
**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 September 15, 2023

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 September 15, 2023.^{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>).

^{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).

Public Company Accounting Oversight Board
 Brokers and Dealers With No Outstanding
 Past-Due Share as of September 15, 2023

	*	*	*
280 SECURITIES LLC	ALPINE SECURITIES	ARBOR RESEARCH &	
303 EQUITY TRADING GROUP	CORPORATION	TRADING, LLC	
II, LLC	ALTERNA SECURITIES, INC.	ARCA CAPITAL	
A. R. SCHMEIDLER & CO.,	ALVAREZ & MARSAL	INVESTMENTS, INC.	
INC.	SECURITIES, LLC	ARCHIPELAGO SECURITIES	
A.B. FINANCIAL L.L.C.	AMERANT INVESTMENTS,	L.L.C.	
A.G.P. / ALLIANCE GLOBAL	INC.	ARCHIPELAGO TRADING	
PARTNERS CORP.	AMERICA'S GROWTH	SERVICES, INC.	
AARDVARK SECURITIES LLC	CAPITAL, LLC	ARCOLA SECURITIES, INC.	
ABBEY NATIONAL SECURITIES	AMERICAN CENTURY	ARDEA PARTNERS LP	
INC.	INVESTMENT SERVICES, INC.	ARIEL DISTRIBUTORS, LLC	
ABEL NOSER, LLC.	AMERICAN ENTERPRISE	ARVEST INVESTMENTS, INC.	
ABEL/NOSER CORP.	INVESTMENT SERVICES INC.	ARXIS SECURITIES LLC	
ABG SUNDAL COLLIER INC.	AMERICAN FUNDS	ASCENSUS BROKER DEALER	
ABN AMRO CLEARING	DISTRIBUTORS, INC.	SERVICES, INC.	
CHICAGO LLC	AMERICAN PORTFOLIOS	ASHMORE INVESTMENT	
ACADEMY SECURITIES, INC.	FINANCIAL SERVICES, INC.	MANAGEMENT (US)	
ACCESS SECURITIES, LLC	AMERIPRISE FINANCIAL	CORPORATION	
ADP BROKER-DEALER, INC.	SERVICES, LLC	ASL CAPITAL MARKETS INC.	
ADVISORS ASSET	AMERITAS INVESTMENT	ASPEN TRADING, L.L.C	
MANAGEMENT, INC.	COMPANY, LLC	ASSOCIATED OPTIONS, INC.	
AEGIS CAPITAL CORP.	AMERIVET SECURITIES, INC.	ATHENE SECURITIES, LLC	
AERIS PARTNERS LLC	AMHERST PIERPONT	ATLANTIC - PACIFIC CAPITAL,	
AIG CAPITAL SERVICES, INC.	SECURITIES LLC	INC.	
AIG FINANCIAL SECURITIES	AMHERST SECURITIES	ATLAS ONE FINANCIAL	
CORP.	GROUP, L.P.	GROUP, LLC	
AK CAPITAL LLC	AMS DERIVATIVES B.V.	ATLAS TECHNOLOGY GROUP	
AKUNA SECURITIES LLC	AMUNDI DISTRIBUTOR US,	LLC	
ALADDIN CAPITAL LLC	INC.	ATM EXECUTION LLC	
ALANTRA, LLC	AMUNI FINANCIAL, INC.	AUERBACH GRAYSON &	
ALLEN & COMPANY LLC	ANGEL ISLAND CAPITAL	COMPANY LLC	
ALLIANCEBERNSTEIN	SERVICES, LLC	AURIGA USA, LLC	
INVESTMENTS, INC.	ANZ SECURITIES, INC.	AUTOMATED TRADING DESK	
ALLIANZ LIFE FINANCIAL	AON SECURITIES LLC	BROKERAGE SERVICES, LLC	
SERVICES, LLC	APERTURE, LLC	AUTONOMOUS RESEARCH	
ALLSPRING FUNDS	APEX CLEARING	LLP	
DISTRIBUTOR, LLC	CORPORATION	AVANTAX INVESTMENT	
ALLSTATE FINANCIAL	APOLLO GLOBAL SECURITIES,	SERVICES, INC.	
SERVICES, LLC	LLC	AVATAR CAPITAL GROUP LLC	
ALLSTON TRADING LLC	APTO PARTNERS, LLC	AVATAR SECURITIES, LLC	
ALLY INVEST SECURITIES LLC	AQR INVESTMENTS, LLC	AVM, L.P.	
ALLY SECURITIES LLC	AQUILO PARTNERS, L.P.	AXIO FINANCIAL LLC	
ALPACA SECURITIES LLC		AXOS CLEARING LLC	

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B. C. ZIEGLER AND COMPANY
B. RILEY SECURITIES, INC.
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-IXE 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.
BC PARTNERS SECURITIES LLC
BCP SECURITIES, INC.
BCS AMERICAS, INC.
BDT & COMPANY, LLC
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.
BERENBERG CAPITAL
MARKETS LLC
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
BLOOMBERG TRADEBOOK
LLC
BLUE CAPITAL GROUP LLC
BLUE FIRE CAPITAL, LLC
BLUEFIN CAPITAL
MANAGEMENT, 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.
BNY MELLON CAPITAL
MARKETS, LLC
BNY MELLON SECURITIES
CORPORATION
BOENNING &
SCATTERGOOD, INC.
BOFA DISTRIBUTORS, INC.
BOFA SECURITIES, INC.
BOK FINANCIAL SECURITIES,
INC.
BOLTON GLOBAL CAPITAL
BONDS.COM, INC.
BOSTON PARTNERS
SECURITIES, L.L.C.
BOUSTEAD SECURITIES, LLC
BRADESCO BAC FLORIDA
INVESTMENTS CORP.
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC
BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BREX TREASURY LLC
BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC
BRIGHTHOUSE SECURITIES,
LLC
BROADHAVEN SECURITIES
LLC
BROADRIDGE BUSINESS
PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD PRIVATE
ADVISORS LLC
BROWN, GIBBONS, LANG &
COMPANY SECURITIES, LLC
BROWNSTONE INVESTMENT
GROUP, LLC

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BTG PACTUAL US CAPITAL,
LLC
BTIG, LLC
BUCKLER SECURITIES 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
CAIS CAPITAL 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.
CARDINAL CAPITAL
MANAGEMENT LLC
CARILLON FUND
DISTRIBUTORS, INC.
CARNEGIE, INC.

CARTA CAPITAL MARKETS,
LLC
CARTY & COMPANY, INC.
CASCADIA CAPITAL, LLC
CASGRAIN & COMPANY
(USA) LIMITED
CASTLEOAK SECURITIES, LP
CBOE TRADING, INC.
CBRE CAPITAL ADVISORS,
INC.
CC CAPITAL ADVISORS, INC.
CCB INTERNATIONAL
OVERSEAS (USA) INC.
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
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
CIBC WORLD MARKETS
CORP.
CICC US SECURITIES, INC.
CIMB SECURITIES (USA), INC.
CIT CAPITAL SECURITIES LLC
CITADEL CLEARING LLC

CITADEL SECURITIES
INSTITUTIONAL LLC
CITADEL SECURITIES LLC
CITI ORDER ROUTING AND
EXECUTION, LLC
CITIC SECURITIES
INTERNATIONAL USA, LLC
CITICORP SECURITIES
SERVICES, INC.
CITIGROUP DERIVATIVES
MARKETS INC.
CITIGROUP GLOBAL
MARKETS INC.
CITIZENS CAPITAL MARKETS,
INC.
CITIZENS SECURITIES, INC.
CITY NATIONAL SECURITIES,
INC.
CITY SECURITIES
CORPORATION
CLARK SECURITIES, INC.
CLARKSON CAPITAL
MARKETS LLC
CLARKSONS SECURITIES, INC.
CLEAR STREET LLC
CLEAR STREET MARKETS LLC
CLEARPOOL EXECUTION
SERVICES, LLC
CLEARY GULL INC.
CLEVELAND RESEARCH
COMPANY LLC
CLIFTONLARSONALLEN
WEALTH ADVISORS, LLC
CLSA AMERICAS, 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

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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
COLUMBIA MANAGEMENT
INVESTMENT DISTRIBUTORS,
INC.
COMERICA SECURITIES, INC.
COMHAR CAPITAL MARKETS,
LLC
COMMERCE BROKERAGE
SERVICES, INC.
COMMERZ MARKETS LLC
COMMONFUND SECURITIES,
INC.
COMMONWEALTH
AUSTRALIA SECURITIES LLC
COMMONWEALTH EQUITY
SERVICES, LLC
COMPASS POINT RESEARCH
& TRADING, LLC
CONCOURSE FINANCIAL
GROUP SECURITIES, INC.
CONTINUITY PARTNERS
GROUP, LLC
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
CREDIT SUISSE SECURITIES
(USA) LLC
CREWS & ASSOCIATES, INC.
CRITICAL TRADING, LLC
CROWELL, WEEDON & CO.
CRT CAPITAL GROUP LLC
CSS, LLC
CT COLLATERAL FUNDING,
LLC
CTC, LLC
CUNA BROKERAGE SERVICES,
INC.
CURIAN CLEARING, LLC
CURTISWOOD CAPITAL, LLC
CURVATURE SECURITIES LLC
CUSO FINANCIAL SERVICES,
L.P.
CUTLER GROUP, LLC
CUTWATER ASSET
MANAGEMENT CORP.
CVC FUNDING, LLC
CYNDX ADVISORS LLC
D.A. DAVIDSON & CO.
D.M. KELLY & COMPANY
DAHLMAN ROSE &
COMPANY, LLC
DAIWA CAPITAL MARKETS
AMERICA INC.
DAIWA CORPORATE
ADVISORY LLC

DANSKE MARKETS INC.
DASH FINANCIAL
TECHNOLOGIES LLC
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DAVY SECURITIES
DAWSON JAMES SECURITIES,
INC.
DB SECURITIES SERVICES NJ
INC.
DBO PARTNERS LLC
DBS VICKERS SECURITIES
(USA) INC.
DEALERWEB INC.
DELANEY EQUITY GROUP LLC
DELAWARE DISTRIBUTORS,
L.P.
DELOITTE CORPORATE
FINANCE LLC
DESJARDINS SECURITIES
INTERNATIONAL 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
DNB MARKETS, INC.
DOFT & CO., INC.
DOUGH LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DRIVEWEALTH
INSTITUTIONAL LLC

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DRIVEWEALTH, LLC
DRW EXECUTION SERVICES,
LLC
DRW SECURITIES, L.L.C.
DUFF & PHELPS SECURITIES
LLC
DUNCAN-WILLIAMS, INC.
DUNDEE SECURITIES INC.
DV EQUITIES, LLC
DV SECURITIES, LLC
DVB CAPITAL MARKETS LLC
DWS DISTRIBUTORS, INC.
DZ FINANCIAL MARKETS LLC
E D & F MAN CAPITAL
MARKETS INC.
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.
EFG CAPITAL
INTERNATIONAL CORP.
EG MARKET TECHNOLOGIES
LLC
ELECTRONIC TRANSACTION
CLEARING, INC.
ELEVATION, LLC
EMBED CLEARING LLC
EMMET & CO, INC.
EMPIRICAL RESEARCH
PARTNERS LLC
ENGLISH CONCEPTS, INC.
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.
EVERCORE GROUP L.L.C.
EXANE, INC.
EXECUTION ACCESS, LLC
EXOTIX USA INC.
FACTSET DATA SYSTEMS,
INC.
FAGENSON & CO., INC.
FAIRMOUNT PARTNERS LP
FARMERS FINANCIAL
SOLUTIONS, LLC
FELTL & COMPANY
FHN FINANCIAL SECURITIES
CORP.
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 INVESTOR
SERVICES, INC.
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 CO
FIRST NEW YORK SECURITIES
L.L.C.
FIRST REPUBLIC SECURITIES
COMPANY, LLC
FIRST SOUTHWEST
COMPANY, LLC
FIRST TRUST PORTFOLIOS
L.P.
FIRST TRYON SECURITIES, LLC
FIRST WINSTON SECURITIES,
INC.
FIRSTRADE SECURITIES INC.
FIS BROKERAGE &
SECURITIES SERVICES LLC
FIXED INCOME CAPITAL
PARTNERS, LLC
FLEXTRADE LLC
FLORIDA ATLANTIC
SECURITIES CORP.
FLOURISH FINANCIAL LLC
FLOW TRADERS U.S.
INSTITUTIONAL TRADING LLC
FLOW TRADERS U.S. LLC
FM PARTNERS HOLDINGS LLC
FMI CAPITAL ADVISORS, INC.
FMSBONDS, INC.

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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 DISTRIBUTORS,
LLC
FRANKLIN/TEMPLETON
DISTRIBUTORS, INC.
FRED ALGER & COMPANY,
LLC
FREEDOM INVESTMENTS,
INC.
FROST BROKERAGE
SERVICES, INC.
FS INVESTMENT SOLUTIONS,
LLC
FSC SECURITIES
CORPORATION
FSP INVESTMENTS LLC
FT GLOBAL CAPITAL, INC.
FTI CAPITAL ADVISORS, LLC
FTP SECURITIES LLC
FUTU CLEARING INC
G-2 TRADING,LLC
G-BAR LIMITED
PARTNERSHIP
G-TRADE SERVICES LLC
G1 EXECUTION SERVICES, LLC
G2 TRADING LLC
GAGNON SECURITIES, LLC
GALLAGHER SECURITIES, INC
GARGOYLE STRATEGIC
INVESTMENTS L.L.C.
GBM INTERNATIONAL, INC.
GBS RETIREMENT SERVICES,
INC.

GDK, INC.
GE CAPITAL MARKETS, INC.
GELBER SECURITIES, LLC
GENESIS CAPITAL, LLC
GENESIS GLOBAL TRADING,
INC
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 STREET ADVISORS,
LLC
GREENHILL & CO., LLC
GREENSLEDGE CAPITAL
MARKETS LLC
GRIFFIN FINANCIAL GROUP,
LLC
GRIFFITHS MCBURNEY CORP.
GROUP ONE TRADING, L.P.
GROVE POINT INVESTMENTS,
LLC

GTS SECURITIES LLC
GUARDIAN INVESTOR
SERVICES LLC
GUGGENHEIM
DISTRIBUTORS, LLC
GUGGENHEIM FUNDS
DISTRIBUTORS, LLC
GUGGENHEIM INVESTOR
SERVICES, LLC
GUGGENHEIM SECURITIES,
LLC
GUZMAN & COMPANY
GWN SECURITIES INC.
GX2 SPREAD MARKETS, LLC
H.C.WAINWRIGHT & CO., LLC
H2C SECURITIES INC.
HAITONG INTERNATIONAL
SECURITIES (USA) INC.
HAITONG SECURITIES USA
LLC
HALES SECURITIES, LLC
HANCOCK WHITNEY
INVESTMENT SERVICES INC.
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 CORPORATION
HEFREN-TILLOTSON, INC.
HENNION & WALSH, INC.
HERBERT J. SIMS & CO, INC.

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HFF SECURITIES L.P.	IFC HOLDINGS, INC.	INVESTEC SECURITIES (US)
HILLTOP SECURITIES INC.	IMA WEALTH, INC.	LLC
HOLD BROTHERS CAPITAL LLC	IMC EXECUTION SERVICES LLC	INVESTMENT CENTERS OF AMERICA, INC.
HOME FINANCIAL SERVICES, INC.	IMC-CHICAGO, LLC	INVESTMENT DISTRIBUTORS, INC.
HONEY BADGER INVESTMENT SECURITIES, LLC	IMPERIAL CAPITAL, LLC	INVESTMENT PLACEMENT GROUP
HORNOR, TOWNSEND & KENT, INC.	INCENTER SECURITIES GROUP LLC	INVEX, LLC.
HOULIHAN LOKEY ADVISORS, LLC	INCENTRUM SECURITIES, LLC	ITAU BBA USA SECURITIES, INC.
HOULIHAN LOKEY CAPITAL, INC.	INDEPENDENT FINANCIAL GROUP, LLC	ITAU INTERNATIONAL SECURITIES INC.
HOVDE GROUP, LLC	INDUSTRIAL AND COMMERCIAL BANK OF CHINA FINANCIAL SERVICES LLC	IVY DISTRIBUTORS, INC.
HOWARD WEIL INCORPORATED	INFINEX INVESTMENTS, INC.	J. WOOD CAPITAL ADVISORS LLC
HRT EXECUTION SERVICES LLC	ING FINANCIAL MARKETS LLC	J.J.B. HILLIARD, W.L. LYONS, LLC
HRT FINANCIAL LP	INGALLS & SNYDER, LLC	J.P. MORGAN CLEARING CORP.
HSBC SECURITIES (USA) INC.	INSIGNEO INTERNATIONAL FINANCIAL SERVICES LLC	J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.
HUATAI SECURITIES (USA), INC.	INSIGNEO SECURITIES, LLC	J.P. MORGAN PRIME INC.
HUNT FINANCIAL SECURITIES, LLC	INSPEREX LLC	J.P. MORGAN SECURITIES LLC
HUNTINGTON SECURITIES, INC.	INSTINET, LLC	J.V.B. FINANCIAL GROUP, LLC
IBERIA CAPITAL PARTNERS L.L.C.	INSTITUTIONAL CASH DISTRIBUTORS, LLC	J.W. COLE FINANCIAL, INC.
IBKR SECURITIES SERVICES LLC	INTELLIGENT CROSS LLC	JACKSON NATIONAL LIFE DISTRIBUTORS LLC
IBS HOLDING CORPORATION	INTERACTIVE BROKERS CORP.	JAG TRADING L.L.C.
ICAP CORPORATES LLC	INTERACTIVE BROKERS LLC	JANE STREET CAPITAL, LLC
ICBC STANDARD SECURITIES INC.	INTERCOASTAL CAPITAL MARKETS, INC.	JANE STREET EXECUTION SERVICES, LLC
ICE BONDS SECURITIES CORPORATION	INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC	JANE STREET MARKETS, LLC
ICE SECURITIES EXECUTION & CLEARING, LLC	INTESA SANPAOLO IMI SECURITIES CORP.	JANNEY MONTGOMERY SCOTT LLC
ICM SECURITIES, LLC	INTREPID INVESTMENT BANKERS LLC	JANUS HENDERSON DISTRIBUTORS US LLC
ICR CAPITAL LLC	INTREPID PARTNERS, LLC	JEFFERIES BACHE SECURITIES, LLC
IDB CAPITAL CORP.	INVEMED ASSOCIATES LLC	JEFFERIES EXECUTION SERVICES, INC.
IEX SERVICES LLC	INVESCO CAPITAL MARKETS, INC.	JEFFERIES HIGH YIELD TRADING, LLC
	INVESCO DISTRIBUTORS, INC.	JEFFERIES LLC
	INVESTACORP, INC.	

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of September 15, 2023

JMP SECURITIES LLC
JOE JOLLY & CO., INC.
JOHN HANCOCK
DISTRIBUTORS LLC
JOHN HANCOCK
INVESTMENT MANAGEMENT
DISTRIBUTORS LLC
JOHNSON RICE & COMPANY
L.L.C.
JONES LANG LASALLE
SECURITIES, LLC
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.
KEMPEN & CO U.S.A., INC.
KEPLER CAPITAL MARKETS,
INC.
KESTRA INVESTMENT
SERVICES, LLC
KEY INVESTMENT SERVICES
LLC
KEYBANC CAPITAL MARKETS
INC.
KGS-ALPHA CAPITAL
MARKETS, L.P.
KIPPSDESANTO & COMPANY
KKR CAPITAL MARKETS LLC
KMS FINANCIAL SERVICES,
INC.
KNIGHT CAPITAL AMERICAS,
L.P.
KOONCE SECURITIES, INC.
KOYOTE TRADING LLC
KPMG CORPORATE FINANCE
LLC
L.J. HART AND COMPANY

LADDER CAPITAL SECURITIES
LLC
LADENBURG THALMANN &
CO. INC.
LAFISE SECURITIES
CORPORATION
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
LIFESCI CAPITAL, LLC
LIGHTSPEED FINANCIAL
SERVICES GROUP LLC
LIME TRADING CORP
LINCOLN FINANCIAL
ADVISORS CORPORATION
LINCOLN FINANCIAL
DISTRIBUTORS, INC.
LINCOLN FINANCIAL
SECURITIES CORPORATION
LINCOLN INTERNATIONAL
LLC
LINCOLN INVESTMENT
PLANNING, LLC
LIONTREE ADVISORS LLC
LIQUIDITYEDGE, LLC.
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
LUMINEX TRADING &
ANALYTICS LLC
LUPO SECURITIES, LLC
M&I FINANCIAL ADVISORS,
INC.
M&T SECURITIES, INC.
M3 CAPITAL PARTNERS LLC
MACQUARIE CAPITAL (USA)
INC.
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
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MARSHBERRY CAPITAL, LLC.
MATTHEWS SOUTH, LLC
MAXIM GROUP LLC
MCADAMS WRIGHT RAGEN,
INC.
MCAP LLC
MCS CAPITAL MARKETS LLC
MEDIOBANCA SECURITIES
USA LLC
MERCER ALLIED COMPANY,
L.P.
MERCHANT CAPITAL, L.L.C.
MERIDIAN CAPITAL LLC
MERRILL LYNCH FINANCIAL
MARKETS, INC.

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Brokers and Dealers With No Outstanding
Past-Due Share as of September 15, 2023

MERRILL LYNCH
PROFESSIONAL CLEARING
CORP.
MERRILL LYNCH, PIERCE,
FENNER & SMITH
INCORPORATED
MERUS CAPITAL PARTNERS,
LLC
MESIROW FINANCIAL, INC.
METLIFE INVESTORS
DISTRIBUTION COMPANY
MFR SECURITIES, INC.
MFS FUND DISTRIBUTORS,
INC.
MICROVENTURE
MARKETPLACE INC.
MIDLEGATE SECURITIES
INC.
MIDLAND SECURITIES, LTD
MILLBURN RIDGEFIELD
CORPORATION
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 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.
MONEY CONCEPTS CAPITAL
CORP
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.
MTG, LLC
MTS SECURITIES, LLC
MUFG AMERICAS
CORPORATE ADVISORY, INC.
MUFG SECURITIES AMERICAS
INC.
MULTI-BANK SECURITIES,
INC.
MURIEL SIEBERT & CO., 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 EXECUTION
SERVICES, LLC
NASDAQ OPTIONS SERVICES,
LLC
NATALLIANCE SECURITIES,
LLC
NATHAN HALE CAPITAL, LLC
NATIONAL BANK OF CANADA
FINANCIAL INC.
NATIONAL FINANCIAL
SERVICES LLC
NATIONAL PLANNING
CORPORATION
NATIONAL SECURITIES
CORPORATION
NATIONWIDE FUND
DISTRIBUTORS LLC
NATIONWIDE SECURITIES,
LLC
NATIXIS DERIVATIVES INC.
NATIXIS DISTRIBUTION, LLC
NATIXIS SECURITIES
AMERICAS LLC
NATWEST MARKETS
SECURITIES INC.
NAVY FEDERAL INVESTMENT
SERVICES, LLC
NBC SECURITIES, INC.
NBF SECURITIES (USA) CORP.
NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NETWORK 1 FINANCIAL
SECURITIES INC.
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE SECURITIES, INC.
NEWEDGE USA, LLC
NEWPORT GROUP
SECURITIES, INC.
NEXBANK SECURITIES INC
NFSTX, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of September 15, 2023

NH INVESTMENT &
SECURITIES AMERICA, INC.
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL
PRODUCTS INC.
NOMURA GREENTECH
CAPITAL ADVISORS, LLC
NOMURA SECURITIES
INTERNATIONAL, INC.
NOMURA SECURITIES NORTH
AMERICA, LLC
NORDEA SECURITIES LLC
NORTH BRIDGE CAPITAL, LLC
NORTH POINT MERGERS
AND ACQUISITIONS, INC.
NORTHERN TRUST
SECURITIES, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL
INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
O'NEIL SECURITIES
INCORPORATED
OASIS PRO MARKETS LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK
CORPORATION
ODEON CAPITAL GROUP LLC
OHIO NATIONAL EQUITIES,
INC.
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC
ONEAMERICA SECURITIES,
INC.
OPEN TO THE PUBLIC
INVESTING, INC.
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.

OPPENHEIMERFUNDS
DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSXPRESS, INC.
OPTIVER US LLC
OREC SECURITIES, LLC
ORIENTAL FINANCIAL
SERVICES LLC
OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE
CORPORATION
PACIFIC CREST SECURITIES
LLC
PACIFIC SELECT
DISTRIBUTORS, LLC
PALAFOX TRADING LLC
PARETO SECURITIES INC.
PARIS SECURITIES
CORPORATION
PARK AVENUE SECURITIES
LLC
PARK HILL REAL ESTATE
GROUP LLC
PARK SUTTON SECURITIES,
LLC
PARKLAND SECURITIES, LLC
PAULSON INVESTMENT
COMPANY LLC
PAYCHEX SECURITIES
CORPORATION
PEAK6 CAPITAL
MANAGEMENT LLC
PEAK6 PERFORMANCE
MANAGEMENT LLC
PEAK6 VEGA MASTER FUND
LLC
PENSON FINANCIAL
SERVICES, INC.
PEOPLE'S SECURITIES, INC.
PERELLA WEINBERG
PARTNERS LP

PERFORMANCE TRUST
CAPITAL PARTNERS, LLC
PERSHING ADVISOR
SOLUTIONS LLC
PERSHING LLC
PFS INVESTMENTS INC.
PGM GLOBAL INC.
PHILLIP CAPITAL INC.
PHOENIX DERIVATIVES
GROUP, LLC
PHX FINANCIAL, INC.
PICTET OVERSEAS INC.
PIMCO INVESTMENTS LLC
PIPELINE TRADING SYSTEMS
LLC
PIPER SANDLER & CO.
PJT PARTNERS LP
PLANMEMBER SECURITIES
CORPORATION
PNC CAPITAL MARKETS LLC
PNC INVESTMENTS LLC
POPULAR SECURITIES, LLC
PORTIGON SECURITIES INC.
POTAMUS TRADING, LLC
PRAGMA LLC
PRECISION SECURITIES, LLC
PREFERRED CAPITAL
SECURITIES, LLC
PRICEWATERHOUSECOOPE
RS CORPORATE FINANCE LLC
PRIME DEALER SERVICES
CORP.
PRINCIPAL FUNDS
DISTRIBUTOR, INC.
PRINCIPAL SECURITIES, INC.
PROBITAS FUNDS GROUP,
LLC
PROSPERA FINANCIAL
SERVICES, INC.
PRUCO SECURITIES, LLC.
PRUDENTIAL ANNUITIES
DISTRIBUTORS, INC
PRUDENTIAL INVESTMENT
MANAGEMENT SERVICES LLC

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PTR, INC.	REGAL SECURITIES, INC.	SABADELL SECURITIES USA, INC.
PUBLIC VENTURES, LLC	REGIONS SECURITIES LLC	SAFRA SECURITIES LLC
PULSE TRADING, INC.	RELATED FINANCIAL SERVICES, LLC	SAGEPOINT FINANCIAL, INC.
PUNDION LLC	RENCAP SECURITIES, INC.	SAL EQUITY TRADING, GP
PURESTREAM, LLC	RESOLUTE INVESTMENT DISTRIBUTORS, INC.	SAMCO CAPITAL MARKETS, INC.
PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP	REUTERS TRANSACTION SERVICES LLC	SAMI BROKERAGE LLC
Q ADVISORS LLC	RGM SECURITIES, LLC	SAMMONS FINANCIAL NETWORK, LLC
QATALYST PARTNERS LP	RIVERSOURCE DISTRIBUTORS, INC.	SAMSUNG SECURITIES (AMERICA), INC.
QUAD CAPITAL, LLC	RIVERSTONE CAPITAL SERVICES LLC	SAMUEL A. RAMIREZ & COMPANY, INC.
QUAD SECURITIES LLC	ROBERT W. BAIRD & CO. INCORPORATED	SANDERS MORRIS HARRIS INC.
QUANTITATIVE BROKERS, LLC	ROBINHOOD FINANCIAL, LLC	SANDLER, O'NEILL & PARTNERS, L.P.
QUANTLAB SECURITIES LP	ROBINHOOD SECURITIES, LLC	SANFORD C. BERNSTEIN & CO., LLC
QUASAR DISTRIBUTORS, LLC	ROCKEFELLER FINANCIAL LLC	SANTANDER INTERNATIONAL SECURITIES, INC.
QUESTAR CAPITAL CORPORATION	RODMAN & RENSHAW, LLC	SANTANDER INVESTMENT SECURITIES INC.
QUIET LIGHT SECURITIES, LLC	RONIN CAPITAL, LLC	SANTANDER SECURITIES LLC
R. SEELAUS & CO., LLC	ROOSEVELT & CROSS, INCORPORATED	SAYBRUS EQUITY SERVICES, INC
R.W.PRESSPRICH & CO.	ROSENBLATT SECURITIES INC.	SBERBANK CIB USA, INC
RABO SECURITIES USA, INC.	ROSENTHAL GLOBAL SECURITIES LLC	SCOTIA CAPITAL (USA) INC.
RAFFERTY CAPITAL MARKETS, LLC	ROSS, SINCLAIRE & ASSOCIATES, LLC	SCOTT & STRINGFELLOW, LLC
RAINE SECURITIES LLC	ROTH CAPITAL PARTNERS, LLC	SCOTTRADE, INC.
RAINIER SECURITIES, LLC	ROTHSCHILD & CO US INC.	SCOUT TRADING, LLC
RAMAT SECURITIES LTD.	ROYAL ALLIANCE ASSOCIATES, INC.	SEA OTTER SECURITIES GROUP LLC
RAYMOND JAMES & ASSOCIATES, INC.	ROYCE FUND SERVICES, LLC	SEAPORT GLOBAL SECURITIES LLC
RAYMOND JAMES (USA) LTD.	RQD* CLEARING, LLC	SEAPORT SECURITIES CORP.
RAYMOND JAMES FINANCIAL SERVICES, INC.	RUANE, CUNNIFF & GOLDFARB LLC	SEARLE & CO.
RAYMOND JAMES INSURANCE GROUP, INC.	RUSSELL INVESTMENTS FINANCIAL SERVICES, LLC	SEATTLE-NORTHWEST SECURITIES CORPORATION
RB INTERNATIONAL MARKETS (USA) LLC	RUSSELL INVESTMENTS IMPLEMENTATION SERVICES, LLC	SEB SECURITIES, INC.
RBC CAPITAL MARKETS, LLC		SECURIAN FINANCIAL SERVICES, INC.
RBC CMA LLC		SECURITIES AMERICA, INC.
RCI LIMITED PARTNERSHIP		
REALCADRE LLC		
RED CEDAR TRADING, LLC		
REDBIRD BD, LLC		
REDBURN (USA) LLC		
REDI GLOBAL TECHNOLOGIES LLC		

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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
SIGMA FINANCIAL
CORPORATION
SIGNAL HILL CAPITAL GROUP
LLC
SIGNATOR INVESTORS, INC.
SIGNATURE SECURITIES
GROUP CORPORATION
SII INVESTMENTS, INC.
SIMMONS & COMPANY
INTERNATIONAL
SIMMONS FIRST
INVESTMENT GROUP, INC.
SIMON MARKETS LLC
SIMPLEX TRADING, LLC
SIXPOINT PARTNERS LLC
SMBC NIKKO SECURITIES
AMERICA, INC.

SMBC NIKKO SECURITIES
CANADA, LTD.
SOFI SECURITIES LLC
SOLEBURY CAPITAL 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.
STASH CAPITAL LLC
STATE FARM VP
MANAGEMENT CORP.
STATE STREET GLOBAL
ADVISORS FUNDS
DISTRIBUTORS, LLC
STATE STREET GLOBAL
MARKETS, LLC
STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING, GRACE
MUNICIPAL SECURITIES
CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STEWART PARTNERS
INVESTMENT SOLUTIONS,
LLC
STIFEL, NICOLAUS &
COMPANY, INCORPORATED

STOCKCROSS FINANCIAL
SERVICES, INC.
STOEVER, GLASS & COMPANY
INC.
STONE & YOUNGBERG LLC
STONEX FINANCIAL INC.
STORMHARBOUR SECURITIES
LP
STOUT CAPITAL, LLC
STRATEGAS SECURITIES, LLC
STUART FRANKEL & CO.,
INCORPORATED
STUDENT OPTIONS, LLC
SUMMIT BROKERAGE
SERVICES, INC.
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 LLC
SVB SECURITIES, A NON-
BANK AFFILIATE OF SILICON
VALLEY BANK
SWBC INVESTMENT
SERVICES, LLC
SWEDBANK SECURITIES US,
LLC
SWENEY CARTWRIGHT &
COMPANY
SWISS RE CAPITAL MARKETS
CORPORATION
SYNOVUS SECURITIES, INC.
SYSTEMATIZED BENEFITS
ADMINISTRATORS, INC.
T. ROWE PRICE INVESTMENT
SERVICES, INC.

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Brokers and Dealers With No Outstanding
Past-Due Share as of September 15, 2023

T.R. WINSTON & COMPANY,
LLC
T3 TRADING GROUP, LLC
TALCOTT RESOLUTION
DISTRIBUTION COMPANY,
INC.
TASTYWORKS, INC.
TCBI SECURITIES, INC.
TCG CAPITAL MARKETS L.L.C.
TD AMERITRADE CLEARING,
INC.
TD AMERITRADE, INC.
TD PRIME SERVICES LLC
TD PRIVATE CLIENT WEALTH
LLC
TD SECURITIES (USA) LLC
TD SECURITIES AUTOMATED
TRADING LLC
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 HUNTINGTON
INVESTMENT COMPANY
THE KLEIN GROUP, LLC
THE LEADERS GROUP, INC.
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
THRIVENT INVESTMENT
MANAGEMENT INC.
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
TOUCHSTONE SECURITIES,
INC.
TOURMALINE PARTNERS, LLC
TOWER SQUARE SECURITIES,
INC.
TOWERS WATSON CAPITAL
MARKETS INC.
TOYOTA FINANCIAL SERVICES
SECURITIES USA
CORPORATION
TPG CAPITAL BD, LLC
TRADE INFORMATICS LLC
TRADEBOT SYSTEMS, INC.
TRADELINK L.L.C.
TRADELINK SECURITIES, LLC
TRADESTATION SECURITIES,
INC.
TRADEUP SECURITIES, INC.
TRADEWEB DIRECT LLC
TRADEWEB L.L.C

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 INVESTMENT
SERVICES, INC.
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
U.S. BANCORP
INVESTMENTS, INC.
UBS ASSET MANAGEMENT
(US) INC.
UBS FINANCIAL SERVICES
INC.
UBS FINANCIAL SERVICES
INCORPORATED OF PUERTO
RICO
UBS SECURITIES LLC
UMB FINANCIAL SERVICES,
INC.
UNICREDIT CAPITAL
MARKETS LLC

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UNIONBANC INVESTMENT SERVICES, 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.
VALIC FINANCIAL ADVISORS, INC.
VALLEY FINANCIAL MANAGEMENT, INC.
VALLEY FORGE ASSET MANAGEMENT, LLC
VAN ECK SECURITIES CORPORATION
VANGUARD MARKETING CORPORATION
VAQUERO CAPITAL LLC
VECTORGLOBAL WMG, INC.
VELOCITY CAPITAL, LLC
VELOCITY CLEARING, LLC
VELOX CLEARING 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
VTB CAPITAL INC.
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
WEDBUSH SECURITIES INC.
WEEDEN & CO.L.P.
WELLINGTON SHIELDS & CO., LLC
WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
WELLS FARGO CLEARING SERVICES, LLC
WELLS FARGO INSTITUTIONAL SECURITIES, LLC
WELLS FARGO PRIME SERVICES, LLC
WELLS FARGO SECURITIES, LLC
WESTMINSTER RESEARCH ASSOCIATES LLC
WESTPAC CAPITAL MARKETS LLC

WILLIAM BLAIR & COMPANY L.L.C.
WILLIAMS TRADING LLC
WILMINGTON BROKERAGE SERVICES COMPANY
WILSON-DAVIS & CO., INC.
WINTRUST INVESTMENTS LLC
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
X-CHANGE FINANCIAL ACCESS, LLC
XAMBALA CAPITAL, LLC
XMS CAPITAL PARTNERS, LLC
XP INVESTMENTS US, LLC
XR SECURITIES LLC
XTX EXECUTION SERVICES LLC
XTX MARKETS LLC
ZEBED SECURITIES, LLC
ZELMAN PARTNERS, LLC
ZEUS FINANCIAL, LLC
ZIONS DIRECT, INC.
ZIV INVESTMENT COMPANY