



1666 K Street NW
Washington, DC 20006
Office: (202) 207-9100
www.pcaobus.org

**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 December 1, 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 December 1, 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 December 1, 2023

	* * *	
2021 CAPITAL, LLC	ALVAREZ & MARSAL	ARCOLA SECURITIES, INC.
280 SECURITIES LLC	SECURITIES, LLC	ARDEA PARTNERS LP
303 EQUITY TRADING GROUP	AMERANT INVESTMENTS,	ARIEL DISTRIBUTORS, LLC
II, LLC	INC.	ARTIST CAPITAL LLC
A. R. SCHMEIDLER & CO.,	AMERICA'S GROWTH	ARVEST INVESTMENTS, INC.
INC.	CAPITAL, LLC	ARXIS SECURITIES LLC
A.B. FINANCIAL L.L.C.	AMERICAN CENTURY	ASCENSUS BROKER DEALER
AARDVARK SECURITIES LLC	INVESTMENT SERVICES, INC.	SERVICES, LLC
ABBEY NATIONAL SECURITIES	AMERICAN ENTERPRISE	ASHMORE INVESTMENT
INC.	INVESTMENT SERVICES INC.	MANAGEMENT (US)
ABEL NOSER, LLC.	AMERICAN FUNDS	CORPORATION
ABEL/NOSER CORP.	DISTRIBUTORS, INC.	ASL CAPITAL MARKETS INC.
ABG SUNDAL COLLIER INC.	AMERICAN PORTFOLIOS	ASPEN TRADING, L.L.C
ABN AMRO CLEARING USA	FINANCIAL SERVICES, INC.	ASSOCIATED INVESTMENT
LLC	AMERIPRISE FINANCIAL	SERVICES, INC.
ABSA SECURITIES U.S. INC.	SERVICES, LLC	ASSOCIATED OPTIONS, INC.
ACADEMY SECURITIES, INC.	AMERITAS INVESTMENT	ATHENE SECURITIES, LLC
ACCESS SECURITIES, LLC	COMPANY, LLC	ATLANTIC - PACIFIC CAPITAL,
ACORNS SECURITIES, LLC	AMERIVET SECURITIES, INC.	INC.
ADP BROKER-DEALER, INC.	AMHERST SECURITIES	ATLAS ONE FINANCIAL
ADVISORS ASSET	GROUP, L.P.	GROUP, LLC
MANAGEMENT, INC.	AMS DERIVATIVES B.V.	ATLAS TECHNOLOGY GROUP
AEGIS CAPITAL CORP.	AMUNDI DISTRIBUTOR US,	LLC
AIG CAPITAL SERVICES, INC.	INC.	ATM EXECUTION LLC
AIG FINANCIAL SECURITIES	AMUNI FINANCIAL, INC.	AUERBACH GRAYSON &
CORP.	ANGEL ISLAND CAPITAL	COMPANY LLC
AK CAPITAL LLC	SERVICES, LLC	AURIGA USA, LLC
AKUNA SECURITIES LLC	ANZ SECURITIES, INC.	AUTOMATED TRADING DESK
ALADDIN CAPITAL LLC	AON SECURITIES LLC	BROKERAGE SERVICES, LLC
ALANTRA, LLC	APERTURE, LLC	AUTONOMOUS RESEARCH
ALLEN & COMPANY LLC	APOLLO GLOBAL SECURITIES,	LLP
ALLIANZ LIFE FINANCIAL	LLC	AVANTAX INVESTMENT
SERVICES, LLC	APTO PARTNERS, LLC	SERVICES, INC.
ALLSTATE FINANCIAL	AQR INVESTMENTS, LLC	AVATAR CAPITAL GROUP LLC
SERVICES, LLC	AQUILO PARTNERS, L.P.	AVM, L.P.
ALLSTON TRADING LLC	ARBOR RESEARCH &	AXIO FINANCIAL LLC
ALLY INVEST SECURITIES LLC	TRADING, LLC	AXOS CLEARING LLC
ALLY SECURITIES LLC	ARCA CAPITAL	B. C. ZIEGLER AND COMPANY
ALPACA SECURITIES LLC	INVESTMENTS, INC.	B. RILEY SECURITIES, INC.
ALPINE SECURITIES	ARCHIPELAGO SECURITIES	B. RILEY WEALTH
CORPORATION	L.L.C.	MANAGEMENT, INC.
ALTERNA SECURITIES, INC.	ARCHIPELAGO TRADING	BAADER HELVEA INC.
ALTRUIST FINANCIAL LLC	SERVICES, INC.	BAKER TILLY CAPITAL, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

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.
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 & MSD PARTNERS, 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
SECURITIES LTD.
BMO NESBITT BURNS
TRADING CORP. S.A.
BNP PARIBAS PRIME
BROKERAGE, INC.
BNP PARIBAS SECURITIES
CORP.
BNY MELLON SECURITIES
CORPORATION

BOENNING &
SCATTERGOOD, INC.
BOFA DISTRIBUTORS, INC.
BOFA SECURITIES PRIME,
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
BRASIL PLURAL SECURITIES
LLC
BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BREX TREASURY LLC
BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC
BROADHAVEN SECURITIES
LLC
BROADRIDGE BUSINESS
PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD OAKTREE
WEALTH SOLUTIONS LLC
BROOKFIELD PRIVATE
ADVISORS LLC
BROWN, GIBBONS, LANG &
COMPANY SECURITIES, LLC
BROWNSTONE INVESTMENT
GROUP, LLC
BTG PACTUAL US CAPITAL,
LLC
BTIG, LLC
BUCKLER SECURITIES LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

BUILDER ADVISOR GROUP, LLC	CASGRAIN & COMPANY (USA) LIMITED	CITI ORDER ROUTING AND EXECUTION, LLC
BURKE & QUICK PARTNERS LLC	CASTLEOAK SECURITIES, LP	CITIC SECURITIES INTERNATIONAL USA, LLC
BYRD TRADING, LLC	CBRE CAPITAL ADVISORS, INC.	CITICORP SECURITIES SERVICES, INC.
C&C TRADING L.L.C.	CC CAPITAL ADVISORS, INC.	CITIGROUP DERIVATIVES MARKETS INC.
C. L. KING & ASSOCIATES, INC.	CCB INTERNATIONAL OVERSEAS (USA) INC.	CITIGROUP GLOBAL MARKETS INC.
C6 CAPITAL SECURITIES LLC	CCS TRANSACTIONS, LLC	CITIZENS CAPITAL MARKETS, INC.
CABRERA CAPITAL MARKETS, LLC	CENTAURUS FINANCIAL, INC.	CITIZENS JMP SECURITIES, LLC
CADARET, GRANT & CO., INC.	CENTERVIEW PARTNERS LLC	CITIZENS SECURITIES, INC.
CAIN BROTHERS & COMPANY, LLC	CETERA ADVISOR NETWORKS LLC	CITY NATIONAL SECURITIES, INC.
CAIS CAPITAL LLC	CETERA ADVISORS LLC	CITY SECURITIES CORPORATION
CALAMOS FINANCIAL SERVICES LLC	CETERA FINANCIAL SPECIALISTS LLC	CORPORATION
CALVERT INVESTMENT DISTRIBUTORS, INC.	CETERA INVESTMENT SERVICES LLC	CLARK SECURITIES, INC.
CAMBRIDGE INTERNATIONAL SECURITIES, INC.	CF SECURED, LLC	CLARKSON CAPITAL MARKETS LLC
CAMBRIDGE INVESTMENT RESEARCH, INC.	CGIS SECURITIES LLC	CLARKSONS SECURITIES, INC.
CAMPBELL LUTYENS & CO. INC.	CHAMPLAIN ADVISORS, LLC	CLEAR STREET LLC
CANACCORD GENUITY LLC	CHARDAN CAPITAL MARKETS LLC	CLEARPOOL EXECUTION SERVICES, LLC
CANACCORD GENUITY SECURITIES LLC	CHARLES RIVER BROKERAGE, LLC	CLEARY GULL INC.
CANACCORD WEALTH MANAGEMENT (USA) INC.	CHARLES SCHWAB & CO., INC.	CLEVELAND RESEARCH COMPANY LLC
CANTOR FITZGERALD & CO. CAPITAL BROKERAGE CORPORATION	CHASE INVESTMENT SERVICES CORP.	CLIFTONLARSONALLEN WEALTH ADVISORS, LLC
CAPITAL INSTITUTIONAL SERVICES, INC.	CHICAGO CAPITAL MANAGEMENT, L.P.	CLSA AMERICAS, LLC
CAPITAL ONE INVESTING, LLC	CHIMERA SECURITIES, LLC	CMCJL, LLC
CAPITAL ONE SECURITIES, INC.	CHINA RENAISSANCE SECURITIES (US) INC.	CME BD SERVICES, INC.
CARDINAL CAPITAL MANAGEMENT LLC	CHOPPER SECURITIES, LLC	CMG SECURITIES LLC
CARILLON FUND DISTRIBUTORS, INC.	CIBC WORLD MARKETS CORP.	CMT TRADING LLC
CARNEGIE, INC.	CICC US SECURITIES, INC.	CMZ TRADING, LLC
CARTY & COMPANY, INC.	CIMB SECURITIES (USA), INC.	COASTAL SECURITIES, INC.
	CIT CAPITAL SECURITIES LLC	COBRA TRADING, INC.
	CITADEL CLEARING LLC	CODE ADVISORS LLC
	CITADEL SECURITIES INSTITUTIONAL LLC	COHEN & COMPANY CAPITAL MARKETS, LLC
	CITADEL SECURITIES LLC	COHEN & COMPANY SECURITIES, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

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.
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
CRITICALPOINT PARTNERS
LLC
CROWELL, WEEDON & CO.
CRT CAPITAL GROUP LLC
CSCA CAPITAL ADVISORS, 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.
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.
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
DNB MARKETS, INC.
DOFT & CO., INC.
DOUGH LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DRW EXECUTION SERVICES,
LLC
DRW SECURITIES, L.L.C.
DUFF & PHELPS SECURITIES
LLC
DUNDEE SECURITIES INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

DV EQUITIES, LLC	ESL INVESTMENT SERVICES, LLC	FIRST DERIVATIVE TRADERS, L.P.
DV SECURITIES, LLC	ESTRADA HINOJOSA & COMPANY, INC.	FIRST EMPIRE SECURITIES, INC.
DVB CAPITAL MARKETS LLC	EVERCORE GROUP L.L.C.	FIRST MANHATTAN SECURITIES LLC
DWS DISTRIBUTORS, INC.	EXANE, INC.	FIRST NATIONAL CAPITAL MARKETS, INC.
DZ FINANCIAL MARKETS LLC	EXECUTION ACCESS, LLC	FIRST NEW YORK SECURITIES L.L.C.
E*TRADE CLEARING LLC	EXOTIX USA INC.	FIRST REPUBLIC SECURITIES COMPANY, LLC
E*TRADE SECURITIES LLC	FACTSET DATA SYSTEMS, INC.	FIRST SOUTHWEST COMPANY, LLC
E.J. DE LA ROSA & CO., INC.	FAGENSON & CO., INC.	FIRST TRUST PORTFOLIOS L.P.
EARLYBIRDCAPITAL, INC.	FAIRMOUNT PARTNERS LP	FIRST TRYON SECURITIES, LLC
EASTDIL SECURED ADVISORS LLC	FELTL & COMPANY	FIRST WINSTON SECURITIES, INC.
EATON PARTNERS, LLC	FHN FINANCIAL SECURITIES CORP.	FIRSTRADE SECURITIES INC.
EATON VANCE DISTRIBUTORS, INC.	FIDELITY BROKERAGE SERVICES LLC	FIS BROKERAGE & SECURITIES SERVICES LLC
EBX LLC	FIDELITY DISTRIBUTORS COMPANY LLC	FIXED INCOME CAPITAL PARTNERS, LLC
ECHOTRADE LLC	FIDELITY DISTRIBUTORS CORPORATION	FLORIDA ATLANTIC SECURITIES CORP.
EDGEMONT CAPITAL PARTNERS, L.P.	FIDELITY PRIME FINANCING, LLC	FLOURISH FINANCIAL LLC
EDWARD D. JONES & CO., L.P.	FIFTH THIRD SECURITIES, INC.	FLOW TRADERS U.S.
EFG CAPITAL INTERNATIONAL CORP.	FIG PARTNERS, LLC	INSTITUTIONAL TRADING LLC
EG MARKET TECHNOLOGIES LLC	FINANCIAL NORTHEASTERN SECURITIES, INC.	FLOW TRADERS U.S. LLC
ELEQUIN SECURITIES LLC	FIRST ALLIED SECURITIES, INC.	FM PARTNERS HOLDINGS LLC
ELEVATION, LLC	FIRST ANALYSIS SECURITIES CORPORATION	FMI CAPITAL ADVISORS, INC.
EMBED CLEARING LLC	FIRST BALLANTYNE, LLC	FMSBONDS, INC.
EMMET & CO, INC.	FIRST BANKERS' BANC SECURITIES, INC	FOCALPOINT SECURITIES, LLC
EMPIRICAL RESEARCH PARTNERS LLC	FIRST BROKERS SECURITIES LLC	FOLGER NOLAN FLEMING DOUGLAS INCORPORATED
EMPOWER FINANCIAL SERVICES, INC.	FIRST CITIZENS INVESTOR SERVICES, INC.	FOLIO INVESTMENTS, INC.
EPOCH SECURITIES, INC.	FIRST CITIZENS SECURITIES CORPORATION	FORESTERS FINANCIAL SERVICES, INC.
EQUATEX US INC	FIRST CLEARING, LLC	FORETHOUGHT DISTRIBUTORS, LLC
EQUILEND LLC	FIRST COMMAND BROKERAGE SERVICES, INC.	FORGE MARKETS LLC
EQUITABLE ADVISORS, LLC		FORGE SECURITIES LLC
EQUITABLE DISTRIBUTORS, LLC		
EQUITEC PROPRIETARY MARKETS, LLC		
EQUITEC SPECIALISTS, LLC		
EQUITYZEN SECURITIES LLC		
ERNST & YOUNG CAPITAL ADVISORS, LLC		

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

FOX RIVER EXECUTION
TECHNOLOGY, LLC
FRANKLIN DISTRIBUTORS,
LLC
FRANKLIN/TEMPLETON
DISTRIBUTORS, INC.
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
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 PACIFIC SECURITIES
GREAT POINT CAPITAL 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
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.
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 CORP.
HEFREN-TILLOTSON, INC.
HENNION & WALSH, INC.
HERBERT J. SIMS & CO, INC.
HFF SECURITIES L.P.
HILLTOP SECURITIES INC.
HOLD BROTHERS CAPITAL
LLC
HOME FINANCIAL SERVICES,
INC.
HONEY BADGER
INVESTMENT SECURITIES,
LLC
HORNOR, TOWNSEND &
KENT, INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

HOULIHAN LOKEY ADVISORS,
LLC
HOULIHAN LOKEY CAPITAL,
INC.
HOVDE GROUP, LLC
HOWARD WEIL
INCORPORATED
HOWDEN TIGER CAPITAL
MARKETS & ADVISORY, LLC
HRT EXECUTION SERVICES
LLC
HRT FINANCIAL LP
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUNT FINANCIAL
SECURITIES, LLC
HUNTINGTON SECURITIES,
INC.
IBERIA CAPITAL PARTNERS
L.L.C.
IBKR SECURITIES SERVICES
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-CHICAGO, LLC
IMPERIAL CAPITAL, LLC
INCENTER SECURITIES
GROUP LLC
INDEPENDENT FINANCIAL
GROUP, LLC

INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
INFINEX INVESTMENTS, INC.
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSIGNEO INTERNATIONAL
FINANCIAL SERVICES LLC
INSIGNEO SECURITIES, LLC
INSPEREX LLC
INSTINET, LLC
INSTITUTIONAL CASH
DISTRIBUTORS, LLC
INTELLIGENT CROSS LLC
INTERACTIVE BROKERS
CORP.
INTERACTIVE BROKERS 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 DISTRIBUTORS,
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
J.W. COLE FINANCIAL, INC.
JACKSON NATIONAL LIFE
DISTRIBUTORS LLC
JAG TRADING L.L.C.
JANE STREET CAPITAL, LLC
JANE STREET EXECUTION
SERVICES, LLC
JANE STREET MARKETS, LLC
JANNEY MONTGOMERY
SCOTT LLC
JANUS HENDERSON
DISTRIBUTORS US LLC
JEFFERIES BACHE
SECURITIES, LLC
JEFFERIES EXECUTION
SERVICES, INC.
JEFFERIES HIGH YIELD
TRADING, LLC
JEFFERIES 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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

JONESTRADING
INSTITUTIONAL SERVICES LLC
JPMORGAN DISTRIBUTION
SERVICES, INC.
JUMP EXECUTION, LLC
JUMP TRADING, LLC
JVB FINANCIAL GROUP, LLC
JWTT INC.
KBC SECURITIES USA LLC
KBFG SECURITIES AMERICA
INC.
KEEFE, BRUYETTE & WOODS,
INC.
KEPLER CAPITAL MARKETS,
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 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.
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
LEERINK PARTNERS LLC
LEK SECURITIES
CORPORATION
LEONIS SECURITIES, LLC
LFT 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.
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
LUMENT SECURITIES, LLC
LUPO SECURITIES, LLC
M&I FINANCIAL ADVISORS,
INC.

M1 FINANCE LLC
M3 INVESTMENT GROUP 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 CAPITAL MARKETS
INC.
MARIVA CAPITAL MARKETS,
LLC
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MARSHBERRY CAPITAL, LLC.
MATTHEWS SOUTH, LLC
MAXIM GROUP LLC
MBX CLEARING 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.
MERRILL LYNCH
PROFESSIONAL CLEARING
CORP.
MERRILL LYNCH, PIERCE,
FENNER & SMITH
INCORPORATED

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

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
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.
MONEY CONCEPTS CAPITAL
CORP
MONTEC SECURITIES LLC

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 USA, LLC
NEXBANK SECURITIES INC
NFSTX, LLC
NH INVESTMENT &
SECURITIES AMERICA, INC.
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL
PRODUCTS INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

NOMURA GREENTECH
CAPITAL ADVISORS, LLC
NOMURA SECURITIES
INTERNATIONAL, INC.
NOMURA SECURITIES NORTH
AMERICA, LLC
NORDEA SECURITIES LLC
NORTH BRIDGE CAPITAL, LLC
NORTHERN TRUST
SECURITIES, 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
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
ORIENTAL FINANCIAL
SERVICES LLC
OSAIC WEALTH, INC.

OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE, LLC
PACIFIC CREST SECURITIES
LLC
PALAFOX TRADING LLC
PARADIGM EQUITIES, INC.
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
PFM FUND DISTRIBUTORS,
INC.
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
PMA SECURITIES, LLC
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 CAPITAL MARKETS,
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
PTR, INC.
PUBLIC VENTURES, LLC
PULSE TRADING, INC.
PUNDION LLC
PURESTREAM, LLC
PUTNAM RETAIL
MANAGEMENT LIMITED
PARTNERSHIP

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

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
SIG BROKERAGE, LP
SIGMA FINANCIAL
CORPORATION
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
SMBC NIKKO SECURITIES
AMERICA, INC.
SMBC NIKKO SECURITIES
CANADA, LTD.
SOFI SECURITIES LLC
SOLEBURY CAPITAL LLC
SOLOMON PARTNERS
SECURITIES, LLC
SOUTH STREET SECURITIES
LLC
SOUTHSTATE|DUNCANWILLI
AMS SECURITIES CORP.
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
STONEPEAK SECURITIES LLC
STONEX FINANCIAL INC.
STORMHARBOUR SECURITIES
LP
STOUT CAPITAL, LLC
STUART FRANKEL & CO.,
INCORPORATED
STUDENT OPTIONS, LLC

SUMMIT BROKERAGE
SERVICES, INC.
SUMO CAPITAL, 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
SWBC INVESTMENT
SERVICES, LLC
SWEDBANK SECURITIES US,
LLC
SWENEY CARTWRIGHT &
COMPANY
SWISS RE CAPITAL MARKETS
CORPORATION
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.
TASTYTRADE, INC.
TCBI SECURITIES, INC.
TCG CAPITAL MARKETS L.L.C.
TD AMERITRADE CLEARING,
INC.
TD AMERITRADE, INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

TD PRIME SERVICES LLC
TD PRIVATE CLIENT WEALTH
LLC
TD SECURITIES AUTOMATED
TRADING LLC
TEACHERS PERSONAL
INVESTORS SERVICES, INC.
TELEMETRY SECURITIES,
L.L.C.
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
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
TP ICAP GLOBAL MARKETS
AMERICAS LLC
TPG CAPITAL BD, LLC
TRADE INFORMATICS LLC
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 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 FINANCIAL SERVICES
INC.
UBS FINANCIAL SERVICES
INCORPORATED OF PUERTO
RICO
UBS SECURITIES LLC
UMB FINANCIAL SERVICES,
INC.
UNICREDIT CAPITAL
MARKETS LLC
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 1, 2023

VALLEY FINANCIAL MANAGEMENT, INC.	WEALTHFRONT BROKERAGE LLC	XR SECURITIES LLC
VALLEY FORGE ASSET MANAGEMENT, LLC	WEBULL FINANCIAL LLC	XTELLUS CAPITAL PARTNERS, INC.
VAN ECK SECURITIES CORPORATION	WEDBUSH SECURITIES INC.	XTX EXECUTION SERVICES LLC
VAN LANSCHOT KEMPEN (USA) INC.	WEEDEN & CO.L.P.	XTX MARKETS LLC
VANAHEIM SECURITIES, LLC	WELLINGTON SHIELDS & CO., LLC	ZEBED SECURITIES, LLC
VANGUARD MARKETING CORPORATION	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	ZELMAN PARTNERS, LLC
VAQUERO CAPITAL LLC	WELLS FARGO CLEARING SERVICES, LLC	ZEUS FINANCIAL, LLC
VECTORGLOBAL WMG, INC.	WELLS FARGO	ZIONS DIRECT, INC.
VELOCITY CAPITAL, LLC	WELLS FARGO INSTITUTIONAL SECURITIES, LLC	ZIV INVESTMENT COMPANY
VELOCITY CLEARING, LLC	WELLS FARGO SECURITIES, LLC	
VIEWTRADE SECURITIES, INC.	WESTMINSTER RESEARCH ASSOCIATES LLC	
VIRTU FINANCIAL BD LLC	WESTPAC CAPITAL MARKETS LLC	
VIRTU FINANCIAL CAPITAL MARKETS LLC	WILLIAM BLAIR & COMPANY L.L.C.	
VIRTU ITG LLC	WILLIAMS TRADING LLC	
VIRTUS CAPITAL MARKETS LLC	WILMINGTON BROKERAGE SERVICES COMPANY	
VISION FINANCIAL MARKETS LLC	WILSON-DAVIS & CO., INC.	
VISTA POINT ADVISORS, LLC	WINTRUST INVESTMENTS LLC	
VOLANT LIQUIDITY, LLC	WOLVERINE EXECUTION SERVICES, LLC	
VOYA FINANCIAL ADVISORS, INC.	WOLVERINE SECURITIES, LLC	
VOYA FINANCIAL PARTNERS, LLC	WOLVERINE TRADING, LLC	
VOYA INVESTMENTS DISTRIBUTOR, LLC	WOODBURY FINANCIAL SERVICES, INC.	
VOYA RETIREMENT ADVISORS, LLC	WOODROCK SECURITIES, L.P.	
VP DISTRIBUTORS LLC	WORLD GROUP SECURITIES, INC.	
VRA PARTNERS, LLC	WR SECURITIES, LLC	
WACHTEL & CO., INC.	WSA FIXED INCOME, LLC	
WADDELL & REED, INC.	X-CHANGE FINANCIAL ACCESS, LLC	
WAKE USA LLC	XAMBALA CAPITAL, LLC	
WALL STREET ACCESS	XMS CAPITAL PARTNERS, LLC	
WALLACHBETH CAPITAL LLC	XP INVESTMENTS US, LLC	
WALLEYE TRADING LLC		
WALNUT STREET SECURITIES, INC.		