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**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 February 15, 2024**

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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 February 15, 2024.<sup>1/</sup>

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](mailto: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](mailto: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>).

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<sup>1/</sup> 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 February 15, 2024

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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of February 15, 2024

AUTONOMOUS RESEARCH  
LLP  
AVANTAX INVESTMENT  
SERVICES, INC.  
AVATAR CAPITAL GROUP LLC  
AVATAR SECURITIES, LLC  
AVM, L.P.  
AXIO FINANCIAL LLC  
AXOS CLEARING LLC  
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 & 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 CAPITAL  
MARKETS, LLC  
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

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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  
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  
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 LLC

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  
CARNEGIE, INC.  
CARTA CAPITAL MARKETS,  
LLC  
CARTY & COMPANY, INC.  
CASCADIA CAPITAL, LLC  
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  
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 JMP SECURITIES,  
LLC  
CITIZENS SECURITIES, INC.  
CITY NATIONAL SECURITIES,  
INC.  
CITY SECURITIES  
CORPORATION  
CLARK SECURITIES, INC.  
CLARKSON CAPITAL  
MARKETS LLC  
CLARKSONS SECURITIES, INC.  
CLEAR STREET LLC

Public Company Accounting Oversight Board  
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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  
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.  
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  
CURTIWOOD 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.  
DELANEY EQUITY GROUP LLC  
DELAWARE DISTRIBUTORS, L.P.  
DELOITTE CORPORATE FINANCE LLC  
DESJARDINS SECURITIES INTERNATIONAL INC.

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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  
DRIVEWEALTH  
INSTITUTIONAL LLC  
DRW EXECUTION SERVICES,  
LLC  
DRW SECURITIES, L.L.C.  
DUNDEE SECURITIES INC.  
DV EQUITIES, LLC  
DV SECURITIES, LLC  
DVB CAPITAL MARKETS LLC  
DWS DISTRIBUTORS, INC.  
DZ FINANCIAL MARKETS LLC  
E\*TRADE CLEARING LLC  
E\*TRADE SECURITIES LLC  
E.J. DE LA ROSA & CO., INC.  
EARLYBIRDCAPITAL, INC.  
EASTDIL SECURED ADVISORS  
LLC  
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.  
ELEQUIN SECURITIES LLC  
ELEVATION, LLC  
EMBED CLEARING LLC  
EMMET & CO, INC.  
EMPIRICAL RESEARCH  
PARTNERS LLC  
EMPOWER FINANCIAL  
SERVICES, 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  
SECURITIES LLC  
FIRST NATIONAL CAPITAL  
MARKETS, INC.  
FIRST NEW YORK SECURITIES  
L.L.C.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
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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  
FLAGSTAR ADVISORS INC  
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.  
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  
GALAXY DIGITAL PARTNERS  
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 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  
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

Public Company Accounting Oversight Board  
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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.  
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.  
HUB INTERNATIONAL  
INVESTMENT SERVICES INC.  
HUNT FINANCIAL  
SECURITIES, LLC  
HUNTINGTON SECURITIES,  
INC.  
IBERIA CAPITAL PARTNERS  
L.L.C.  
IBKR SECURITIES SERVICES  
LLC  
IBS HOLDING CORPORATION  
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  
INCENTRUM SECURITIES, 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.



Public Company Accounting Oversight Board  
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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

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  
KROLL SECURITIES 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  
LATOIR 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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of February 15, 2024

M&I FINANCIAL ADVISORS,  
INC.  
M&T SECURITIES, 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.  
MATRIX EXECUTIONS, LLC  
MATTHEWS SOUTH, LLC  
MAVEN GLOBAL MARKETS  
TRADING LLP  
MAXIM GROUP LLC  
MBS CAPITAL MARKETS, 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  
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

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Brokers and Dealers With No Outstanding  
Past-Due Share as of February 15, 2024

N.I.S. FINANCIAL SERVICES,  
INC.  
NABSECURITIES, LLC  
NASDAQ EXECUTION  
SERVICES, LLC  
NASDAQ OPTIONS SERVICES,  
LLC  
NATALIANCE 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  
NEWPORT GROUP  
SECURITIES, INC.

NEXBANK SECURITIES INC  
NFSTX, LLC  
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  
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

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Brokers and Dealers With No Outstanding  
Past-Due Share as of February 15, 2024

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  
Q ADVISORS LLC  
QATALYST PARTNERS LP  
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  
RAINE SECURITIES LLC  
RAINIER SECURITIES, LLC  
RAMAT SECURITIES LTD.  
RAYMOND JAMES &  
ASSOCIATES, INC.  
RAYMOND JAMES (USA) LTD.  
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  
REDI GLOBAL TECHNOLOGIES  
LLC

REGAL SECURITIES, INC.  
REGIONS SECURITIES LLC  
RELATED FINANCIAL  
SERVICES, LLC  
RENCAP SECURITIES, INC.  
REPUBLIC PARTNERS, LLC  
RESOLUTE INVESTMENT  
DISTRIBUTORS, INC.  
REUTERS TRANSACTION  
SERVICES LLC  
RGM SECURITIES, LLC  
RIVERSOURCE  
DISTRIBUTORS, INC.  
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.

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SAFRA SECURITIES LLC  
SAGEPOINT FINANCIAL, INC.  
SAL EQUITY TRADING, GP  
SAMCO CAPITAL MARKETS,  
INC.  
SAMI BROKERAGE LLC  
SAMMONS FINANCIAL  
NETWORK, 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  
SANTANDER US CAPITAL  
MARKETS LLC  
SAYBRUS EQUITY SERVICES,  
INC  
SBERBANK CIB USA, INC  
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.  
SECURIAN FINANCIAL  
SERVICES, 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  
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

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STOCKCROSS FINANCIAL SERVICES, INC.  
STOEVER, GLASS & COMPANY INC.  
STONE & YOUNGBERG LLC  
STONEPEAK SECURITIES LLC  
STONEX FINANCIAL INC.  
STORMHARBOUR SECURITIES LP  
STOUT CAPITAL, LLC  
STRATEGAS SECURITIES, LLC  
STUART FRANKEL & CO., INCORPORATED  
STUDENT OPTIONS, LLC  
SUMMIT BROKERAGE SERVICES, INC.  
SUMO CAPITAL, 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  
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.  
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  
TP ICAP GLOBAL MARKETS AMERICAS LLC  
TPG CAPITAL BD, LLC  
TRADE INFORMATICS LLC  
TRADE-PMR INC.  
TRADEBOT SYSTEMS, INC.  
TRADELINK L.L.C.  
TRADELINK SECURITIES, LLC

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
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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 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  
 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  
 VAN LANSCHOT KEMPEN  
 (USA) INC.  
 VANAHEIM SECURITIES, LLC  
 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  
 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

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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  
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