**List of Brokers and Dealers with No Outstanding**

**Past-Due Share of the Broker-Dealer Accounting Support Fee**

**Determination of Payment under PCAOB Rule 7104(b)**

**As of November 1, 2024**

The following is a list of brokers and dealers that have been assessed and have no outstanding past-due share of the broker-dealer accounting support fee of the Public Company Accounting Oversight Board ("PCAOB"), as of November 1, 2024.[[1]](#footnote-1)/

A registered public accounting firm may take the inclusion of a broker or dealer on this list as an indication that the broker or dealer has no outstanding past-due share of the broker-dealer accounting support fee for purposes of PCAOB Rule 7104(b).

This list will be updated at least bi-weekly. If a registered public accounting firm cannot obtain a representation from the broker or dealer or cannot determine by reviewing the list below whether the broker or dealer has no past-due share of the accounting support fee outstanding, the registered public accounting firm may contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at confirm@pcaobus.org.

 If you believe a broker or dealer has been excluded from this list in error, please contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at confirm@pcaobus.org.

 Additional information about the broker-dealer accounting support fee and the funding process is available in the Frequently Asked Questions ("FAQs") available in the Accounting Support Fee section of the PCAOB's Web site

(<http://pcaobus.org/About/Administration/SupportFee/Pages/BDSupportFeeFAQ.aspx>).

\* \* \*

2021 CAPITAL, LLC

280 SECURITIES LLC

303 EQUITY TRADING GROUP II, LLC

A. R. SCHMEIDLER & CO., INC.

A.B. FINANCIAL L.L.C.

A.G.P. / ALLIANCE GLOBAL PARTNERS, LLC

AARDVARK SECURITIES LLC

ABBEY NATIONAL SECURITIES INC.

ABEL NOSER, LLC.

ABEL/NOSER CORP.

ABG SUNDAL COLLIER INC.

ABN AMRO CLEARING USA LLC

ABN AMRO SECURITIES (USA) LLC

ABSA SECURITIES U.S. INC.

ACADEMY SECURITIES, INC.

ACCESS SECURITIES, LLC

ACORNS SECURITIES, LLC

AEGIS CAPITAL CORP.

AERIS PARTNERS LLC

AIG FINANCIAL SECURITIES CORP.

AK CAPITAL LLC

AKUNA SECURITIES LLC

ALADDIN CAPITAL LLC

ALANTRA, LLC

ALLEN & COMPANY LLC

ALLIANCEBERNSTEIN INVESTMENTS, INC.

ALLIANZ LIFE FINANCIAL SERVICES, LLC

ALLSPRING FUNDS DISTRIBUTOR, LLC

ALLSTON TRADING LLC

ALLY SECURITIES LLC

ALPACA SECURITIES LLC

ALPINE SECURITIES CORPORATION

ALTERNA SECURITIES, INC.

ALTRUIST FINANCIAL LLC

ALVAREZ & MARSAL SECURITIES, LLC

AMERICA'S GROWTH CAPITAL, LLC

AMERICAN CENTURY INVESTMENT SERVICES, INC.

AMERITAS INVESTMENT COMPANY, LLC

AMERIVET SECURITIES, INC.

AMHERST SECURITIES GROUP, L.P.

AMS DERIVATIVES B.V.

AMUNDI DISTRIBUTOR US, INC.

AMUNI FINANCIAL, INC.

ANGEL ISLAND CAPITAL SERVICES, LLC

ANZ SECURITIES, INC.

AON SECURITIES LLC

APERTURE, LLC

APTO PARTNERS, LLC

AQR INVESTMENTS, LLC

AQUILO PARTNERS, L.P.

ARBOR RESEARCH & TRADING, LLC

ARCA CAPITAL INVESTMENTS, INC.

ARCHIPELAGO TRADING SERVICES, INC.

ARCOLA SECURITIES, INC.

ARDEA PARTNERS LP

ARIEL DISTRIBUTORS, LLC

ARTIST CAPITAL LLC

ARVEST INVESTMENTS, INC.

ARXIS SECURITIES LLC

ASCENSUS BROKER DEALER SERVICES, LLC

ASHMORE INVESTMENT MANAGEMENT (US) CORPORATION

ASL CAPITAL MARKETS INC.

ASPEN TRADING, L.L.C

ASSOCIATED INVESTMENT SERVICES, INC.

ASSOCIATED OPTIONS, INC.

ATHENE SECURITIES, LLC

ATLANTIC - PACIFIC CAPITAL, INC.

ATLAS ONE FINANCIAL GROUP, LLC

ATLAS TECHNOLOGY GROUP LLC

ATM EXECUTION LLC

AUERBACH GRAYSON & COMPANY LLC

AURIGA USA, LLC

AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC

AUTONOMOUS RESEARCH LLP

AVATAR CAPITAL GROUP LLC

AVATAR SECURITIES, LLC

AVM, L.P.

B. C. ZIEGLER AND COMPANY

B. RILEY WEALTH MANAGEMENT, INC.

BAADER HELVEA INC.

BAKER TILLY CAPITAL, LLC

BALANCE SHEET SOLUTIONS LLC

BANC OF AMERICA SPECIALIST, INC.

BANCO DO BRASIL SECURITIES LLC

BANCO VOTORANTIM SECURITIES, INC.

BANCROFT CAPITAL, LLC

BANCWEST INVESTMENT SERVICES, INC.

BANORTE SECURITIES INTERNATIONAL LTD

BARCLAYS CAPITAL INC.

BARON CAPITAL, INC.

BB&T INVESTMENT SERVICES, INC.

BB&T SECURITIES, LLC

BBVA COMPASS INVESTMENT SOLUTIONS, INC.

BBVA SECURITIES INC.

BBVA SECURITIES OF PUERTO RICO, INC.

BCP SECURITIES, INC.

BCS AMERICAS, INC.

BEDROK SECURITIES LLC

BELLE HAVEN INVESTMENTS, L.P.

BELVEDERE TRADING LLC

BENCHMARK SECURITIES, LLC

BENGAL CAPITAL TRADING LLC

BENGAL CAPITAL, LLC

BENJAMIN F. EDWARDS & COMPANY, INC.

BERENSON & COMPANY, LLC

BERKSHIRE GLOBAL ADVISORS LP

BERNARD HEROLD & CO., INC.

BETA CAPITAL SECURITIES LLC

BETHESDA SECURITIES, LLC

BEXIL SECURITIES LLC

BGC FINANCIAL, L.P.

BIDS TRADING L.P.

BLACKARCH SECURITIES LLC

BLACKROCK CAPITAL MARKETS, LLC

BLACKROCK EXECUTION SERVICES

BLACKROCK FUND DISTRIBUTION COMPANY

BLACKROCK INVESTMENTS, LLC

BLACKSTONE SECURITIES PARTNERS L.P.

BLAYLOCK VAN, LLC

BLUE CAPITAL GROUP LLC

BLUE FIRE CAPITAL, LLC

BMO CAPITAL MARKETS CORP.

BMO CAPITAL MARKETS GKST INC.

BMO HARRIS FINANCIAL ADVISORS, INC.

BMO INVESTMENT DISTRIBUTORS, LLC

BMO NESBITT BURNS TRADING CORP. S.A.

BNP PARIBAS PRIME BROKERAGE, INC.

BNP PARIBAS SECURITIES CORP.

BOENNING & SCATTERGOOD, INC.

BOFA DISTRIBUTORS, INC.

BOFA SECURITIES PRIME, INC.

BOFA SECURITIES, INC.

BOLTON GLOBAL CAPITAL

BONDS.COM, INC.

BOSTON PARTNERS SECURITIES, L.L.C.

BOUSTEAD SECURITIES, LLC

BRADESCO INVESTMENTS INC.

BRADESCO SECURITIES, INC.

BRANDT EQUITIES LLC

BRASIL PLURAL SECURITIES LLC

BRAVER STERN SECURITIES LLC

BRICKELL GLOBAL MARKETS, INC.

BRIGHT TRADING, LLC

BRIGHTHOUSE SECURITIES, LLC

BROADHAVEN SECURITIES LLC

BROADRIDGE BUSINESS PROCESS OUTSOURCING, LLC

BROOKFIELD OAKTREE WEALTH SOLUTIONS LLC

BROOKFIELD PRIVATE ADVISORS LLC

BROWN, GIBBONS, LANG & COMPANY SECURITIES, LLC

BROWNSTONE INVESTMENT GROUP, LLC

BTIG, LLC

BUCKLER SECURITIES LLC

BUILDER ADVISOR GROUP, LLC

BURKE & QUICK PARTNERS LLC

BYRD TRADING, LLC

C&C TRADING L.L.C.

C. L. KING & ASSOCIATES, INC.

C6 CAPITAL SECURITIES LLC

CABRERA CAPITAL MARKETS, LLC

CADARET, GRANT & CO., INC.

CAIN BROTHERS & COMPANY, LLC

CALAMOS FINANCIAL SERVICES LLC

CALVERT INVESTMENT DISTRIBUTORS, INC.

CAMBRIDGE INTERNATIONAL SECURITIES, INC.

CAMBRIDGE INVESTMENT RESEARCH, INC.

CAMPBELL LUTYENS & CO. INC.

CANACCORD GENUITY SECURITIES LLC

CANACCORD WEALTH MANAGEMENT (USA) INC.

CANTOR FITZGERALD & CO.

CAPITAL BROKERAGE CORPORATION

CAPITAL INSTITUTIONAL SERVICES, INC.

CAPITAL ONE INVESTING, LLC

CAPITAL ONE SECURITIES, INC.

CARILLON FUND DISTRIBUTORS, INC.

CARNEGIE, INC.

CARTA CAPITAL MARKETS, LLC

CARTY & COMPANY, INC.

CASGRAIN & COMPANY (USA) LIMITED

CASTLEOAK SECURITIES, LP

CBRE CAPITAL ADVISORS, INC.

CC CAPITAL ADVISORS, INC.

CCB INTERNATIONAL OVERSEAS (USA) INC.

CCS TRANSACTIONS, LLC

CENTAURUS FINANCIAL, INC.

CENTERVIEW PARTNERS LLC

CETERA ADVISOR NETWORKS LLC

CETERA ADVISORS LLC

CETERA FINANCIAL SPECIALISTS LLC

CETERA INVESTMENT SERVICES LLC

CF SECURED, LLC

CGIS SECURITIES LLC

CHAMPLAIN ADVISORS, LLC

CHARDAN CAPITAL MARKETS LLC

CHARLES RIVER BROKERAGE, LLC

CHARLES SCHWAB & CO., INC.

CHASE INVESTMENT SERVICES CORP.

CHICAGO CAPITAL MANAGEMENT, L.P.

CHIMERA SECURITIES, LLC

CHINA RENAISSANCE SECURITIES (US) INC.

CHOPPER SECURITIES, LLC

CICC US SECURITIES, INC.

CIMB SECURITIES (USA), INC.

CITI ORDER ROUTING AND EXECUTION, LLC

CITICORP SECURITIES SERVICES, INC.

CITIGROUP DERIVATIVES MARKETS INC.

CITIGROUP GLOBAL MARKETS INC.

CITIZENS CAPITAL MARKETS, INC.

CITIZENS JMP SECURITIES, LLC

CITIZENS SECURITIES, INC.

CITY NATIONAL SECURITIES, INC.

CITY SECURITIES CORPORATION

CLARK SECURITIES, INC.

CLARKSON CAPITAL MARKETS LLC

CLEARY GULL INC.

CLEVELAND RESEARCH COMPANY LLC

CLIFTONLARSONALLEN WEALTH ADVISORS, LLC

CMCJL, LLC

CME BD SERVICES, INC.

CMG SECURITIES LLC

CMT TRADING LLC

CMZ TRADING, LLC

COASTAL SECURITIES, INC.

COBRA TRADING, INC.

CODE ADVISORS LLC

COGNITIVE CAPITAL, LLC

COHEN & COMPANY CAPITAL MARKETS, LLC

COHEN & COMPANY SECURITIES, LLC

COHEN & STEERS SECURITIES, LLC

COHNREZNICK CAPITAL MARKETS SECURITIES, LLC

COLLIERS SECURITIES LLC

COLLINS/BAY ISLAND SECURITIES, LLC

COMMERCE BROKERAGE SERVICES, INC.

COMMERZ MARKETS LLC

COMMONFUND SECURITIES, INC.

COMMONWEALTH AUSTRALIA SECURITIES LLC

COMPASS POINT RESEARCH & TRADING, LLC

CONTINUITY PARTNERS GROUP, LLC

COREBRIDGE CAPITAL SERVICES, INC.

CORMARK SECURITIES (USA) LIMITED

CORNERSTONE MACRO LLC

CORNERSTONE TRADING, LLC

CORTVIEW CAPITAL SECURITIES LLC

COWEN AND COMPANY, LLC

COWEN EQUITY FINANCE LP

COWEN EXECUTION SERVICES LLC

COWEN PRIME SERVICES LLC

CP COGENT SECURITIES LP

CRAIG-HALLUM CAPITAL GROUP LLC

CREDICORP CAPITAL LLC

CREDIT AGRICOLE CHEUVREUX NORTH AMERICA, INC.

CREDIT AGRICOLE SECURITIES (USA) INC.

CREDIT SUISSE CAPITAL LLC

CREDIT SUISSE PRIME SECURITIES SERVICES (USA) LLC

CREDIT SUISSE PRIVATE ADVISORS AG

CREWS & ASSOCIATES, INC.

CRITICAL TRADING, LLC

CRITICALPOINT PARTNERS LLC

CROSSTREE CAPITAL SECURITIES, LLC

CROWELL, WEEDON & CO.

CRT CAPITAL GROUP LLC

CSCA CAPITAL ADVISORS, LLC

CSP SECURITIES, LP

CSS, LLC

CT COLLATERAL FUNDING, LLC

CTC, LLC

CURIAN CLEARING, LLC

CURTISWOOD CAPITAL, LLC

CURVATURE SECURITIES LLC

CUSO FINANCIAL SERVICES, L.P.

CUTLER GROUP, LLC

CUTWATER ASSET MANAGEMENT CORP.

CYNDX ADVISORS LLC

D.A. DAVIDSON & CO.

D.M. KELLY & COMPANY

DAHLMAN ROSE & COMPANY, LLC

DANSKE MARKETS INC.

DAVENPORT & COMPANY LLC

DAVID LERNER ASSOCIATES, INC.

DAVIS DISTRIBUTORS, LLC

DAWSON JAMES SECURITIES, INC.

DB SECURITIES SERVICES NJ INC.

DBO PARTNERS LLC

DBS VICKERS SECURITIES (USA) INC.

DELANEY EQUITY GROUP LLC

DELAWARE DISTRIBUTORS, L.P.

DELOITTE CORPORATE FINANCE LLC

DESJARDINS SECURITIES INTERNATIONAL INC.

DEUTSCHE BANK SECURITIES INC.

DEVELOPMENT CORPORATION FOR ISRAEL

DIFFUSION MARKETS, L.L.C.

DIGITAL BROKERAGE SERVICES LLC

DIMENSION TRADING GROUP, LLC

DINOSAUR FINANCIAL GROUP, L.L.C

DIRECT EDGE ECN LLC

DIRECTED SERVICES LLC

DOFT & CO., INC.

DOUGH LLC

DREXEL HAMILTON, LLC

DRIEHAUS SECURITIES LLC

DRW SECURITIES, L.L.C.

DUNDEE SECURITIES INC.

DV EQUITIES, LLC

DV SECURITIES, LLC

DVB CAPITAL MARKETS LLC

DZ FINANCIAL MARKETS LLC

E\*TRADE CLEARING LLC

E\*TRADE SECURITIES LLC

E.J. DE LA ROSA & CO., INC.

EARLYBIRDCAPITAL, INC.

EATON PARTNERS, LLC

EATON VANCE DISTRIBUTORS, INC.

EBX LLC

ECHOTRADE LLC

EDGEMONT CAPITAL PARTNERS, L.P.

EDWARD D. JONES & CO., L.P.

EG MARKET TECHNOLOGIES LLC

ELECTRONIC TRANSACTION CLEARING, INC.

ELEQUIN SECURITIES LLC

ELEVATION, LLC

EMBED CLEARING LLC

EMMET & CO, INC.

EMPIRICAL RESEARCH PARTNERS LLC

EPOCH SECURITIES, INC.

EQUATEX US INC

EQUILEND LLC

EQUITABLE ADVISORS, LLC

EQUITABLE DISTRIBUTORS, LLC

EQUITEC PROPRIETARY MARKETS, LLC

EQUITEC SPECIALISTS, LLC

EQUITYZEN SECURITIES LLC

ERNST & YOUNG CAPITAL ADVISORS, LLC

ESL INVESTMENT SERVICES, LLC

ESTRADA HINOJOSA & COMPANY, INC.

ETC BROKERAGE SERVICES, LLC

EXANE, INC.

EXECUTION ACCESS, LLC

EXOTIX USA INC.

FACTSET DATA SYSTEMS, INC.

FAGENSON & CO., INC.

FAIRMOUNT PARTNERS LP

FELTL & COMPANY

FIDELITY BROKERAGE SERVICES LLC

FIDELITY DISTRIBUTORS COMPANY LLC

FIDELITY DISTRIBUTORS CORPORATION

FIDELITY PRIME FINANCING, LLC

FIFTH THIRD SECURITIES, INC.

FIG PARTNERS, LLC

FINANCIAL NORTHEASTERN SECURITIES, INC.

FIRST ALLIED SECURITIES, INC.

FIRST ANALYSIS SECURITIES CORPORATION

FIRST BALLANTYNE, LLC

FIRST BANKERS' BANC SECURITIES, INC

FIRST BROKERS SECURITIES LLC

FIRST CITIZENS SECURITIES CORPORATION

FIRST CLEARING, LLC

FIRST COMMAND BROKERAGE SERVICES, INC.

FIRST DERIVATIVE TRADERS, L.P.

FIRST EMPIRE SECURITIES, INC.

FIRST HORIZON ADVISORS, INC.

FIRST MANHATTAN SECURITIES LLC

FIRST NATIONAL CAPITAL MARKETS, INC.

FIRST NEW YORK SECURITIES L.L.C.

FIRST REPUBLIC SECURITIES COMPANY, LLC

FIRST SOUTHWEST COMPANY, LLC

FIRST TRYON SECURITIES, LLC

FIRST WINSTON SECURITIES, INC.

FIRSTRADE SECURITIES INC.

FIXED INCOME CAPITAL PARTNERS, LLC

FLORIDA ATLANTIC SECURITIES CORP.

FLOW TRADERS U.S. INSTITUTIONAL TRADING LLC

FLOW TRADERS U.S. LLC

FM PARTNERS HOLDINGS LLC

FMI CAPITAL ADVISORS, INC.

FOCALPOINT SECURITIES, LLC

FOLGER NOLAN FLEMING DOUGLAS INCORPORATED

FOLIO INVESTMENTS, INC.

FORESTERS FINANCIAL SERVICES, INC.

FORETHOUGHT DISTRIBUTORS, LLC

FORGE MARKETS LLC

FORGE SECURITIES LLC

FOX RIVER EXECUTION TECHNOLOGY, LLC

FRANKLIN/TEMPLETON DISTRIBUTORS, INC.

FRED ALGER & COMPANY, LLC

FREEDOM INVESTMENTS, INC.

FROST BROKERAGE SERVICES, INC.

FSC SECURITIES CORPORATION

FSP INVESTMENTS LLC

FT GLOBAL CAPITAL, INC.

FTI CAPITAL ADVISORS, LLC

FTP SECURITIES LLC

G-2 TRADING,LLC

G-BAR LIMITED PARTNERSHIP

G-TRADE SERVICES LLC

G1 EXECUTION SERVICES, LLC

G2 TRADING LLC

GAGNON SECURITIES, LLC

GALAXY DIGITAL PARTNERS LLC

GALLAGHER SECURITIES, INC

GARGOYLE STRATEGIC INVESTMENTS L.L.C.

GBM INTERNATIONAL, INC.

GDK, INC.

GE CAPITAL MARKETS, INC.

GENESIS CAPITAL, LLC

GEORGE K. BAUM & COMPANY

GETCO EXECUTION SERVICES LLC

GETCO SECURITIES, LLC

GFI SECURITIES LLC

GILDER GAGNON HOWE & CO. LLC

GLEACHER & COMPANY SECURITIES, INC.

GLICKENHAUS & CO.

GLOBAL ALTERNATIVE INVESTMENT SERVICES, INC.

GLOBAL EXECUTION BROKERS, LP

GLOBAL HUNTER SECURITIES, LLC

GMP SECURITIES, LLC

GOLDMAN SACHS & CO. LLC

GOLDMAN SACHS EXECUTION & CLEARING, L.P.

GOLDMAN SACHS FINANCIAL MARKETS, L.P.

GORDON DYAL & CO., LLC

GP BULLHOUND INC.

GRAY WHALE CAPITAL, LLC

GREAT POINT CAPITAL LLC

GREEN PIER FINTECH LLC

GREEN STREET ADVISORS, LLC

GREENHILL & CO., LLC

GREENSLEDGE CAPITAL MARKETS LLC

GRIFFIN CAPITAL SECURITIES, LLC

GRIFFIN FINANCIAL GROUP, LLC

GRIFFITHS MCBURNEY CORP.

GROUP ONE TRADING, L.P.

GROVE POINT INVESTMENTS, LLC

GUARDIAN INVESTOR SERVICES LLC

GUGGENHEIM DISTRIBUTORS, LLC

GUGGENHEIM FUNDS DISTRIBUTORS, LLC

GUGGENHEIM INVESTOR SERVICES, LLC

GUZMAN & COMPANY

GX2 SPREAD MARKETS, LLC

H.C.WAINWRIGHT & CO., LLC

H2C SECURITIES INC.

HAITONG INTERNATIONAL SECURITIES (USA) INC.

HAITONG SECURITIES USA LLC

HALES SECURITIES, LLC

HANDELSBANKEN MARKETS SECURITIES, INC.

HANTZ FINANCIAL SERVICES, INC.

HAP TRADING, LLC

HAPOALIM SECURITIES USA, INC.

HARD EIGHT TRADING, LLC

HARDCASTLE TRADING USA L.L.C.

HARRIS WILLIAMS LLC

HARTFORD FUNDS DISTRIBUTORS, LLC

HAYWOOD SECURITIES (USA) INC.

HBK GLOBAL SECURITIES L.P.

HEALTHCARE COMMUNITY SECURITIES CORP.

HEFREN-TILLOTSON, INC.

HENNION & WALSH, INC.

HERBERT J. SIMS & CO, INC.

HFF SECURITIES L.P.

HIGHTOWER SECURITIES, LLC

HILLTOP SECURITIES INC.

HOLD BROTHERS CAPITAL LLC

HOME FINANCIAL SERVICES, INC.

HOULIHAN LOKEY ADVISORS, LLC

HOULIHAN LOKEY CAPITAL, INC.

HOVDE GROUP, LLC

HOWARD WEIL INCORPORATED

HOWDEN TIGER CAPITAL MARKETS & ADVISORY, LLC

HSBC SECURITIES (USA) INC.

HUATAI SECURITIES (USA), INC.

HUB INTERNATIONAL INVESTMENT SERVICES INC.

HULL PARTNERS LLC

HUNT FINANCIAL SECURITIES, LLC

HUNTINGTON SECURITIES, INC.

IBERIA CAPITAL PARTNERS L.L.C.

IBS HOLDING CORPORATION

ICAPITAL MARKETS LLC

ICBC STANDARD SECURITIES INC.

ICE BONDS SECURITIES CORPORATION

ICE SECURITIES EXECUTION & CLEARING, LLC

ICM SECURITIES, LLC

ICR CAPITAL LLC

IDB CAPITAL CORP.

IEX SERVICES LLC

IFC HOLDINGS, INC.

IMA WEALTH, INC.

IMC EXECUTION SERVICES LLC

IMC SECURITIES LLC

IMC-CHICAGO, LLC

IMPERIAL CAPITAL, LLC

INCENTER SECURITIES GROUP LLC

INCENTRUM SECURITIES, LLC

INDEPENDENCE POINT SECURITIES LLC

INDEPENDENT FINANCIAL GROUP, LLC

INGALLS & SNYDER, LLC

INSIGNEO INTERNATIONAL FINANCIAL SERVICES LLC

INSIGNEO SECURITIES, LLC

INSTITUTIONAL CASH DISTRIBUTORS, LLC

INTELLIGENT CROSS LLC

INTERCOASTAL CAPITAL MARKETS, INC.

INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC

INTESA SANPAOLO IMI SECURITIES CORP.

INTL FILLMORE ADVISORS LLC

INTREPID INVESTMENT BANKERS LLC

INTREPID PARTNERS, LLC

INVEMED ASSOCIATES LLC

INVESCO CAPITAL MARKETS, INC.

INVESCO DISTRIBUTORS, INC.

INVESTACORP, INC.

INVESTEC SECURITIES (US) LLC

INVESTMENT CENTERS OF AMERICA, INC.

INVESTMENT PLACEMENT GROUP

INVEX, LLC.

ITAU BBA USA SECURITIES, INC.

ITAU INTERNATIONAL SECURITIES INC.

IVY DISTRIBUTORS, INC.

J.J.B. HILLIARD, W.L. LYONS, LLC

J.P. MORGAN CLEARING CORP.

J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.

J.P. MORGAN PRIME INC.

J.P. MORGAN SECURITIES LLC

J.V.B. FINANCIAL GROUP, LLC

JACKSON NATIONAL LIFE DISTRIBUTORS LLC

JAG TRADING L.L.C.

JANE STREET MARKETS, LLC

JANUS HENDERSON DISTRIBUTORS US LLC

JEFFERIES BACHE SECURITIES, LLC

JEFFERIES EXECUTION SERVICES, INC.

JEFFERIES HIGH YIELD TRADING, LLC

JOE JOLLY & CO., INC.

JOHNSON RICE & COMPANY L.L.C.

JONESTRADING INSTITUTIONAL SERVICES LLC

JPMORGAN DISTRIBUTION SERVICES, INC.

JVB FINANCIAL GROUP, LLC

JWTT INC.

KBC SECURITIES USA LLC

KBFG SECURITIES AMERICA INC.

KEEFE, BRUYETTE & WOODS, INC.

KESTRA INVESTMENT SERVICES, LLC

KEY INVESTMENT SERVICES LLC

KEYBANC CAPITAL MARKETS INC.

KEZAR TRADING, LLC

KGS-ALPHA CAPITAL MARKETS, L.P.

KIPPSDESANTO & COMPANY

KKR CAPITAL MARKETS II LLC

KKR CAPITAL MARKETS LLC

KMS FINANCIAL SERVICES, INC.

KNIGHT CAPITAL AMERICAS, L.P.

KOYOTE TRADING LLC

KPMG CORPORATE FINANCE LLC

KROLL SECURITIES LLC

L.J. HART AND COMPANY

LADDER CAPITAL SECURITIES LLC

LAFISE SECURITIES LLC

LAKE STREET CAPITAL MARKETS, LLC

LAKESHORE SECURITIES, L.P.

LASALLE INVESTMENT MANAGEMENT DISTRIBUTORS, LLC

LATOUR TRADING LLC

LAVAFLOW, INC.

LAZARD FRERES & CO. LLC

LAZARD MIDDLE MARKET LLC

LEK SECURITIES CORPORATION

LEONIS SECURITIES, LLC

LFT SECURITIES, LLC

LIGHTSPEED FINANCIAL SERVICES GROUP LLC

LIME TRADING CORP

LINCOLN FINANCIAL DISTRIBUTORS, INC.

LINCOLN INTERNATIONAL LLC

LINCOLN INVESTMENT PLANNING, LLC

LIONTREE ADVISORS LLC

LIQUIDITYEDGE, LLC.

LIQUIDNET, INC.

LIQUIDPOINT, LLC

LLOYDS SECURITIES INC.

LOEB PARTNERS CORPORATION

LOMBARD ODIER TRANSATLANTIC LIMITED

LOOP CAPITAL MARKETS LLC

LORD ABBETT DISTRIBUTOR LLC

LPL FINANCIAL LLC

LUMA SECURITIES LLC

LUPO SECURITIES, LLC

M&I FINANCIAL ADVISORS, INC.

M&T SECURITIES, INC.

M3 INVESTMENT GROUP LLC

MACQUARIE CAPITAL MARKETS NORTH AMERICA LTD.

MACRO RISK ADVISORS LLC

MAN INVESTMENTS INC.

MAPLE SECURITIES U.S.A. INC.

MARATHON CAPITAL MARKETS, LLC

MAREX NORTH AMERICA SECURITIES LLC

MARIVA CAPITAL MARKETS, LLC

MARKS BAUGHAN SECURITIES LLC

MARSHBERRY CAPITAL, LLC.

MATTHEWS SOUTH, LLC

MAXIM GROUP LLC

MBS CAPITAL MARKETS, LLC

MBX CLEARING LLC

MCADAMS WRIGHT RAGEN, INC.

MCAP LLC

MEDIOBANCA SECURITIES USA LLC

MERCER ALLIED COMPANY, L.P.

MERCHANT CAPITAL, L.L.C.

MERIDIAN CAPITAL LLC

MERRILL LYNCH FINANCIAL MARKETS, INC.

MERRILL LYNCH PROFESSIONAL CLEARING CORP.

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

MERUS CAPITAL PARTNERS, LLC

MESIROW FINANCIAL, INC.

MFR SECURITIES, INC.

MFS FUND DISTRIBUTORS, INC.

MICROVENTURE MARKETPLACE INC.

MIDDLEGATE SECURITIES INC.

MIDLAND SECURITIES, LTD

MILLCO ADVISORS, LP

MILLENNIUM ADVISORS, LLC

MILLER BUCKFIRE & CO., LLC

MILLER TABAK + CO., LLC

MINT BROKERS

MIRAE ASSET SECURITIES (USA) INC.

MIRAE ASSET WEALTH MANAGEMENT (USA) INC.

MISCHLER FINANCIAL GROUP, INC.

MITCHELL ENERGY ADVISORS, LLC

MIURA CAPITAL, LLC

MIZUHO SECURITIES CANADA INC.

MIZUHO SECURITIES USA LLC

MKM PARTNERS LLC

MMA SECURITIES LLC

MMC SECURITIES LLC

MML INVESTORS SERVICES, LLC

MND PARTNERS, INC.

MOCHO TRADING LLC

MOELIS & COMPANY LLC

MOG CAPITAL L.L.C.

MOMENTUS SECURITIES LLC

MONEX SECURITIES, INC.

MOOMOO FINANCIAL INC.

MOORELAND PARTNERS LLC

MOORS & CABOT, INC.

MORGAN JOSEPH TRIARTISAN LLC

MORGAN KEEGAN & COMPANY, LLC

MORGAN STANLEY & CO. LLC

MORGAN STANLEY DISTRIBUTION, INC.

MORGAN STANLEY SMITH BARNEY LLC

MORNINGSTAR INVESTMENT SERVICES LLC

MOTIF INVESTING, INC.

MOUNTAINSIDE SECURITIES LLC

MOUNTAINVIEW SECURITIES, LLC

MPS GLOBAL SECURITIES, LLC

MS SECURITIES SERVICES INC.

MSI FINANCIAL SERVICES, INC.

MTS SECURITIES, LLC

MUFG AMERICAS CORPORATE ADVISORY, INC.

MULTI-BANK SECURITIES, INC.

MUTUAL OF AMERICA LIFE INSURANCE COMPANY

N. B. ZOULLAS SECURITIES, INC.

N.A. INVESTCORP LLC

N.I.S. FINANCIAL SERVICES, INC.

NABSECURITIES, LLC

NASDAQ OPTIONS SERVICES, LLC

NATHAN HALE CAPITAL, LLC

NATIONAL BANK OF CANADA FINANCIAL INC.

NATIONAL PLANNING CORPORATION

NATIONAL SECURITIES CORPORATION

NATIONWIDE FUND DISTRIBUTORS LLC

NATIXIS DERIVATIVES INC.

NATIXIS DISTRIBUTION, LLC

NATIXIS SECURITIES AMERICAS LLC

NATWEST MARKETS SECURITIES INC.

NAVY FEDERAL INVESTMENT SERVICES, LLC

NBF SECURITIES (USA) CORP.

NELNET CAPITAL LLC

NETWORK 1 FINANCIAL SECURITIES INC.

NEUBERGER BERMAN MANAGEMENT LLC

NEW ENGLAND SECURITIES CORPORATION

NEWEDGE USA, LLC

NEWPORT GROUP SECURITIES, INC.

NEXBANK SECURITIES INC

NH INVESTMENT & SECURITIES AMERICA, INC.

NOLITA CAPITAL, LLC

NOMURA GLOBAL FINANCIAL PRODUCTS INC.

NOMURA GREENTECH CAPITAL ADVISORS, LLC

NOMURA SECURITIES NORTH AMERICA, LLC

NORTH BRIDGE CAPITAL, LLC

NORTH POINT MERGERS AND ACQUISITIONS, INC.

NORTHLAND SECURITIES, INC.

NORTHSTAR SECURITIES, LLC

NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

NUMIS SECURITIES INC.

NUVEEN SECURITIES, LLC

NYLIFE SECURITIES LLC

O'NEIL SECURITIES INCORPORATED

OASIS PRO MARKETS LLC

OBD SECURITIES LLC

OCTEG, LLC

ODDO BHF NEW YORK CORPORATION

OHIO NATIONAL EQUITIES, INC.

ONEAMERICA SECURITIES, INC.

ONPEAK CAPITAL LLC

OPEN TO THE PUBLIC INVESTING, INC.

OPENDOOR SECURITIES LLC

OPPENHEIMER & CO. INC.

OPPENHEIMERFUNDS DISTRIBUTOR, INC.

OPTIONSHOUSE, LLC

OPTIONSXPRESS, INC.

OPTIVER EXECUTION SERVICES LLC

OPTIVER US LLC

ORIENTAL FINANCIAL SERVICES LLC

OSCAR GRUSS & SON INCORPORATED

OTA LLC

OTC LINK LLC

PACER FINANCIAL, INC.

PACIFIC CENTURY SECURITIES, LLC

PACIFIC CREST SECURITIES LLC

PACIFIC SELECT DISTRIBUTORS, LLC

PARADIGM EQUITIES, INC.

PARETO SECURITIES INC.

PARIS SECURITIES CORPORATION

PARK HILL REAL ESTATE GROUP LLC

PARK SUTTON SECURITIES, LLC

PAULSON INVESTMENT COMPANY LLC

PEAK6 CAPITAL MANAGEMENT LLC

PEAK6 PERFORMANCE MANAGEMENT LLC

PEAK6 VEGA MASTER FUND LLC

PENSON FINANCIAL SERVICES, INC.

PEOPLE'S SECURITIES, INC.

PERFORMANCE TRUST CAPITAL PARTNERS, LLC

PFM FUND DISTRIBUTORS, INC.

PFS INVESTMENTS INC.

PGM GLOBAL INC.

PHILLIP CAPITAL INC.

PHOENIX DERIVATIVES GROUP, LLC

PHX FINANCIAL, INC.

PIPELINE TRADING SYSTEMS LLC

PIPER SANDLER & CO.

PNC INVESTMENTS LLC

POPULAR SECURITIES, LLC

PORTIGON SECURITIES INC.

POTAMUS TRADING, LLC

PRAGMA LLC

PRECISION SECURITIES, LLC

PREFERRED CAPITAL SECURITIES, LLC

PRICEWATERHOUSECOOOPERS CORPORATE FINANCE LLC

PRIME CAPITAL MARKETS, LLC

PRIME DEALER SERVICES CORP.

PRIMERICA BROKERAGE SERVICES, INC.

PRINCIPAL FUNDS DISTRIBUTOR, INC.

PROBITAS FUNDS GROUP, LLC

PROSPERA FINANCIAL SERVICES, INC.

PRUCO SECURITIES, LLC.

PRUDENTIAL ANNUITIES DISTRIBUTORS, INC

PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC

PTR, INC.

PUBLIC VENTURES, LLC

PULSE TRADING, INC.

PUNDION LLC

PURESTREAM, LLC

PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP

Q ADVISORS LLC

QUAD CAPITAL, LLC

QUAD SECURITIES LLC

QUANTITATIVE BROKERS, LLC

QUANTLAB SECURITIES LP

QUASAR DISTRIBUTORS, LLC

QUESTAR CAPITAL CORPORATION

QUIET LIGHT SECURITIES, LLC

R. SEELAUS & CO., LLC

R.W.PRESSPRICH & CO.

RABO SECURITIES USA, INC.

RAFFERTY CAPITAL MARKETS, LLC

RAINIER SECURITIES, LLC

RAMAT SECURITIES LTD.

RAYMOND JAMES & ASSOCIATES, INC.

RAYMOND JAMES FINANCIAL SERVICES, INC.

RAYMOND JAMES INSURANCE GROUP, INC.

RB INTERNATIONAL MARKETS (USA) LLC

RBC CAPITAL MARKETS, LLC

RBC CMA LLC

RCI LIMITED PARTNERSHIP

REALCADRE LLC

RED CEDAR TRADING, LLC

REDBIRD BD, LLC

REDBURN (USA) LLC

REGAL SECURITIES, INC.

RELATED FINANCIAL SERVICES, LLC

RENCAP SECURITIES, INC.

RESOLUTE INVESTMENT DISTRIBUTORS, INC.

REUTERS TRANSACTION SERVICES LLC

RGM SECURITIES, LLC

RIVERSTONE CAPITAL SERVICES LLC

ROBERT W. BAIRD & CO. INCORPORATED

ROBINHOOD FINANCIAL, LLC

ROBINHOOD SECURITIES, LLC

ROCKEFELLER FINANCIAL LLC

RODMAN & RENSHAW, LLC

RONIN CAPITAL, LLC

ROOSEVELT & CROSS, INCORPORATED

ROSENBLATT SECURITIES INC.

ROSENTHAL GLOBAL SECURITIES LLC

ROSS, SINCLAIRE & ASSOCIATES, LLC

ROTH CAPITAL PARTNERS, LLC

ROTHSCHILD & CO US INC.

ROYCE FUND SERVICES, LLC

RQD\* CLEARING, LLC

RUANE, CUNNIFF & GOLDFARB LLC

RUSSELL INVESTMENTS FINANCIAL SERVICES, LLC

RUSSELL INVESTMENTS IMPLEMENTATION SERVICES, LLC

SABADELL SECURITIES USA, INC.

SAFRA SECURITIES LLC

SAL EQUITY TRADING, GP

SAMI BROKERAGE LLC

SAMSUNG SECURITIES (AMERICA), INC.

SAMUEL A. RAMIREZ & COMPANY, INC.

SANDERS MORRIS HARRIS INC.

SANDLER, O'NEILL & PARTNERS, L.P.

SANFORD C. BERNSTEIN & CO., LLC

SANTANDER INTERNATIONAL SECURITIES, INC.

SANTANDER INVESTMENT SECURITIES INC.

SANTANDER SECURITIES LLC

SAYBRUS EQUITY SERVICES, INC

SBERBANK CIB USA, INC

SCHRODER FUND ADVISORS LLC

SCOTIA CAPITAL (USA) INC.

SCOTT & STRINGFELLOW, LLC

SCOTTRADE, INC.

SCOUT TRADING, LLC

SEA OTTER SECURITIES GROUP LLC

SEAPORT GLOBAL SECURITIES LLC

SEAPORT SECURITIES CORP.

SEARLE & CO.

SEATTLE-NORTHWEST SECURITIES CORPORATION

SEB SECURITIES, INC.

SECURITIES AMERICA, INC.

SECURITIES MANAGEMENT AND RESEARCH, INC.

SECURITIES SERVICE NETWORK, LLC

SECURITY DISTRIBUTORS, LLC

SEI INVESTMENTS DISTRIBUTION CO.

SENTINEL FINANCIAL SERVICES COMPANY

SENVEST INTERNATIONAL L.L.C.

SETTER CAPITAL INC.

SEVEN POINTS CAPITAL, LLC

SG AMERICAS SECURITIES, LLC

SHAY FINANCIAL SERVICES, INC.

SHEA & COMPANY, LLC

SHEARMAN, RALSTON INC.

SHELBY CULLOM DAVIS & CO., L.P.

SIEBERT WILLIAMS SHANK & CO., LLC

SIERRA PACIFIC SECURITIES, LLC

SIG BROKERAGE, LP

SIGNAL HILL CAPITAL GROUP LLC

SIGNATOR INVESTORS, INC.

SII INVESTMENTS, INC.

SIMMONS & COMPANY INTERNATIONAL

SIMMONS FIRST INVESTMENT GROUP, INC.

SIMON MARKETS LLC

SIMPLEX TRADING, LLC

SIXPOINT PARTNERS LLC

SOLOMON PARTNERS SECURITIES, LLC

SOUTH STREET SECURITIES LLC

SPARTAN CAPITAL SECURITIES, LLC

SPC CAPITAL MARKETS LLC

SPHINX TRADING, LP

SPIDERROCK EXS, LLC

SPOT TRADING L.L.C.

SPROTT GLOBAL RESOURCE INVESTMENTS LTD

SPURRIER CAPITAL PARTNERS LLC

SS&C MARKET SERVICES, LLC

STANDARD CHARTERED SECURITIES NORTH AMERICA LLC

STANDARD CREDIT SECURITIES INC.

STANDARD NEW YORK, INC.

STATE FARM VP MANAGEMENT CORP.

STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC

STATE STREET GLOBAL MARKETS, LLC

STEBEN & COMPANY, LLC

STEPHENS INC.

STERN BROTHERS & CO.

STERNE, AGEE & LEACH, INC.

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC

STIFEL, NICOLAUS & COMPANY, INCORPORATED

STOCKCROSS FINANCIAL SERVICES, INC.

STOEVER,GLASS & COMPANY INC.

STONE & YOUNGBERG LLC

STONEPEAK SECURITIES LLC

STORMHARBOUR SECURITIES LP

STOUT CAPITAL, LLC

STRATEGAS SECURITIES, LLC

STUART FRANKEL & CO., INCORPORATED

STUDENT OPTIONS, LLC

SUMMIT BROKERAGE SERVICES, INC.

SUMMIT SECURITIES GROUP LLC

SUMRIDGE PARTNERS, LLC

SUN LIFE FINANCIAL DISTRIBUTORS, INC.

SUNGARD INSTITUTIONAL BROKERAGE INC.

SUNRISE BROKERS LLC

SUSQUEHANNA FINANCIAL GROUP, LLLP

SUSQUEHANNA SECURITIES, LLC

SVB INVESTMENT SERVICES INC.

SVB SECURITIES, A NON-BANK AFFILIATE OF SILICON VALLEY BANK

SWEDBANK SECURITIES US, LLC

SWENEY CARTWRIGHT & COMPANY

SYCAMORE FINANCIAL GROUP

SYNOVUS SECURITIES, INC.

SYSTEMATIZED BENEFITS ADMINISTRATORS, INC.

T. ROWE PRICE INVESTMENT SERVICES, INC.

T.R. WINSTON & COMPANY, LLC

T3 TRADING GROUP, LLC

TALCOTT RESOLUTION DISTRIBUTION COMPANY, INC.

TCBI SECURITIES, INC.

TCG CAPITAL MARKETS L.L.C.

TD AMERITRADE CLEARING, INC.

TD AMERITRADE, INC.

TEACHERS PERSONAL INVESTORS SERVICES, INC.

TELEMETRY SECURITIES, L.L.C.

TELSEY ADVISORY GROUP LLC

TFS DERIVATIVES LLC

THE BAKER GROUP, LP

THE BANK STREET GROUP L.L.C.

THE BENCHMARK COMPANY, LLC

THE BUCKINGHAM RESEARCH GROUP INCORPORATED

THE GMS GROUP, LLC

THE KLEIN GROUP, LLC

THE LEADERS GROUP, INC.

THE O.N. EQUITY SALES COMPANY

THE VERTICAL TRADING GROUP, LLC

THE WILLIAMS CAPITAL GROUP, L.P.

THINKEQUITY LLC

THOMA BRAVO CAPITAL MARKETS, LLC

THOMAS WEISEL PARTNERS LLC

THREE BROTHERS TRADING, LLC

THRIVENT DISTRIBUTORS, LLC

TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

TIBRA TRADING AMERICA LLC

TICONDEROGA SECURITIES LLC

TIGRESS FINANCIAL PARTNERS, LLC

TM CAPITAL CORP.

TMC BONDS L.L.C.

TMT INVESTMENTS, LLC

TORO TRADING LLC

TOURMALINE PARTNERS, LLC

TOWER PRINCIPAL MARKETS LLC

TOWER SQUARE SECURITIES, INC.

TOWERS WATSON CAPITAL MARKETS INC.

TOYOTA FINANCIAL SERVICES SECURITIES USA CORPORATION

TP ICAP GLOBAL MARKETS AMERICAS LLC

TRADE INFORMATICS LLC

TRADE-PMR INC.

TRADEBOT SYSTEMS, INC.

TRADELINK L.L.C.

TRADELINK SECURITIES, LLC

TRADESTATION SECURITIES, INC.

TRADEUP SECURITIES, INC.

TRADITION SECURITIES AND DERIVATIVES LLC

TRANSAMERICA CAPITAL, INC.

TRANSAMERICA FINANCIAL ADVISORS, INC

TRANSAMERICA INVESTORS SECURITIES CORPORATION

TRANSMARKET GROUP L.L.C.

TRC MARKETS LLC

TRIAD ADVISORS LLC

TRIBAL CAPITAL MARKETS, LLC

TRIPLETREE, LLC

TRUIST SECURITIES, INC.

TRUMID FINANCIAL LLC

TUDOR PICKERING HOLT & CO ADVISORS LP

TUDOR, PICKERING, HOLT & CO. SECURITIES, LLC

TULLETT PREBON FINANCIAL SERVICES LLC

TWEEDY, BROWNE COMPANY LLC

TWO RIVERS TRADING GROUP LLC

TWO SIGMA SECURITIES, LLC

TZ CLEAR LLC

UBS FINANCIAL SERVICES INC.

UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO

UNICREDIT CAPITAL MARKETS LLC

UNITED BROKERAGE SERVICES, INC

UNITED CAPITAL MARKETS, INC.

UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER

UNIVEST SECURITIES, LLC

US TIGER SECURITIES, INC.

USAA FINANCIAL ADVISORS, INC.

USAA INVESTMENT SERVICES COMPANY

UVEST FINANCIAL SERVICES GROUP, INC.

VALLEY FINANCIAL MANAGEMENT, INC.

VALLEY FORGE ASSET MANAGEMENT, LLC

VAN ECK SECURITIES CORPORATION

VAN LANSCHOT KEMPEN (USA) INC.

VANAHEIM SECURITIES, LLC

VANGUARD MARKETING CORPORATION

VAQUERO CAPITAL LLC

VECTORGLOBAL WMG, INC.

VELOCITY CAPITAL, LLC

VELOCITY CLEARING, LLC

VICENTE & PARTNERS LLC

VIEWTRADE SECURITIES, INC.

VINING-SPARKS IBG, LLC

VIRTU AMERICAS LLC

VIRTU FINANCIAL BD LLC

VIRTU FINANCIAL CAPITAL MARKETS LLC

VIRTU ITG LLC

VIRTUS CAPITAL MARKETS LLC

VISION FINANCIAL MARKETS LLC

VISTA POINT ADVISORS, LLC

VOLANT LIQUIDITY, LLC

VOYA FINANCIAL ADVISORS, INC.

VOYA FINANCIAL PARTNERS, LLC

VOYA INVESTMENTS DISTRIBUTOR, LLC

VOYA RETIREMENT ADVISORS, LLC

VP DISTRIBUTORS LLC

VRA PARTNERS, LLC

WACHTEL & CO., INC.

WADDELL & REED, INC.

WAKE USA LLC

WALL STREET ACCESS

WALLACHBETH CAPITAL LLC

WALLEYE TRADING LLC

WALNUT STREET SECURITIES, INC.

WEALTHFRONT BROKERAGE LLC

WEBULL FINANCIAL LLC

WEEDEN & CO.L.P.

WELLINGTON SHIELDS & CO., LLC

WELLS FARGO INSTITUTIONAL SECURITIES, LLC

WESTMINSTER RESEARCH ASSOCIATES LLC

WESTPAC CAPITAL MARKETS LLC

WILLIAMS TRADING LLC

WILMINGTON BROKERAGE SERVICES COMPANY

WILSON-DAVIS & CO., INC.

WOLVERINE EXECUTION SERVICES, LLC

WOLVERINE SECURITIES, LLC

WOLVERINE TRADING, LLC

WOODBURY FINANCIAL SERVICES, INC.

WOODROCK SECURITIES, L.P.

WORLD GROUP SECURITIES, INC.

WR SECURITIES, LLC

WSA FIXED INCOME, LLC

XAMBALA CAPITAL, LLC

XMS CAPITAL PARTNERS, LLC

XP INVESTMENTS US, LLC

XR SECURITIES LLC

XTELLUS CAPITAL PARTNERS, INC.

XTX EXECUTION SERVICES LLC

XTX MARKETS LLC

ZEBED SECURITIES, LLC

ZELMAN PARTNERS, LLC

ZEUS FINANCIAL, LLC

ZIONS DIRECT, INC.

ZIV INVESTMENT COMPANY

1. /  Just because a broker or dealer does not appear on this list does not mean that the broker or dealer has outstanding a past-due share of the broker-dealer accounting support fee. Many "brokers" or “dealers,” as such terms are defined in the Sarbanes-Oxley Act and the Board's rules, are not allocated a share of the broker-dealer accounting support fee under the Board's funding rules and therefore are not on this list even though they have outstanding no past-due share of the accounting support fee. In addition, payments are received periodically by the PCAOB and are not reflected on this list until it is next updated. For more information regarding the determination of payment of accounting support fees by registered accounting firms, please see rule 7104(b). [↑](#footnote-ref-1)