE BY THE SEC OR ANY NOTICE OF SEC FINDINGS. THINKORSWIM GROUP INC. CONTINUES TO COOPERATE WITH THIS INVESTIGATION.

©2024 FINRA. All rights reserved.

End of Report

This page is intentionally left blank.

©2024 FINRA. All rights reserved.