

BrokerCheck Report

XTX MARKETS LLC

CRD# 289846

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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:
 - o 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
 - o 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.



XTX MARKETS LLC

CRD# 289846

SEC# 8-70009

Main Office Location

50 HUDSON YARDS
72ND FLOOR
NEW YORK, NY 10001
Regulated by FINRA New York Office

Mailing Address

50 HUDSON YARDS
72ND FLOOR
NEW YORK, NY 10001

Business Telephone Number

212-660-9930

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 New York on 05/12/2016.

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
- 14 Self-Regulatory Organizations
- 1 U.S. state or territory

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

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have 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 New York on 05/12/2016.

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.

XTX MARKETS LLC

Doing business as XTX MARKETS LLC

CRD# 289846

SEC# 8-70009

Main Office Location

50 HUDSON YARDS
72ND FLOOR
NEW YORK, NY 10001

Regulated by FINRA New York Office

Mailing Address

50 HUDSON YARDS
72ND FLOOR
NEW YORK, NY 10001

Business Telephone Number

212-660-9930



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): XTX HOLDINGS LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SOLE MEMBER

Position Start Date 04/2020

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): BRINGUIER, ROBIN JEAN ROBERT MARIE
7798550

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

Position HEAD OF U.S. OPERATIONS - PRINCIPAL OPERATIONS OFFICER

Position Start Date 01/2024

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): KLEYMAN, LILIANA MICHELLE
6697556

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

Position FINOP - PRINCIPAL FINANCIAL OFFICER

Position Start Date 06/2024



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? No

Is this a public reporting company? No

Legal Name & CRD# (if any): POSTLETHWAITE, AILEEN LORELLE
5931575

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 01/2026

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): SWANSON, ERIC JOHN
5224320

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

Position CEO

Position Start Date 06/2017

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):	GERKO, ALEXANDER 6848632
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	XTX TOPCO LIMITED
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	07/2017
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):	XTX HOLDINGS LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	XTX HOLDINGS LLC
Relationship to Direct Owner	HOLDING COMPANY
Relationship Established	03/2020
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):	XTX MIDCO LIMITED
Is this a domestic or foreign	Foreign Entity

Firm Profile



Indirect Owners (continued)

entity or an individual?

Company through which indirect ownership is established XTX HOLDINGS LIMITED

Relationship to Direct Owner HOLDING COMPANY

Relationship Established 07/2017

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): XTX TOPCO LIMITED

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established XTX MIDCO LIMITED

Relationship to Direct Owner HOLDING COMPANY

Relationship Established 07/2017

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

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, 14 SROs and 1 U.S state or territory.

Federal Regulator	Status	Date Effective
SEC	Approved	12/13/2017

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/21/2024
Cboe BYX Exchange, Inc.	Approved	02/29/2024
Cboe BZX Exchange, Inc.	Approved	09/22/2022
Cboe EDGA Exchange, Inc.	Approved	02/29/2024
Cboe EDGX Exchange, Inc.	Approved	02/29/2024
Cboe Exchange, Inc.	Approved	11/10/2022
Investors' Exchange LLC	Approved	03/22/2024
MEMX LLC	Approved	02/20/2024
MIAX PEARL, LLC	Approved	06/03/2024
NYSE Arca, Inc.	Approved	03/15/2024
NYSE Texas, Inc.	Approved	12/13/2017
Nasdaq Stock Market	Approved	04/01/2024
Nasdaq Texas, LLC	Approved	04/01/2024
New York Stock Exchange	Approved	03/15/2024

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
New York	Approved	06/06/2024

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 2 types of businesses.

Types of Business

U S. government securities dealer
Trading securities for own account

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 have books or records maintained by a third party.

Name: XTX MARKETS TECHNOLOGIES LIMITED

Business Address: R7
14-18 HANDYSIDE ST.
LONDON, UK N1C 4DN

Effective Date: 10/01/2023

Description: XTX MARKETS LLC ("XTX LLC") IS AN AFFILIATED ENTITY TO XTX MARKETS TECHNOLOGIES LIMITED ("XTX TECH"). AS PART OF AN INTER-COMPANY SERVICES AGREEMENT, CERTAIN BOOKS & RECORDS OF XTX LLC WILL BE STORED ON SERVERS MAINTAINED BY XTX TECH AT ITS PRIMARY OPERATION ADDRESS IN LONDON, UK.

Name: SMARSH INC.

Business Address: 851 SW 6TH AVE.
PORTLAND, OR 97204

Effective Date: 01/11/2018

Description: SMARSH INC. PROVIDES ARCHIVING OF THE FIRM'S ELECTRONIC COMMUNICATIONS.

Name: XTX MARKETS LIMITED

Business Address: R7
14-18 HANDYSIDE ST.
LONDON, UK N1C 4DN

Effective Date: 07/01/2015

Description: XTX MARKETS LLC ("XTX LLC") IS AN AFFILIATED ENTITY TO XTX MARKETS LIMITED (XTX LTD), A UK BASED FCA AUTHORIZED INVESTMENT FIRM (FCA FRN711945). AS PART OF AN INTER-COMPANY SERVICES AGREEMENT, CERTAIN BOOKS & RECORDS OF XTX LLC WILL BE STORED ON SERVERS MAINTAINED BY XTX LTD AT ITS PRIMARY OPERATION ADDRESS IN LONDON, UK.

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

Name: GOLDMAN SACHS & CO. LLC

CRD #: 361

Business Address: 200 WEST ST.
NEW YORK, NY 10282

Firm Operations



Industry Arrangements (continued)

Effective Date:	08/21/2024
Description:	GOLDMAN SACHS & CO. LLC WILL ACT AS A PRIME BROKER FOR THE FIRM.
Name:	BOFA SECURITIES, INC.
CRD #:	283942
Business Address:	ONE BRYANT PARK NEW YORK, NY 10036
Effective Date:	08/14/2023
Description:	BOFA SECURITIES, INC. WILL ACT AS A PRIME BROKER FOR THE FIRM.
Name:	SOCIETE GENERALE SA
Business Address:	29 BOULEVARD HAUSSMANN PARIS, FRANCE 75009
Effective Date:	11/30/2021
Description:	SOCIETE GENERALE SA WILL CARRY OUT REPURCHASE AND REVERSE REPURCHASE ACTIVITY WITH RESPECT TO ANY POSITIONS MAINTAINED BY THE FIRM IN U.S. TREASURY SECURITIES ON AN OVERNIGHT BASIS.
Name:	CIBC WORLD MARKETS INC.
Business Address:	161 BAY ST. 5TH FLOOR TORONTO, CANADA M5J 2S8
Effective Date:	10/29/2019
Description:	CIBC WORLD MARKETS INC. WILL ACT AS A PRIME BROKER FOR THE FIRM.
Name:	NOMURA SECURITIES INTERNATIONAL, INC.
CRD #:	4297
Business Address:	309 W. 49TH ST. NEW YORK, NY 10019
Effective Date:	11/19/2018
Description:	NOMURA SECURITIES INTERNATIONAL, INC. WILL ACT AS A PRIME BROKER FOR THE FIRM.
Name:	SG AMERICAS SECURITIES, LLC
CRD #:	128351

Firm Operations



Industry Arrangements (continued)

Business Address: 245 PARK AVENUE
NEW YORK, NY 10167

Effective Date: 08/31/2018

Description: SG AMERICAS SECURITIES LLC WILL ACT AS THE FIRM'S CLEARING
BROKER FOR U.S. TREASURY SECURITIES.

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.



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.**

XTX QUANTITATIVE STRATEGIES LIMITED is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED 190 ELGIN AVENUE GEORGE TOWN, GRAND CAYMAN KY1-9001
Effective Date:	10/01/2025
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	XTX QUANTITATIVE STRATEGIES LIMITED IS UNDER COMMON CONTROL WITH XTX MARKETS LLC THROUGH XTX GROUP HOLDING COMPANIES

XTX MARKETS TRADING LIMITED is under common control with the firm.

Business Address:	R7 14-18 HANDYSIDE ST. LONDON, UNITED KINGDOM N1C 4DN
Effective Date:	12/01/2021
Foreign Entity:	Yes
Country:	ENGLAND AND WALES
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	XTX HOLDINGS LIMITED CONTROLS XTX MARKETS TRADING LIMITED AND XTX HOLDINGS LLC, THE SOLE MEMBER OF XTX MARKETS LLC.

Firm Operations



Organization Affiliates (continued)

XTX CAPITAL LIMITED is under common control with the firm.

Business Address:	C/O WALKERS CORPORATE LIMITED 190 ELGIN AVENUE GEORGE TOWN, GRAND CAYMAN KY1-9001
Effective Date:	08/06/2020
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	XTX CAPITAL LIMITED IS UNDER COMMON CONTROL WITH XTX MARKETS LLC THROUGH XTX GROUP HOLDING COMPANIES.

XTX MARKETS LLP is under common control with the firm.

Business Address:	74 MAKER MAXITY, 3 NORTH AVE. BANDRA KURLA COMPLEX, BANDRA EAST MUMBAI, INDIA 400051
Effective Date:	07/20/2020
Foreign Entity:	Yes
Country:	INDIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	XTX HOLDINGS LIMITED CONTROLS XTX MARKETS LLP AND XTX HOLDINGS LLC, THE SOLE MEMBER OF XTX MARKETS LLC

XTX EXECUTION SERVICES LLC is under common control with the firm.

CRD #:	309266
Business Address:	50 HUDSON YARDS 64TH FLOOR NEW YORK, NY 10001
Effective Date:	05/01/2020
Foreign Entity:	No

Firm Operations



Organization Affiliates (continued)

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: XTX MARKETS LLC AND XTX EXECUTION SERVICES LLC ARE UNDER THE COMMON CONTROL OF XTX HOLDINGS LLC.

XTX MARKETS PTE. LTD. is under common control with the firm.

Business Address: 50 COLLYER QUAY
#07-03 OUE BAYFRONT
SINGAPORE, SINGAPORE 049321

Effective Date: 07/01/2019

Foreign Entity: Yes

Country: SINGAPORE

Securities Activities: Yes

Investment Advisory Activities: No

Description: XTX HOLDINGS LIMITED CONTROLS XTX MARKETS PTE. LTD. AND XTX HOLDINGS LLC, THE SOLE MEMBER OF XTX MARKETS LLC.

XTX MARKETS SAS is under common control with the firm.

Business Address: 128 RUE DU FAUBOURG
ST. HONORE
PARIS, FRANCE 75008

Effective Date: 02/28/2019

Foreign Entity: Yes

Country: FRANCE

Securities Activities: Yes

Investment Advisory Activities: No

Description: XTX HOLDINGS LIMITED CONTROLS XTX MARKETS SAS AND XTX HOLDINGS LLC, THE SOLE MEMBER OF XTX MARKETS LLC.

XTX MARKETS LIMITED is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

Business Address:	R7 14-18 HANDYSIDE ST. LONDON, UK N1C 4DN
Effective Date:	07/01/2015
Foreign Entity:	Yes
Country:	ENGLAND AND WALES
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	XTX HOLDINGS LIMITED CONTROLS XTX MARKETS LIMITED AND XTX HOLDINGS LLC, THE SOLE MEMBER OF XTX MARKETS 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

End of Report



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