

## BrokerCheck Report

**ERIC JOHN SWANSON**

CRD# 5224320

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**ERIC J. SWANSON**

CRD# 5224320

**Currently employed by and registered with the following Firm(s):**

**B XTX EXECUTION SERVICES LLC**  
 50 Hudson Yards  
 64th Floor  
 New York, NY 10001  
 CRD# 309266  
 Registered with this firm since: 12/23/2020

**B XTX MARKETS LLC**  
 50 Hudson Yards  
 64th Floor  
 New York, NY 10001  
 CRD# 289846  
 Registered with this firm since: 12/13/2017

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 14 Self-Regulatory Organizations
- 2 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):**

No information reported.

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 14 SROs and is licensed in 2 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **XTX EXECUTION SERVICES LLC**

Main Office Address: **50 HUDSON YARDS  
64TH FLOOR  
NEW YORK, NY 10001**

Firm CRD#: **309266**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	General Securities Principal	Approved	12/23/2020
<b>B</b>	FINRA	General Securities Representative	Approved	12/23/2020
<b>B</b>	FINRA	Operations Professional	Approved	12/23/2020
<b>B</b>	FINRA	Securities Trader	Approved	12/23/2020
<b>B</b>	FINRA	Securities Trader Principal	Approved	12/23/2020

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	New York	Agent	Approved	07/21/2022
<b>B</b>	Texas	Agent	Approved	01/08/2025

### Branch Office Locations

**XTX EXECUTION SERVICES LLC**  
50 HUDSON YARDS  
64TH FLOOR  
NEW YORK, NY 10001

**XTX EXECUTION SERVICES LLC**  
50 Hudson Yards



## Broker Qualifications

### Employment 1 of 2, continued

64th Floor  
New York, NY 10001

### Employment 2 of 2

Firm Name: **XTX MARKETS LLC**  
Main Office Address: **50 HUDSON YARDS  
64TH FLOOR  
NEW YORK, NY 10001**  
Firm CRD#: **289846**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	03/03/2024
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/03/2024
<b>B</b>	Cboe BYX Exchange, Inc.	Securities Trader	Approved	03/03/2024
<b>B</b>	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	03/03/2024
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/17/2022
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/17/2022
<b>B</b>	Cboe BZX Exchange, Inc.	Securities Trader	Approved	10/17/2022
<b>B</b>	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	10/17/2022
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	03/03/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/03/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	03/03/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	03/03/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	03/03/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/03/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	Securities Trader	Approved	03/03/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	03/03/2024



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
B Cboe Exchange, Inc.	General Securities Principal	Approved	11/10/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B Cboe Exchange, Inc.	Securities Trader	Approved	11/10/2022
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	11/10/2022
B FINRA	General Securities Principal	Approved	05/21/2024
B FINRA	General Securities Representative	Approved	05/21/2024
B FINRA	Securities Trader	Approved	05/21/2024
B FINRA	Securities Trader Principal	Approved	05/21/2024
B Investors' Exchange LLC	General Securities Principal	Approved	04/24/2024
B Investors' Exchange LLC	General Securities Representative	Approved	04/24/2024
B Investors' Exchange LLC	Securities Trader	Approved	04/24/2024
B Investors' Exchange LLC	Securities Trader Principal	Approved	04/24/2024
B MEMX LLC	General Securities Principal	Approved	06/10/2024
B MEMX LLC	General Securities Representative	Approved	06/10/2024
B MEMX LLC	Securities Trader	Approved	06/10/2024
B MEMX LLC	Securities Trader Principal	Approved	06/10/2024
B MIAX PEARL, LLC	General Securities Principal	Approved	11/11/2024
B MIAX PEARL, LLC	General Securities Representative	Approved	11/11/2024
B MIAX PEARL, LLC	Securities Trader	Approved	11/11/2024
B MIAX PEARL, LLC	Securities Trader Principal	Approved	11/11/2024
B NYSE Arca, Inc.	General Securities Principal	Approved	03/15/2024
B NYSE Arca, Inc.	General Securities Representative	Approved	03/15/2024



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
B NYSE Arca, Inc.	Securities Trader	Approved	03/15/2024
B NYSE Arca, Inc.	Securities Trader Principal	Approved	03/15/2024
B NYSE Texas, Inc.	Securities Trader	Approved	12/13/2017
B NYSE Texas, Inc.	Securities Trader Principal	Approved	01/23/2018
B NYSE Texas, Inc.	General Securities Principal	Approved	07/31/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	07/31/2020
B Nasdaq BX, Inc.	General Securities Principal	Approved	04/24/2024
B Nasdaq BX, Inc.	General Securities Representative	Approved	04/24/2024
B Nasdaq BX, Inc.	Securities Trader	Approved	04/24/2024
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	04/24/2024
B Nasdaq Stock Market	General Securities Principal	Approved	04/24/2024
B Nasdaq Stock Market	General Securities Representative	Approved	04/24/2024
B Nasdaq Stock Market	Securities Trader	Approved	04/24/2024
B Nasdaq Stock Market	Securities Trader Principal	Approved	04/24/2024
B New York Stock Exchange	General Securities Principal	Approved	03/15/2024
B New York Stock Exchange	General Securities Representative	Approved	03/15/2024
B New York Stock Exchange	Securities Trader	Approved	03/15/2024
B New York Stock Exchange	Securities Trader Principal	Approved	03/15/2024
U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	06/06/2024



## Broker Qualifications

### Employment 2 of 2, continued

#### Branch Office Locations

**XTX MARKETS LLC**  
50 HUDSON YARDS  
64TH FLOOR  
NEW YORK, NY 10001

**XTX MARKETS LLC**  
50 Hudson Yards  
64th Floor  
New York, NY 10001

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	12/20/2017

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Securities Trader Exam	Series 57	10/24/2017

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/20/2022

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
No information reported.			

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
05/2020 - Present	XTX Execution Services LLC	CEO	Y	New York, NY, United States
06/2017 - Present	XTX MARKETS LLC	CEO	Y	NEW YORK, NY, United States
01/2008 - 06/2017	BATS GLOBAL MARKETS	EVP, GENERAL COUNSEL & CORPORATE SECRETARY	Y	NEW YORK, NY, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Imperative Execution Inc., Stamford CT, investment-related - operator of an Alternative Trading System in the US. Position as Director, attending quarterly board meetings. 2-3 hours per month. Start date - October 15, 2025.

Tradelogiq Markets Inc., Toronto, ON Canada, investment-related - operator of Alternative Trading Systems in Canada. Member of the Board of Directors, attending quarterly board meetings, 2-3 hours per month. Start date - January 10, 2022.

## End of Report



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