



PROSPECT
TRADING

Part 2A of Form ADV

Item 1: Cover Page Firm Brochure

Prospect Trading, LLC - CRD #281490

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Elmhurst, IL 60126

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Contact Person

Anthony Razza - CRD #6573008

Title: Registered Investment Advisor | Owner

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This brochure provides information about the qualifications and business practices of PROSPECT TRADING, LLC. If you have any questions about the contents of this brochure, please contact the listed contact person above. The information in this brochure has not been verified by the United States Securities Exchange, or by any state securities authority.

PROSPECT TRADING, LLC holds itself out as an Illinois State Registered Investment Advisor. This registration does not imply any level or special skill or training or approval by the Securities and Exchange Commission. Additional information about PROSPECT TRADING, LLC is available on the SEC's website at www.adviserinfo.sec.gov

January 1, 2024

Prospect Trading, LLC

Item 2: Material Changes

Annual Update:

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

Material Changes Since the Last Update:

- None

Full Brochure Availability:

Whenever you would like to receive a complete copy of the Firm Brochure, please contact by phone (630) 336-1752, or email anthony@prospecttradingllc.com.

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Item 4: Advisory Business

Firm Description:

PROSPECT TRADING, LLC was founded in 2015. PROSPECT TRADING, LLC provides confidential active and tactical investment management and investment planning services only.

PROSPECT TRADING, LLC provides both fee-based and performance-based investment management services. The firm is affiliated with Interactive Brokers whose transaction compensation remains with that firm and is not at anytime paid, with or without soft dollar arrangements, to PROSPECT TRADING, LLC. No finder's fees are accepted.

Investment management and planning is provided with client approval of investment and/or trading strategy per the "Investment Agreement". PROSPECT TRADING, LLC will work within the agreed upon parameters and, at its discretion, will purchase and sell securities within the clients portfolio. The client will always have authority to change or modify any decision, directions or strategies implemented on the client's behalf by PROSPECT TRADING, LLC. PROSPECT TRADING, LLC does not act as a custodian of client assets. The client always maintains asset control. PROSPECT TRADING, LLC places trades under a limited power of attorney.

Periodic reviews can be communicated to provide reminders of the specific courses of action that have been taken, and/or will be taken in the future. Reviews are available per client request.

Other professionals (e.g. lawyers, accountants, insurance agents, etc.) can be engaged directly by the client on an as-needed basis, as PROSPECT TRADING, LLC does not provide those services. Conflicts of interest will be disclosed to the client in the unlikely event they should occur.

An initial meeting is free of charge and is considered an exploratory interview to determine the extent to which investment management may be beneficial to the client.

Principal Owners:

Anthony T Razza is the sole, 100% owner of PROSPECT TRADING, LLC.

Types of Advisory Services:

PROSPECT TRADING, LLC provides active and tactical investment management and investment planning, described below. PROSPECT TRADING, LLC does not advise clients on matters involving personal finance, taxation, trusts, estate planning, insurance etc.

Investment Management: The investment management agreement, made between PROSPECT TRADING, LLC and the client, provides details of the service for the clients account. Goals, objectives and strategy change based on market and economic conditions, and are implemented on an ongoing basis. Investment management agreements include accounts in which PROSPECT TRADING, LLC has the power of attorney to manage and trade in. PROSPECT TRADING, LLC then manages the client's account via the power of attorney, and places trades accordingly. The scope of work and fee for the investment management agreement is provided to the client in writing prior to the start of the relationship. The investment management agreement fee is based on an annualized percentage of net

liquidation under management, or performance-based fee based on a share of the capital gains or capital appreciation of the account. The investment management agreement fee is negotiated between the client and PROSPECT TRADING, LLC based on many factors including: frequency of reviews, size of account, number of accounts etc., or time managing the account. PROSPECT TRADING, LLC offers this service to all clients. Please review Item 7 for client types and account minimums. PROSPECT TRADING, LLC does not offer wrap fee programs.

Investment Planning: The investment planning agreement, made between PROSPECT TRADING, LLC and the client, provides guidance on current client account positions and recommendations to change holdings. The investment planning agreement differs to the investment management agreement in that PROSPECT TRADING, LLC is simply giving investment suggestions to the client and is not placing trades for the client in their account. The investment planning agreement indicates account review periods in which PROSPECT TRADING, LLC will advise the client as to which changes should be made to the account in order to keep objectives in line. It is then up to the client to execute those changes. It is up to the client whether or not they would like to implement those changes. The agreement will also indicate the timing for account reviews. Fees for the investment planning agreement are based on the hourly rate of \$200, not the assets in the clients account. The scope of work and fee for the investment planning agreement is provided to the client in writing prior to the start of the relationship. Account reviews for smaller accounts of \$100,000-\$500,000 would take an estimate of 5-10 hours. Larger account reviews will take more time to discuss as the complexity for diversification takes more time. The client and PROSPECT TRADING, LLC may limit time spent per account review meeting in the investment planning agreement, thus to limit the fees the client will incur.

Account types for both agreements include; individual or joint investment accounts, IRA's, corporate entities, and 401k's. PROSPECT TRADING, LLC does not provide any other financial services such as personal finance, insurance, tax planning, estate planning, and retirement planning.

Investments for both agreements may include but not limited to long and short positions of: stocks, corporate and government debt securities, exchange-traded funds, inverse products, ADRs, mutual funds, and options contracts. Both investing and trading in these securities will be based on the strategy implemented by PROSPECT TRADING, LLC.

As of January 1, 2024, PROSPECT TRADING, LLC manages approximately \$16,000,000 in assets for approximately 37 clients. All of the assets managed are on a discretionary basis, and zero on a non-discretionary basis.

Tailored Relationships:

PROSPECT TRADING, LLC does not typically enter into tailored relationships with each clients. The overall strategy implemented by PROSPECT TRADING, LLC is the same across all similar account types. This allows PROSPECT TRADING, LLC to stay focused on the overall investment strategy and implement that strategy for all clients in a timely matter.

Hourly Engagements:

PROSPECT TRADING, LLC can provide hourly investment services for clients who need advice on a limited scope of work. The hourly rate for limited scope of work is \$200.

Termination Agreement:

A client may terminate any of the agreements at any time by notifying PROSPECT TRADING, LLC in writing and paying the rate for the time spent on the investment management engagement prior to the notification of termination. If the client made an advance payment, PROSPECT TRADING, LLC will refund any unearned portion of the advanced payment.

PROSPECT TRADING, LLC may terminate any of the agreements at any time by notifying the client in writing. If the client made an advance payment, PROSPECT TRADING, LLC will refund any unearned portions of the advance payment.

Item 5: Fees and Compensation

Description:

PROSPECT TRADING, LLC bases its fees either on an annualized percentage of net liquidation under management, performance-based (a share of capital gains and capital appreciation), or hourly charges. Client's plans and strategies are priced accordingly to the degree of complexity and time required associated with the client's situation. Fees are negotiable.

Fee Billing:

Investment management fees, both percentage of net liquidation under management and performance-based, are billed monthly. Fees are debited directly from client accounts by the custodian. Fees are not paid in advance, but due after the investment management for that period.

The maximum investment management fee to be charged to a client will be 2% per annum, and is based on the net liquidation of assets under management. The annual fee is negotiable, with the minimum fee being 0.8% (80 basis points) per annum. The per annum fee on net liquidation under management is not charged to clients who have agreed upon a performance-based fee.

Hourly fees are billed upon completion of engagement with the client, and are due in full within five days of billing.

In Illinois, unless a client has received the firm's disclosure brochure at least 48 hours prior to signing the investment management contract, the client may terminate the investment management contract within five (5) business days of signing the contract without incurring any advisory fees.

Other Fees:

Custodians may charge transaction fees on purchase and sales of stocks, mutual funds, options, and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security. Custodians may also charge account fees, transfer fees, and various other fees to client accounts, which the client is responsible for. PROSPECT TRADING, LLC is not responsible for any fees charged to clients by the custodian. PROSPECT TRADING, LLC does not receive any compensation for the sale of securities, investment products, or mutual funds.

PROSPECT TRADING, LLC in its sole discretion may waive its minimum fee and charge a lesser investment management fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, related accounts, and negotiations with clients.).

Past Due Accounts and Termination of Agreement:

PROSPECT TRADING, LLC reserves the right to stop work on any account that is more than 30 days overdue. In addition, PROSPECT TRADING, LLC reserves the right to terminate any client engagement where the client has willfully concealed or has refused to provide pertinent information about financial situations when necessary and appropriate, in PROSPECT TRADING, LLC's judgment, to providing and making the necessary financial decisions.

Item 6: Performance-Based Fees

PROSPECT TRADING, LLC offers clients the option to choose performance-based fees. The percentage split between the client and PROSPECT TRADING, LLC is determined in the investment management agreement. The fees are based on the gross capital gains and capital appreciation. The fees associated with the clients account (transaction fees, trading fees, margin fees, expense ratio fees, taxes to be paid on gains etc.) are all the responsibility of the client and not paid for by PROSPECT TRADING, LLC. The performance-based fee is based on the gain and capital appreciation prior to those costs and fee to the client.

Performance-based fees can only be offered to "qualified clients" as defined by the SEC in Sec 205-3 as:

- (i) A natural person who or a company that immediately after entering the contract has at least \$1,100,000 under the management of the investment advisor;
- (ii) A natural person who or company that the investment advisor entering into the contract (and any person acting on his behalf) reasonably believes, immediately prior to entering into the contract either:
 - a. Has a net worth (together, in the case of a natural person, with assets held jointly with a spouse) of more than \$2,200,000, at the time the contract is entered into; or
 - b. Is a qualified purchases as defined in section 2(a)(51)(AA) of the Investment Company Act of 1940 (15U.S.C. 80a-2(51)(A)) at the time the contract is entered into; or
- (iii) A natural person who immediately prior to entering the contract is:
 - a. An executive officer, director, trustee, general partner or person serving in similar capacity, of the investment adviser; or
 - b. An employee of the investment adviser (other than an employee performing solely clerical, secretarial or administrative functions with regard to the investment adviser) who, in connection with his or her regular functions or duties, participates in the investment activities of such investment adviser, provided that such employee has been performing such functions and duties for or on behalf of the investment adviser, or substantially similar functions or duties for or on behalf of another company for at least 12 months.

Performance-based fees may create an incentive for PROSPECT TRADING, LLC to recommend a trade or investment that may carry a higher degree of risk for the client. PROSPECT TRADING, LLC will operate to the best of its ability to provide each client under the performance-based fee structure with the opportunities that match their goals and objectives.

While PROSPECT TRADING, LLC does provide a performance-based fee structure; there are client requirements in order for PROSPECT TRADING, LLC to manage in this manner. Review of the client's financials will determine if a performance-based fee structure is permissible.

Item 7: Client Types

PROSPECT TRADING, LLC generally provides investment management services to individuals or corporate entities. Client relationships vary in scope and length of service.

Account Minimums:

The minimum account size is \$100,000 of assets under management. PROSPECT TRADING, LLC has the discretion to waive the account minimum. Accounts less than \$100,000 may be set up when the client and PROSPECT TRADING, LLC anticipate the client will add additional funds in the future to bring the account above \$100,000 in a reasonable period of time. Other exceptions will apply to employees of PROSPECT TRADING, LLC, their relatives, or relative of existing clients.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis:

Security analysis methods may include charting, technical analysis, fundamental analysis, cyclical analysis, and relative valuation and general economic and market analysis.

Main sources of information include financial news (e.g. online, Hedgeye, TV, and newspaper), magazines, research materials from others, corporate reports, company press releases, and filings with the Securities and Exchange Commission. Other information that may be used includes market statistics provided through brokerage accounts.

Investment Strategies:

The investment strategy for PROSPECT TRADING, LLC client accounts consists of an active and tactical management style. We are actively trading in and out of positions according to the strategy in order to maximize / book profits and minimize losses. The strategy is constantly evolving based upon incoming data and research on both macro economics, company specifics, and market technicals.

Strategies may include long-term purchases, short-term purchases, trading, short sales, margin transactions, and various types of options trading. Active strategies may incur more custodian fees from executing trades.

Risk of Loss:

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps risk of loss in mind. Investors face the following investment risks:

Interest-rate Risk: Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive causing market values to decline.

Market Risk: The price of a security, bond, or fund may drop or rise in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstance. For example, political, economic and social conditions may trigger market events.

Inflation Risk: When any type of inflation is present, a dollar today will not buy as much as a dollar next year because purchasing power is eroding at the rate of inflation.

Currency Risk: Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.

Reinvestment Risk: This is the risk when future proceeds from investments may need to be reinvested at a potentially lower rate of return. This is primarily related to fixed income securities.

Business Risk: These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter the economic environment conditions.

Liquidity Risk: Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid while real estate properties are not.

Financial Risk: Excessive borrowing to finance a business' operations increases the risk of profitability because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Item 9: Disciplinary Information

Legal and Disciplinary:

PROSPECT TRADING, LLC has no history of legal or disciplinary actions.

Item 10: Other Financial Industry Activities and Affiliations

Financial Industry Activities:

PROSPECT TRADING, LLC is not registered as a securities broker-dealer, a futures commission merchant, a commodity pool operator, or a commodity-trading advisor.

Affiliations:

PROSPECT TRADING, LLC does not have any affiliated arrangements.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics:

The employees of PROSPECT TRADING, LLC have committed to a Code of Ethics. This is available to clients and prospective clients upon request.

Participation or Interest in Client Transactions:

PROSPECT TRADING, LLC and its employees may buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of known client trades.

Personal Trading:

PROSPECT TRADING, LLC and its employees engage in personal trading of their own accounts. Generally these trades are small enough as to not affect the market by themselves. Trades may be reviewed to ensure that they are done in the correct manner and do not interfere with client trades.

Item 12: Brokerage Practices

Selecting Brokerage Firms:

PROSPECT TRADING, LLC does not have any affiliation with product sales firms. Specific custodian recommendations are made to clients based on their need for such services. PROSPECT TRADING, LLC recommends custodians based on the proven integrity and financial responsibility of the firm and the best execution of orders at a reasonable commission rate.

PROSPECT TRADING, LLC recommends discount brokerage firms such as Interactive Brokers. PROSPECT TRADING, LLC has an advisor account with Interactive Brokers. In selecting or recommending brokers or dealers, the applicant's overriding objective is to find the best combination of price and execution for the client. The best net price, giving effect to brokerage commissions, if any, and other transaction costs are normally important factors, but a number of other judgmental factors may be considered. These factors may include stability, ability of broker to execute a large transaction, timing and execution, charting platforms, settlement and clearing capabilities. By recognizing the value of these factors, applicant may select or recommend a broker whose brokerage commissions may exceed that which another broker may be charging for the same transaction.

PROSPECT TRADING, LLC does not receive fees or commissions from any of these arrangements.

Best Execution:

PROSPECT TRADING, LLC will continue to monitor trade execution and trading fees by Interactive Brokers. This will ensure that the client is still receiving the same desired execution and rates when first making the broker decision.

Soft Dollars:

PROSPECT TRADING, LLC receives no soft dollar credit from Interactive Brokers because client's assets are in custodian with Interactive Brokers. The selection of Interactive Brokers as a custodian for clients is not affected by any soft dollar arrangement.

Order Aggregation:

PROSPECT TRADING, LLC does execute client orders using order aggregation. The active and tactical investment strategy relies on quick execution across all client accounts, and order aggregation helps allow PROSPECT TRADING, LLC to implement its strategy.

Item 13: Review of Accounts

Periodic Reviews:

Account reviews are performed based on client requests. Interactive Brokers posts statements to client accounts which can be reviewed with your advisor at PROSPECT TRADING, LLC.

Review Triggers:

Market conditions or changes in a clients financial situation may be triggers for a client to request an account review.

Regular Reports:

The custodian, Interactive Brokers, provides monthly, quarterly, and annual reports online. Clients can access and view these reports anytime by logging into their Interactive Brokers account online.

Item 14: Client Referrals and Other Compensation

Incoming Referrals:

PROSPECT TRADING, LLC does not compensate referring parties for referrals.

Referrals Out:

PROSPECT TRADING, LLC does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Other Compensation:

No other referral related compensations are accepted at Prospect Trading, LLC.

Item 15: Custody

SEC "Custody":

PROSPECT TRADING, LLC does not have custody of any accounts or assets.

Account Statements:

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record monthly, or via their account online.

Performance Reports:

Clients can review all account performance statistics by logging into their Interactive Brokers account and going to the “Portfolio Analyst” tab. All performance reports are provided by the custodian.

Net Worth Statements:

PROSPECT TRADING, LLC does not provide net worth statements.

Item 16: Investment Discretion

Discretionary Trading Authorization:

PROSPECT TRADING, LLC accepts discretionary authority to manage securities accounts on behalf of clients. PROSPECT TRADING, LLC has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold. However, if blanket-trading authorization has not been given (written denial of discretionary authority in the clients’ investment agreement notes), PROSPECT TRADING, LLC will consult with clients prior to each trade.

The client approves the custodian to be used and the commission rates and various fees paid to the custodian. PROSPECT TRADING, LLC does not receive any portion of the transaction fees or commissions paid by the client to the custodian on certain trades.

Discretionary trading authorization facilitates placing trades into the client’s accounts on the client’s behalf so that PROSPECT TRADING, LLC may promptly implement the investment policy that the client has approved in writing.

Limited Power of Attorney:

During the account opening process with the custodian, Interactive Brokers, clients will be prompted to review and approve the Advisor Client Agreement. The discretionary trading authorization / limited power of attorney for financial advisor is part of the Advisor Client Agreement.

Item 17: Voting Client Securities

PROSPECT TRADING, LLC does not vote client securities. The client should receive voting information directly, and vote on his/her behalf. In the case that PROSPECT TRADING, LLC receives voting information on the client’s behalf, voting information will be forwarded to that client.

Item 18: Financial Information

PROSPECT TRADING, LLC does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required and will not be provided because PROSPECT TRADING, LLC does not have discretionary authority or custody of client funds or securities or require or solicit prepayment of more than \$500 in fees per client six months in advance.

Privacy Policy:

PROSPECT TRADING, LLC will conduct regular business the investment adviser may collect non-public information about its clients from sources such as:

- (i) Information reported by clients on application or other forms clients provide to the investment adviser.
- (ii) Information about clients' transactions with the investment adviser and its affiliates or others.
- (iii) Conversations between clients and the firm's representatives.

PROSPECT TRADING, LLC will share non-public information solely to service the client accounts. PROSPECT TRADING, LLC will not disclose any non-public personal information about its clients or former clients to anyone, except as permitted by law. If a client decides to close the client's account(s) with PROSPECT TRADING, LLC, or become inactive, PROSPECT TRADING, LLC will continue to adhere to its privacy policy and practices with respect to that client as described in this statement.

Item 19: Requirement for State Registered Advisor

Anthony T Razza is the principal and sole owner of PROSPECT TRADING, LLC. He has a bachelor degree with concentrations in finance and accounting from Iowa State University. He has had corporate finance experience, as well as professional trading experience that span over the past 8 years. He also held a real estate license in Florida for 8 years.

If the "qualified" client and PROSPECT TRADING, LLC agree on a performance-based fee, fees are based on a negotiated percentage of the capital gains and capital appreciation of the account. Performance-based fees may create an incentive for PROSPECT TRADING, LLC to recommend a trade or investment that may carry a higher degree of risk to the client.

Anthony T Razza has never been found liable in arbitration, civil, self-regulatory organization, or administrative proceeding involving any of the following; an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Anthony T Razza does not have any relationships with any issuer of securities.

Part 2B of Form ADV

Item 1: Cover Page Firm Brochure Supplement

Anthony T Razza

Prospect Trading, LLC - CRD #281490

605 S Hillside Ave

Elmhurst, IL 60126

Tel: (630) 336-1752

Website: www.prospecttradingllc.com

Contact Person

Anthony Razza - CRD #6573008

Title: Registered Investment Advisor | Owner

Email: anthony@prospecttradingllc.com

Tel: (630) 336-1752

This brochure supplement provides information about Anthony T Razza that supplements the PROSPECT TRADING, LLC brochure. You should have received a copy of that brochure. Please contact Anthony T Razza if you did not receive PROSPECT TRADING, LLC's brochure or if you have any questions about the contents of this supplement.

January 1, 2024

Prospect Trading, LLC

Item 2: Education and Business Standards:

PROSPECT TRADING, LLC and its advisors have bachelor degrees of education or higher and demonstrate aptitude for investment management, advising, and trading.

Anthony T Razza:

Educational Background

- Date of Birth: 02/28/1986
- Iowa State University, graduated 2008 with B.S Finance / Minor in Accounting
- FINRA Series 65, 2015

Business Background

- Prospect Trading, LLC, Owner/Advisor, 2015-Present
- ICY Capital, High Frequency Trader, 2013-2014
- Premiere Plus Realty, Real Estate Agent, 2014-2023
- Independent Trader, 2010-Present
- Orbitz Worldwide, Financial Systems Analyst, 2009-2010

Item 3: Disciplinary Information

None

Item 4: Other Business Activities

Anthony Razza is also involved in his own independent trading. The trading the he is involved with does not create a material conflict of interest with clients due to his style of trading and the services he provides to his clients.

Item 5: Additional Compensation

None

Item 6: Supervision

Anthony T Razza will serve as designated principal and/or supervisor on behalf of the advisor. His email is anthony@prospecttradingllc.com, and phone number is (630) 336-1752.

Item 7: Requirements for State Registered Advisors

None