

BrokerCheck Report

INSTITUTIONAL CASH DISTRIBUTORS, LLC

CRD# 149635

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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.

• **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.



INSTITUTIONAL CASH DISTRIBUTORS, LLC

CRD# 149635

SEC# 8-68161

Main Office Location

245 PARK AVENUE
NEW YORK, NY 10167
Regulated by FINRA New York Office

Mailing Address

245 PARK AVENUE
NEW YORK, NY 10167

Business Telephone Number

646.430.6030

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 California on 08/08/2008.

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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 5 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

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**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in California on 08/08/2008.

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.

INSTITUTIONAL CASH DISTRIBUTORS, LLC

Doing business as INSTITUTIONAL CASH DISTRIBUTORS, LLC

CRD# 149635

SEC# 8-68161

Main Office Location

245 PARK AVENUE
NEW YORK, NY 10167

Regulated by FINRA New York Office

Mailing Address

245 PARK AVENUE
NEW YORK, NY 10167

Business Telephone Number

646.430.6030



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):	ICD INTERMEDIATE HOLDCO 2 LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	01/2018
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):	BRUNER, CHRISTIAN ADAM 5661505
Is this a domestic or foreign entity or an individual?	Individual
Position	BOARD MEMBER
Position Start Date	01/2025
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):	CLACK, AMY 4882071
Is this a domestic or foreign entity or an individual?	Individual
Position	BOARD MEMBER
Position Start Date	01/2025

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): HAZARD, VICTOR JAMES IV
1871503

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

Position CEO / COO

Position Start Date 12/2010

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): JELLISON, JEFFREY CARTER
2411034

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

Position MANAGING DIRECTOR

Position Start Date 08/2024

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): KAHNEY, DOUGLAS RYAN

Firm Profile



Direct Owners and Executive Officers (continued)

	4903813
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2025
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):	NEWTON, THOMAS PHILLIP 2114728
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR
Position Start Date	08/2024
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):	PITTINSKY, JONATHAN DAVID 4291263
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO/FINOP
Position Start Date	05/2025
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SERRAO, ASHLEY NEIL
5360541

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

Position BOARD MEMBER

Position Start Date 01/2025

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): WOOD, ELISABETH KIRBY
4929181

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

Position BOARD MEMBER

Position Start Date 01/2025

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):	ICD INTERMEDIATE HOLDCO 1 LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ICD INTERMEDIATE HOLDCO 2 LLC
Relationship to Direct Owner	MEMBER
Relationship Established	10/2017
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):	TRADEWEB MARKETS INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TRADEWEB MARKETS LLC
Relationship to Direct Owner	MEMBER
Relationship Established	08/2024
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

Legal Name & CRD# (if any):	TRADEWEB MARKETS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	ICD INTERMEDIATE HOLDCO 1 LLC
Relationship to Direct Owner	MEMBER
Relationship Established	08/2024
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

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 currently registered with the SEC, 1 SRO and 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/17/2009

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	12/17/2009



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/15/2010
Alaska	Approved	02/11/2010
Arizona	Approved	01/06/2010
Arkansas	Approved	01/11/2010
California	Approved	01/05/2010
Colorado	Approved	01/19/2010
Connecticut	Approved	01/06/2010
Delaware	Approved	01/11/2010
District of Columbia	Approved	01/12/2010
Florida	Approved	10/27/2017
Georgia	Approved	03/05/2010
Hawaii	Approved	03/18/2010
Idaho	Approved	01/06/2010
Illinois	Approved	01/04/2010
Indiana	Approved	01/29/2010
Iowa	Approved	03/05/2010
Kansas	Approved	02/11/2010
Kentucky	Approved	01/11/2010
Louisiana	Approved	02/10/2010
Maine	Approved	02/11/2010
Maryland	Approved	01/14/2010
Massachusetts	Approved	01/06/2010
Michigan	Approved	03/25/2010
Minnesota	Approved	01/11/2010
Mississippi	Approved	02/11/2010
Missouri	Approved	02/10/2010
Montana	Approved	12/18/2009
Nebraska	Approved	01/08/2010
Nevada	Approved	01/28/2010
New Hampshire	Approved	01/07/2010
New Jersey	Approved	01/15/2010
New Mexico	Approved	01/12/2010
New York	Approved	01/22/2010

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	04/15/2010
North Dakota	Approved	01/07/2010
Ohio	Approved	01/04/2010
Oklahoma	Approved	01/13/2010
Oregon	Approved	02/17/2010
Pennsylvania	Approved	01/08/2010
Rhode Island	Approved	02/11/2010
South Carolina	Approved	03/11/2010
South Dakota	Approved	01/07/2010
Tennessee	Approved	06/21/2018
Texas	Approved	01/25/2010
Utah	Approved	12/22/2009
Vermont	Approved	01/21/2010
Virginia	Approved	01/26/2010
Washington	Approved	01/05/2010
West Virginia	Approved	02/19/2010
Wisconsin	Approved	01/12/2010
Wyoming	Approved	01/06/2010



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
Private placements of securities
Other - FIRM IS UNDER AGREEMENT WITH SAXON SECURITIES, LLC FOR DISTRIBUTION OF BROKERED CDS TO OUR CLIENTS.
FIRM IS UNDER AGREEMENT WITH STONECASTLE CASH MANAGEMENT, LLC, FOR INTRODUCTION OF FICA DEPOSITS TO FIRM CLIENTS.
FIRM IS UNDER AGREEMENT WITH TRI-STATE CAPITAL BANK, FOR INTRODUCTION OF BANK DEPOSIT SERVICES TO FIRM CLIENTS.

Other Types of Business

This firm does not 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:	J.P. MORGAN SECURITIES LLC
CRD #:	79
Business Address:	4 CHASE METROTECH CENTER, 3RD FL BROOKLYN, NY 11245
Effective Date:	10/01/2017
Description:	THE FIRM HAS A INTRODUCING BROKER CLEARING AGREEMENT WITH JP MORGAN SECURITIES, LLC, (FKA "JP MORGAN CLEARING CORP.") FOR ESTABLISHMENT, MAINTENANCE, AND SERVICING OF CLEARING ACCOUNTS WITH OUR FIRM AS INTRODUCING BROKER.

Firm Operations

Industry Arrangements



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

Name: DOCUSIGN, INC.
Business Address: 221 MAIN STREET
 SUITE 800
 SAN FRANCISCO, CA 94105
Effective Date: 06/03/2025
Description: DOCUSIGN INC. MAINTAINS ONBOARDING RECORDS ON BEHALF OF ICD LLC.

Name: TOTT LABS LLC
Business Address: 51 MELCHER STREET
 BOSTON, MA 02210
Effective Date: 06/12/2025
Description: TOTT LABS LLC MAINTAINS CONTINUING EDUCATION RECORDS ON BEHALF OF ICD LLC.

Name: COMPLY TECHNOLOGIES, INC.
Business Address: 136 MADISON AVE
 6TH FLOOR
 NEW YORK, NY 10016
Effective Date: 04/29/2025
Description: COMPLY TECHNOLOGIES, INC. MAINTAINS PERSONAL ACCOUNT DEALING RECORDS ON BEHALF OF ICD LLC.

Name: AMAZON WEB SERVICES, INC.
Business Address: 410 TERRY AVENUE NORTH
 SEATTLE, WA 98109-5210
Effective Date: 06/04/2025
Description: AMAZON WEB SERVICE, INC. MAINTAINS "OTHER" BUSINESS RECORDS ON BEHALF OF ICD LLC.

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

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

Control Persons/Financing

Firm Operations



Industry Arrangements (continued)

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.



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.**

TRADEWEB L.L.C is under common control with the firm.

CRD #:	42759
Business Address:	1177 AVENUE OF THE AMERICAS NEW YORK, NY 10036
Effective Date:	08/01/2024
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TORA TRADING SERVICES, LLC is under common control with the firm.

CRD #:	135423
Business Address:	1440 CHAPLIN AVENUE BURLINGAME, NJ 94010
Effective Date:	08/01/2024
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

Firm Operations



Organization Affiliates (continued)

TORA TRADING SERVICES LIMITED is under common control with the firm.

Business Address:	198 WELLINGTON STREET 20F HONG KONG, HONG KONG
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB EXECUTION SERVICES B.V. is under common control with the firm.

Business Address:	STRAWINSKYLAAN 4117 AMSTERDAM, NETHERLANDS 1077 ZX
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB JAPAN K,K, is under common control with the firm.

Business Address:	LEVEL 26, KYOBASHI EDO GRAND 2-2-1 KYOBASHI CHUO-KU, TOKYO, JAPAN
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	JAPAN
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB EXECUTION SERVICES LIMITED is under common control with the firm.

Business Address: 1 FORE STREET AVENUE
LONDON, UNITED KINGDOM EC2Y 9DT

Effective Date: 08/01/2024

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB EU BV is under common control with the firm.

Business Address: STRAWINSKYLAAN 4117
AMSTERDAM, NETHERLANDS 1077 ZX

Effective Date: 08/01/2024

Foreign Entity: Yes

Country: NETHERLANDS

Securities Activities: Yes

Investment Advisory Activities: No

Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TURQUOISE GLOBAL HOLDINGS EUROPE B.V. is under common control with the firm.

Business Address: 679 KEIZERSGRACHT
AMSTERDAM, NETHERLANDS 1017DV

Effective Date: 08/01/2024

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

Country:	NETHERLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

LONDON STOCK EXCHANGE PLC is under common control with the firm.

Business Address:	10 PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7LS
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TURQUOISE GLOBAL HOLDINGS LIMITED is under common control with the firm.

Business Address:	10 PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7LS
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

REFINITIV TRANSACTION SERVICES LIMITED is under common control with the firm.

Business Address:	30 SOUTH COLONNADE LONDON, UNITED KINGDOM E14 5EP
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Firm Operations



Organization Affiliates (continued)

Effective Date: 08/01/2024
Foreign Entity: Yes
Country: UNITED KINGDOM
Securities Activities: Yes
Investment Advisory Activities: No
Description: UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

REDI GLOBAL TECHNOLOGIES LLC is under common control with the firm.

Business Address: 3 TIMES SQUARE
12TH FLOOR
NEW YORK, NY 10036
Effective Date: 08/01/2024
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

IFR, MUNICIPAL MARKET DATA is under common control with the firm.

CRD #: 109120
Business Address: 22 THOMSON PLACE
BOSTON, MA 02210
Effective Date: 08/01/2024
Foreign Entity: No
Country:
Securities Activities: No
Investment Advisory Activities: Yes
Description: IFR, MUNICIPAL MARKET DATA IS UNDER COMMON CONTROL THROUGH

Firm Operations



Organization Affiliates (continued)

THE LONDON STOCK EXCHANGE GROUP PLC.

DEALERWEB LLC is under common control with the firm.

CRD #:	19662
Business Address:	185 HUDSON STREET HARBORSIDE 5, SUITE 2200 JERSEY CITY, NJ 07311
Effective Date:	08/01/2024
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	DEALERWEB LLC IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB EUROPE LIIMITED is under common control with the firm.

Business Address:	1 FORE STREET AVENUE LONDON, UNITED KINGDOM EC2Y 9DT
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	TRADEWEB EUROPE LIMITED IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

TRADEWEB DIRECT LLC is under common control with the firm.

CRD #:	103787
Business Address:	1177 AVENUE OF THE AMERICAS NEW YORK, NY 10036
Effective Date:	08/01/2024
Foreign Entity:	No

Firm Operations



Organization Affiliates (continued)

Country:
Securities Activities: Yes

Investment Advisory Activities: No

Description: TRADEWEB DIRECT LLC IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

FINANCIAL & RISK TRANSACTION SERVICES LIMITED is under common control with the firm.
Business Address: 12/13 EXCHANGE PLACE
DUBLIN, IRELAND D01P8H1

Effective Date: 08/01/2024

Foreign Entity: Yes

Country: IRELAND

Securities Activities: Yes

Investment Advisory Activities: No

Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

ICD EUROPA - EMPRESA DE INVESTIMENTO, S.A. is under common control with the firm.
Business Address: MARQUES POMBAL 14
LISBON, PORTUGAL 1250-162

Effective Date: 10/17/2022

Foreign Entity: Yes

Country: PORTUGAL

Securities Activities: Yes

Investment Advisory Activities: No

Description: AFFILIATE COMPANY WHOLLY OWNED BY FIRM'S PARENT COMPANY, ICD INTERMEDIATE HOLDCO 2, LLC (DELAWARE COMPANY). CONDUCTS SIMILAR BUSINESS FOR EU DOMICILED CLIENTS. AFFILIATE COMPANY IS INCORPORATED IN PORTUGAL, AND REGULATED BY THE PORTUGUESE CMVM (COMISSÃO DO MERCADO DE VALORES MOBILIÁRIOS).

Firm Operations



Organization Affiliates (continued)

INSTITUTIONAL CASH DISTRIBUTORS, LTD is under common control with the firm.

Business Address:	30 CROWN PLACE LONDON, UK EC2A4EB
Effective Date:	03/26/2010
Foreign Entity:	Yes
Country:	UK
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE COMPANY WHOLLY OWNED BY FIRM'S PARENT COMPANY, ICD INTERMEDIATE HOLDCO 2, LLC (DELAWARE COMPANY). CONDUCTS SIMILAR BUSINESS FOR UK AND CERTAIN EU DOMICILED CLIENTS. AFFILIATE COMPANY IS INCORPORATED IN THE UK, AND REGULATED BY THE UK FINANCIAL CONDUCT AUTHORITY.

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

End of Report



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