

BrokerCheck Report

TRADEWEB L.L.C

CRD# 42759

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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)

**TRADEWEB L.L.C**

CRD# 42759

SEC# 8-49994

Main Office Location

1177 AVENUE OF THE AMERICAS
NEW YORK, NY 10036
Regulated by FINRA New York Office

Mailing Address

1177 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

Business Telephone Number

646-430-6000

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 01/27/1997.

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
- 9 U.S. states and territories

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 Delaware on 01/27/1997.

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.

TRADEWEB L.L.C

Doing business as TRADEWEB L.L.C

CRD# 42759

SEC# 8-49994

Main Office Location

1177 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

Regulated by FINRA New York Office

Mailing Address

1177 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

Business Telephone Number

646-430-6000



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): TRADEWEB GLOBAL LLC

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

Position OWNER

Position Start Date 01/2008

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): BRUNER, CHRISTIAN ADAM

5661505

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

Position BOARD MEMBER

Position Start Date 01/2023

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): FRIEDMAN, DOUGLAS L.
5121291

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

Position GENERAL COUNSEL

Position Start Date 06/2020

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): MCGUIRE, MICHAEL TERRENCE
2267871

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 05/2017

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): PITTINSKY, JONATHAN DAVID

Firm Profile



Direct Owners and Executive Officers (continued)

	4291263
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR OF FINANCIAL OPERATIONS, FIN-OP PRINCIPAL
Position Start Date	05/2001
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):	PITTINSKY, JONATHAN DAVID 4291263
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER
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

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	01/2023
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): WOOD, ELISABETH KIRBY
4929181

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

Position BOARD MEMBER

Position Start Date 01/2023

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): ZUCKER, SCOTT DAVID
4632822

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

Position BOARD MEMBER

Position Start Date 05/2004

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): ZUCKER, SCOTT DAVID
4632822

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF RISK OFFICER
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



Firm Profile

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

Indirect Owners

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	04/2019
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
Company through which indirect ownership is established	TRADEWEB GLOBAL LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2008
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

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 9 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/13/1997

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: No

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	08/13/1997

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	10/20/2005
District of Columbia	Approved	08/02/2002
Florida	Approved	10/06/2005
Massachusetts	Approved	11/23/2011
New Jersey	Approved	08/20/2002
New York	Approved	02/13/2003
North Carolina	Approved	09/18/2012
Ohio	Approved	07/31/2002
Vermont	Approved	08/22/2002



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 broker

Other - TRADEWEB LLC OPERATES AN ELECTRONIC TRADING PLATFORM THROUGH WHICH INSTITUTIONAL INVESTORS ACCESS INFORMATION, REQUEST BIDS AND OFFERS, AND EFFECT TRANSACTIONS WITH REGISTERED BROKER DEALERS THAT PARTICIPATE IN THE SYSTEM.

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 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: 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 TRADEWEB LLC.

Name: DELTA CAPITA LIMITED
Business Address: 40 BANK STREET,
CANARY WHARF
LONDON, UNITED KINGDOM E14 5NR
Effective Date: 08/07/2025
Description: DELTA CAPITA LIMITED MAINTAINS AML/KYC RECORDS ON BEHALF OF TRADEWEB 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 TRADEWEB 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 TRADEWEB LLC.

Name: AMAZON WEB SERVICES, INC.
Business Address: 410 TERRY AVENUE NORTH
SEATTLE, WA 98109-5210

Firm Operations



Industry Arrangements (continued)

Effective Date: 06/04/2025

Description: AMAZON WEB SERVICE, INC. MAINTAINS "OTHER" BUSINESS RECORDS ON BEHALF OF TRADEWEB 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

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.

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:	08/01/2024
Foreign Entity:	Yes
Country:	PORTUGAL
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	ICD EUROPA - EMPRESA DE INVESTIMENTO, S.A. IS UNDER COMMON CONTROL THROUGH THE LONDON STOCKEXCHANGE.

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

Business Address:	30 CROWN PLACE LONDON, UNITED KINGDOM EC2A4EB
Effective Date:	08/01/2024
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	INSTITUTIONAL CASH DISTRIBUTORS LTD IS UNDER COMMON CONTROL THROUGH LONDON STOCK EXCHANGE.

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

CRD #:	149635
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Firm Operations



Organization Affiliates (continued)

Business Address: 16475 BORDEAUX DRIVE
RENO, NV 89511

Effective Date: 08/01/2024

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: INSTITUTIONAL CASH DISTRIBUTORS LLC IS UNDER COMMON CONTROL THROUGH THE LONDON STOCKEXCHANGE GROUP PLC.

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

CRD #: 135423

Business Address: 1440 CHAPLIN AVENUE
BURLINGAME, CA 94010

Effective Date: 08/09/2022

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 LIMITED is under common control with the firm.

Business Address: 198 WELLINGTON STREET
20F
HONG KONG, HONG KONG

Effective Date: 08/09/2022

Foreign Entity: Yes

Country: HONG KONG

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 B.V. is under common control with the firm.

Business Address: STRAWINSKYLAAN 4117
AMSTERDAM, NETHERLANDS 1077 ZX

Effective Date: 06/09/2022

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 104-0031

Effective Date: 01/29/2021

Foreign Entity: Yes

Country: JAPAN

Securities Activities: Yes

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, GREAT BRITIAN EC2Y 9DT

Effective Date: 01/29/2021

Firm Operations



Organization Affiliates (continued)

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

TRADEWEB EU B.V. is under common control with the firm.

Business Address:	STRAWINSKYLAAN 4117 AMSTERDAM, NETHERLANDS 1077 ZX
Effective Date:	01/29/2021
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.

FINANCIAL & RISK TRANSACTION SERVICES IRELAND LIMITED is under common control with the firm.

Business Address:	12/13 EXCHANGE PLACE DUBLIN, IRELAND HDP
Effective Date:	09/30/2019
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.

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

Firm Operations



Organization Affiliates (continued)

Business Address: 10 PATERNOSTER SQUARE
LONDON, UNITED KINGDOM EC4M 7LS

Effective Date: 01/29/2021

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 SUARE
LONDON, UNITED KINGDOM EC4M 7LS

Effective Date: 01/29/2021

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 EUROPE B.V. is under common control with the firm.

Business Address: 679, KEIZERSGRACHT
AMSTERDAM, NETHERLAND 1017DV

Effective Date: 01/29/2021

Foreign Entity: Yes

Country: NETHERLAND

Securities Activities: Yes

Investment Advisory Activities: No

Description: AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK

Firm Operations



Organization Affiliates (continued)

EXCHANGE GROUP PLC.

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

CRD #:	41924
Business Address:	3 TIMES SQUARE NEW YORK, NY 10036
Effective Date:	01/17/2017
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AFFILIATE 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 32ND FLOOR NEW YORK, NY 10036
Effective Date:	11/01/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	TRADEWEB DIRECT LLC 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 E415EP
Effective Date:	03/29/2019
Foreign Entity:	Yes

Firm Operations



Organization Affiliates (continued)

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

DEALERWEB LLC is under common control with the firm.

CRD #:	19662
Business Address:	HARBORSIDE FINANCIAL CENTER 2200 PLAZA FIVE JERSEY CITY, NJ 07311
Effective Date:	10/31/2008
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.

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

CRD #:	109120
Business Address:	22 THOMSON PLACE BOSTON, MA 02210
Effective Date:	05/01/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AFFILIATE IS UNDER COMMON CONTROL THROUGH THE LONDON STOCK EXCHANGE GROUP PLC.

Firm Operations



Organization Affiliates (continued)

TRADEWEB EUROPE LIMITED is under common control with the firm.

Business Address:	1 FORE STREET AVENUE LONDON, UNITED KINGDOM EC2Y 9DT
Effective Date:	01/25/2000
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.

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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