



1666 K Street NW  
Washington, DC 20006  
Office: (202) 207-9100  
[www.pcaobus.org](http://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 April 15, 2024**

---

---

The following is a list of brokers and dealers that have been assessed and have no outstanding past-due share of the broker-dealer accounting support fee of the Public Company Accounting Oversight Board ("PCAOB"), as of April 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>).

---

<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 April 15, 2024

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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 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

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

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  
CLEAR STREET MARKETS LLC

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

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.  
DEALERWEB INC.  
DELANEY EQUITY GROUP LLC  
DELAWARE DISTRIBUTORS, L.P.  
DELOITTE CORPORATE FINANCE LLC  
DESJARDINS SECURITIES INTERNATIONAL INC.

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

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  
DRIVEWEALTH, 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  
Past-Due Share as of April 15, 2024

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

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

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  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 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.  
MIDDLGATE 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

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

N.I.S. FINANCIAL SERVICES, INC.	NEXBANK SECURITIES INC	OPPENHEIMERFUNDS
NABSECURITIES, LLC	NFSTX, LLC	DISTRIBUTOR, INC.
NASDAQ EXECUTION SERVICES, LLC	NH INVESTMENT & SECURITIES AMERICA, INC.	OPTIONSHOUSE, LLC
NASDAQ OPTIONS SERVICES, LLC	NOLITA CAPITAL, LLC	OPTIONSXPRESS, INC.
NATALLIANCE SECURITIES, LLC	NOMURA GLOBAL FINANCIAL PRODUCTS INC.	OPTIVER US LLC
NATHAN HALE CAPITAL, LLC	NOMURA GREENTECH CAPITAL ADVISORS, LLC	ORIENTAL FINANCIAL SERVICES LLC
NATIONAL BANK OF CANADA FINANCIAL INC.	NOMURA SECURITIES INTERNATIONAL, INC.	OSAIC WEALTH, INC.
NATIONAL FINANCIAL SERVICES LLC	NOMURA SECURITIES NORTH AMERICA, LLC	OSCAR GRUSS & SON INCORPORATED
NATIONAL PLANNING CORPORATION	NORDEA SECURITIES LLC	OTA LLC
NATIONAL SECURITIES CORPORATION	NORTH BRIDGE CAPITAL, LLC	OTC LINK LLC
NATIONWIDE FUND DISTRIBUTORS LLC	NORTHERN TRUST SECURITIES, INC.	P.J. ROBB VARIABLE, LLC
NATIONWIDE SECURITIES, LLC	NORTHLAND SECURITIES, INC.	PACIFIC CREST SECURITIES LLC
NATIXIS DERIVATIVES INC.	NORTHSTAR SECURITIES, LLC	PACIFIC SELECT DISTRIBUTORS, LLC
NATIXIS DISTRIBUTION, LLC	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	PALAFX TRADING LLC
NATIXIS SECURITIES AMERICAS LLC	NUMIS SECURITIES INC.	PARADIGM EQUITIES, INC.
NATWEST MARKETS SECURITIES INC.	NUVEEN SECURITIES, LLC	PARETO SECURITIES INC.
NAVY FEDERAL INVESTMENT SERVICES, LLC	NYLIFE SECURITIES LLC	PARIS SECURITIES CORPORATION
NBC SECURITIES, INC.	O'NEIL SECURITIES INCORPORATED	PARK AVENUE SECURITIES LLC
NBF SECURITIES (USA) CORP.	OASIS PRO MARKETS LLC	PARK HILL REAL ESTATE GROUP LLC
NEEDHAM & COMPANY, LLC	OBD SECURITIES LLC	PARK SUTTON SECURITIES, LLC
NELNET CAPITAL LLC	OCTEG, LLC	PARKLAND SECURITIES, LLC
NETWORK 1 FINANCIAL SECURITIES INC.	ODDO BHF NEW YORK CORPORATION	PAULSON INVESTMENT COMPANY LLC
NEUBERGER BERMAN BD LLC	ODEON CAPITAL GROUP LLC	PAYCHEX SECURITIES CORPORATION
NEUBERGER BERMAN MANAGEMENT LLC	OHIO NATIONAL EQUITIES, INC.	PEAK6 CAPITAL MANAGEMENT LLC
NEW ENGLAND SECURITIES CORPORATION	OLD MISSION CAPITAL, LLC	PEAK6 PERFORMANCE MANAGEMENT LLC
NEWEDGE USA, LLC	OLD MISSION MARKETS LLC	PEAK6 VEGA MASTER FUND LLC
NEWPORT GROUP SECURITIES, INC.	ONEAMERICA SECURITIES, INC.	PENSON FINANCIAL SERVICES, INC.
	ONPEAK CAPITAL LLC	PEOPLE'S SECURITIES, INC.
	OPEN TO THE PUBLIC INVESTING, INC.	PERELLA WEINBERG PARTNERS LP
	OPENDOOR SECURITIES LLC	
	OPPENHEIMER & CO. INC.	

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

PERFORMANCE TRUST  
CAPITAL PARTNERS, LLC  
PERSHING ADVISOR  
SOLUTIONS LLC  
PERSHING 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  
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.  
RQD\* CLEARING, LLC  
RUANE, CUNNIFF &  
GOLDFARB LLC  
RUSSELL INVESTMENTS  
FINANCIAL SERVICES, LLC

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

RUSSELL INVESTMENTS  
IMPLEMENTATION SERVICES,  
LLC  
SABADELL SECURITIES USA,  
INC.  
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.

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

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  
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

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

TPG CAPITAL BD, LLC  
TRADE INFORMATICS LLC  
TRADE-PMR INC.  
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  
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

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

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  
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