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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 October 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 October 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 October 15, 2024

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280 SECURITIES LLC	ATHENE SECURITIES, LLC	BLACKROCK CAPITAL	
303 EQUITY TRADING GROUP	ATLANTIC - PACIFIC CAPITAL,	MARKETS, LLC	
II, LLC	INC.	BLACKROCK FUND	
A. R. SCHMEIDLER & CO.,	ATLAS ONE FINANCIAL	DISTRIBUTION COMPANY	
INC.	GROUP, LLC	BLUE CAPITAL GROUP LLC	
A.B. FINANCIAL L.L.C.	ATLAS TECHNOLOGY GROUP	BLUE FIRE CAPITAL, LLC	
AARDVARK SECURITIES LLC	LLC	BMO CAPITAL MARKETS	
ABBEY NATIONAL SECURITIES	AUERBACH GRAYSON &	CORP.	
INC.	COMPANY LLC	BMO CAPITAL MARKETS	
ABEL NOSER, LLC.	AURIGA USA, LLC	GKST INC.	
ABEL/NOSER CORP.	AUTOMATED TRADING DESK	BMO HARRIS FINANCIAL	
ABG SUNDAL COLLIER INC.	BROKERAGE SERVICES, LLC	ADVISORS, INC.	
ACCESS SECURITIES, LLC	AUTONOMOUS RESEARCH	BMO INVESTMENT	
AEGIS CAPITAL CORP.	LLP	DISTRIBUTORS, LLC	
AIG FINANCIAL SECURITIES	AVATAR CAPITAL GROUP LLC	BMO NESBITT BURNS	
CORP.	B. C. ZIEGLER AND COMPANY	TRADING CORP. S.A.	
AK CAPITAL LLC	BAADER HELVEA INC.	BNP PARIBAS PRIME	
ALADDIN CAPITAL LLC	BALANCE SHEET SOLUTIONS	BROKERAGE, INC.	
ALANTRA, LLC	LLC	BOENNING &	
ALLEN & COMPANY LLC	BANC OF AMERICA	SCATTERGOOD, INC.	
ALLSTON TRADING LLC	SPECIALIST, INC.	BOFA DISTRIBUTORS, INC.	
ALLY SECURITIES LLC	BANCO VOTORANTIM	BONDS.COM, INC.	
ALVAREZ & MARSAL	SECURITIES, INC.	BOUSTEAD SECURITIES, LLC	
SECURITIES, LLC	BANCWEST INVESTMENT	BRANDT EQUITIES LLC	
AMHERST SECURITIES	SERVICES, INC.	BRASIL PLURAL SECURITIES	
GROUP, L.P.	BB&T INVESTMENT	LLC	
AMS DERIVATIVES B.V.	SERVICES, INC.	BRAVER STERN SECURITIES	
ANGEL ISLAND CAPITAL	BB&T SECURITIES, LLC	LLC	
SERVICES, LLC	BBVA COMPASS	BRICKELL GLOBAL MARKETS,	
APERTURE, LLC	INVESTMENT SOLUTIONS,	INC.	
AQR INVESTMENTS, LLC	INC.	BROOKFIELD OAKTREE	
AQUILO PARTNERS, L.P.	BBVA SECURITIES OF PUERTO	WEALTH SOLUTIONS LLC	
ARCA CAPITAL	RICO, INC.	BROOKFIELD PRIVATE	
INVESTMENTS, INC.	BCS AMERICAS, INC.	ADVISORS LLC	
ARCHIPELAGO TRADING	BEDROK SECURITIES LLC	BUILDER ADVISOR GROUP,	
SERVICES, INC.	BENGAL CAPITAL TRADING	LLC	
ARTIST CAPITAL LLC	LLC	BURKE & QUICK PARTNERS	
ARXIS SECURITIES LLC	BENGAL CAPITAL, LLC	LLC	
ASHMORE INVESTMENT	BERENSON & COMPANY, LLC	BYRD TRADING, LLC	
MANAGEMENT (US)	BERNARD HEROLD & CO.,	C&C TRADING L.L.C.	
CORPORATION	INC.	C6 CAPITAL SECURITIES LLC	
ASPEN TRADING, L.L.C	BEXIL SECURITIES LLC	CAIN BROTHERS &	
ASSOCIATED OPTIONS, INC.	BIDS TRADING L.P.	COMPANY, LLC	

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

CALVERT INVESTMENT DISTRIBUTORS, INC.	CMG SECURITIES LLC	CSCA CAPITAL ADVISORS, LLC
CAMBRIDGE INTERNATIONAL SECURITIES, INC.	CMT TRADING LLC	CSS, LLC
CAMPBELL LUTYENS & CO. INC.	CMZ TRADING, LLC	CT COLLATERAL FUNDING, LLC
CANACCORD GENUITY SECURITIES LLC	COASTAL SECURITIES, INC.	CURIAN CLEARING, LLC
CANACCORD WEALTH MANAGEMENT (USA) INC.	CODE ADVISORS LLC	CURTISWOOD CAPITAL, LLC
CAPITAL ONE INVESTING, LLC	COHEN & COMPANY CAPITAL MARKETS, LLC	CUTLER GROUP, LLC
CARNEGIE, INC.	COHEN & COMPANY SECURITIES, LLC	CUTWATER ASSET MANAGEMENT CORP.
CASGRAIN & COMPANY (USA) LIMITED	COHEN & STEERS SECURITIES, LLC	CYNDX ADVISORS LLC
CCB INTERNATIONAL OVERSEAS (USA) INC.	COHNREZNICK CAPITAL MARKETS SECURITIES, LLC	D.M. KELLY & COMPANY
CCS TRANSACTIONS, LLC	COLLINS/BAY ISLAND SECURITIES, LLC	DAHLMAN ROSE & COMPANY, LLC
CGIS SECURITIES LLC	COMPASS POINT RESEARCH & TRADING, LLC	DANSKE MARKETS INC.
CHASE INVESTMENT SERVICES CORP.	CONTINUITY PARTNERS GROUP, LLC	DAVID LERNER ASSOCIATES, INC.
CHICAGO CAPITAL MANAGEMENT, L.P.	CORNERSTONE MACRO LLC	DAVIS DISTRIBUTORS, LLC
CHINA RENAISSANCE SECURITIES (US) INC.	CORNERSTONE TRADING, LLC	DAWSON JAMES SECURITIES, INC.
CHOPPER SECURITIES, LLC	CORTVIEW CAPITAL SECURITIES LLC	DB SECURITIES SERVICES NJ INC.
CIMB SECURITIES (USA), INC.	COWEN EQUITY FINANCE LP	DBO PARTNERS LLC
CITI ORDER ROUTING AND EXECUTION, LLC	COWEN EXECUTION SERVICES LLC	DELANEY EQUITY GROUP LLC
CITIGROUP DERIVATIVES MARKETS INC.	COWEN PRIME SERVICES LLC	DEVELOPMENT CORPORATION FOR ISRAEL
CITIZENS CAPITAL MARKETS, INC.	CP COGENT SECURITIES LP	DIFFUSION MARKETS, L.L.C.
CITY SECURITIES CORPORATION	CREDICORP CAPITAL LLC	DIMENSION TRADING GROUP, LLC
CLARK SECURITIES, INC.	CREDIT AGRICOLE	DINOSAUR FINANCIAL GROUP, L.L.C.
CLARKSON CAPITAL MARKETS LLC	CHEUVREUX NORTH AMERICA, INC.	DIRECT EDGE ECN LLC
CLEARY GULL INC.	CREDIT SUISSE CAPITAL LLC	DIRECTED SERVICES LLC
CLEVELAND RESEARCH COMPANY LLC	CREDIT SUISSE PRIME SECURITIES SERVICES (USA) LLC	DOUGH LLC
CLIFTONLARSONALLEN WEALTH ADVISORS, LLC	CREDIT SUISSE PRIVATE ADVISORS AG	DRIEHAUS SECURITIES LLC
CMCJL, LLC	CREWS & ASSOCIATES, INC.	DUNDEE SECURITIES INC.
CME BD SERVICES, INC.	CRITICAL TRADING, LLC	DV EQUITIES, LLC
	CRITICALPOINT PARTNERS LLC	DV SECURITIES, LLC
	CROWELL, WEEDON & CO.	DVB CAPITAL MARKETS LLC
	CRT CAPITAL GROUP LLC	E*TRADE CLEARING LLC
		E*TRADE SECURITIES LLC
		E.J. DE LA ROSA & CO., INC.
		EATON PARTNERS, LLC
		EBX LLC
		ECHOTRADE LLC

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

EDGEMONT CAPITAL PARTNERS, L.P.  
EG MARKET TECHNOLOGIES LLC  
ELECTRONIC TRANSACTION CLEARING, INC.  
ELEVATION, LLC  
EMBED CLEARING LLC  
EMMET & CO, INC.  
EPOCH SECURITIES, INC.  
EQUATEX US INC  
EQUITEC PROPRIETARY MARKETS, LLC  
EQUITEC SPECIALISTS, LLC  
EQUITYZEN SECURITIES LLC  
ESL INVESTMENT SERVICES, LLC  
EXANE, INC.  
EXECUTION ACCESS, LLC  
EXOTIX USA INC.  
FACTSET DATA SYSTEMS, INC.  
FAGENSON & CO., INC.  
FELTL & COMPANY  
FIDELITY DISTRIBUTORS CORPORATION  
FIG PARTNERS, LLC  
FIRST ALLIED SECURITIES, INC.  
FIRST ANALYSIS SECURITIES CORPORATION  
FIRST BALLANTYNE, LLC  
FIRST CITIZENS SECURITIES CORPORATION  
FIRST CLEARING, LLC  
FIRST COMMAND BROKERAGE SERVICES, INC.  
FIRST DERIVATIVE TRADERS, L.P.  
FIRST EMPIRE SECURITIES, INC.  
FIRST MANHATTAN SECURITIES LLC

FIRST NATIONAL CAPITAL MARKETS, INC.  
FIRST NEW YORK SECURITIES L.L.C.  
FIRST REPUBLIC SECURITIES COMPANY, LLC  
FIRST SOUTHWEST COMPANY, LLC  
FIRST TRYON SECURITIES, LLC  
FIRST WINSTON SECURITIES, INC.  
FIXED INCOME CAPITAL PARTNERS, LLC  
FLORIDA ATLANTIC SECURITIES CORP.  
FM PARTNERS HOLDINGS LLC  
FOCALPOINT SECURITIES, LLC  
FORESTERS FINANCIAL SERVICES, INC.  
FORETHOUGHT DISTRIBUTORS, LLC  
FORGE MARKETS LLC  
FOX RIVER EXECUTION TECHNOLOGY, LLC  
FRANKLIN/TEMPLETON DISTRIBUTORS, INC.  
FREEDOM INVESTMENTS, INC.  
FSC SECURITIES CORPORATION  
FSP INVESTMENTS LLC  
FT GLOBAL CAPITAL, INC.  
FTI CAPITAL ADVISORS, LLC  
G-2 TRADING, LLC  
G-BAR LIMITED PARTNERSHIP  
G-TRADE SERVICES LLC  
G2 TRADING LLC  
GAGNON SECURITIES, LLC  
GARGOYLE STRATEGIC INVESTMENTS L.L.C.  
GDK, INC.  
GE CAPITAL MARKETS, INC.  
GENESIS CAPITAL, LLC

GEORGE K. BAUM & COMPANY  
GETCO EXECUTION SERVICES LLC  
GETCO SECURITIES, LLC  
GLEACHER & COMPANY SECURITIES, INC.  
GLICKENHAUS & CO.  
GLOBAL ALTERNATIVE INVESTMENT SERVICES, INC.  
GLOBAL HUNTER SECURITIES, LLC  
GMP SECURITIES, LLC  
GOLDMAN SACHS EXECUTION & CLEARING, L.P.  
GOLDMAN SACHS FINANCIAL MARKETS, L.P.  
GORDON DYAL & CO., LLC  
GP BULLHOUND INC.  
GRAY WHALE CAPITAL, LLC  
GREEN STREET ADVISORS, LLC  
GREENSLEDGE CAPITAL MARKETS LLC  
GRIFFIN FINANCIAL GROUP, LLC  
GRIFFITHS MCBURNEY CORP.  
GROVE POINT INVESTMENTS, LLC  
GUARDIAN INVESTOR SERVICES LLC  
GUGGENHEIM DISTRIBUTORS, LLC  
GUZMAN & COMPANY  
GX2 SPREAD MARKETS, LLC  
H2C SECURITIES INC.  
HAITONG SECURITIES USA LLC  
HALES SECURITIES, LLC  
HAPOALIM SECURITIES USA, INC.  
HARD EIGHT TRADING, LLC  
HARDCASTLE TRADING USA L.L.C.

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

HBK GLOBAL SECURITIES L.P.  
HEFREN-TILLOTSON, INC.  
HFF SECURITIES L.P.  
HOLD BROTHERS CAPITAL  
LLC  
HOULIHAN LOKEY ADVISORS,  
LLC  
HOWARD WEIL  
INCORPORATED  
HOWDEN TIGER CAPITAL  
MARKETS & ADVISORY, LLC  
HUATAI SECURITIES (USA),  
INC.  
HUNT FINANCIAL  
SECURITIES, LLC  
IBERIA CAPITAL PARTNERS  
L.L.C.  
ICM SECURITIES, LLC  
ICR CAPITAL LLC  
IEX SERVICES LLC  
IFC HOLDINGS, INC.  
IMA WEALTH, INC.  
IMC EXECUTION SERVICES  
LLC  
INCENTER SECURITIES  
GROUP LLC  
INCENTRUM SECURITIES, LLC  
INDEPENDENCE POINT  
SECURITIES LLC  
INSIGNEO SECURITIES, LLC  
INSTITUTIONAL CASH  
DISTRIBUTORS, LLC  
INTELLIGENT CROSS LLC  
INTERCOASTAL CAPITAL  
MARKETS, INC.  
INTERNATIONAL STRATEGY &  
INVESTMENT GROUP LLC  
INTL FILLMORE ADVISORS  
LLC  
INVEMED ASSOCIATES LLC  
INVESCO CAPITAL MARKETS,  
INC.  
INVESCO DISTRIBUTORS, INC.  
INVESTACORP, INC.

INVESTMENT CENTERS OF  
AMERICA, INC.  
INVESTMENT PLACEMENT  
GROUP  
IVY DISTRIBUTORS, INC.  
J.J.B. HILLIARD, W.L. LYONS,  
LLC  
J.P. MORGAN CLEARING  
CORP.  
J.P. MORGAN INSTITUTIONAL  
INVESTMENTS INC.  
JANE STREET MARKETS, LLC  
JEFFERIES BACHE  
SECURITIES, LLC  
JEFFERIES EXECUTION  
SERVICES, INC.  
JEFFERIES HIGH YIELD  
TRADING, LLC  
JOHNSON RICE & COMPANY  
L.L.C.  
JPMORGAN DISTRIBUTION  
SERVICES, INC.  
JVB FINANCIAL GROUP, LLC  
KBC SECURITIES USA LLC  
KGS-ALPHA CAPITAL  
MARKETS, L.P.  
KMS FINANCIAL SERVICES,  
INC.  
KNIGHT CAPITAL AMERICAS,  
L.P.  
KOYOTE TRADING LLC  
KROLL SECURITIES LLC  
L.J. HART AND COMPANY  
LADDER CAPITAL SECURITIES  
LLC  
LAKE STREET CAPITAL  
MARKETS, LLC  
LASALLE INVESTMENT  
MANAGEMENT  
DISTRIBUTORS, LLC  
LAVAFLOW, INC.  
LAZARD MIDDLE MARKET LLC  
LEK SECURITIES  
CORPORATION

LEONIS SECURITIES, LLC  
LFT SECURITIES, LLC  
LIGHTSPEED FINANCIAL  
SERVICES GROUP LLC  
LINCOLN FINANCIAL  
DISTRIBUTORS, INC.  
LIQUIDITYEDGE, LLC.  
LIQUIDPOINT, LLC  
LOEB PARTNERS  
CORPORATION  
LOMBARD ODIER  
TRANSATLANTIC LIMITED  
LUMA SECURITIES LLC  
LUPO SECURITIES, LLC  
M&I FINANCIAL ADVISORS,  
INC.  
MACQUARIE CAPITAL  
MARKETS NORTH AMERICA  
LTD.  
MACRO RISK ADVISORS LLC  
MAPLE SECURITIES U.S.A.  
INC.  
MARIVA CAPITAL MARKETS,  
LLC  
MARKS BAUGHAN  
SECURITIES LLC  
MARSHBERRY CAPITAL, LLC.  
MATTHEWS SOUTH, LLC  
MBS CAPITAL MARKETS, LLC  
MCADAMS WRIGHT RAGEN,  
INC.  
MERCER ALLIED COMPANY,  
L.P.  
MERCHANT CAPITAL, L.L.C.  
MERRILL LYNCH FINANCIAL  
MARKETS, INC.  
MERRILL LYNCH  
PROFESSIONAL CLEARING  
CORP.  
MERUS CAPITAL PARTNERS,  
LLC  
MICROVENTURE  
MARKETPLACE INC.  
MILLCO ADVISORS, LP

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

MILLER BUCKFIRE & CO., LLC  
MILLER TABAK + CO., LLC  
MINT BROKERS  
MIRAE ASSET WEALTH  
MANAGEMENT (USA) INC.  
MITCHELL ENERGY  
ADVISORS, LLC  
MIURA CAPITAL, LLC  
MKM PARTNERS LLC  
MND PARTNERS, INC.  
MOCHO TRADING LLC  
MOG CAPITAL L.L.C.  
MOORELAND PARTNERS LLC  
MOORS & CABOT, INC.  
MORGAN JOSEPH  
TRIARTISAN LLC  
MORGAN KEEGAN &  
COMPANY, LLC  
MOTIF INVESTING, INC.  
MOUNTAINVIEW  
SECURITIES, LLC  
MPS GLOBAL SECURITIES, LLC  
MS SECURITIES SERVICES  
INC.  
MSI FINANCIAL SERVICES,  
INC.  
MUFG AMERICAS  
CORPORATE ADVISORY, INC.  
MUTUAL OF AMERICA LIFE  
INSURANCE COMPANY  
N.A. INVESTCORP LLC  
NASDAQ OPTIONS SERVICES,  
LLC  
NATHAN HALE CAPITAL, LLC  
NATIONAL BANK OF CANADA  
FINANCIAL INC.  
NATIONAL PLANNING  
CORPORATION  
NATIONAL SECURITIES  
CORPORATION  
NATIXIS DERIVATIVES INC.  
NAVY FEDERAL INVESTMENT  
SERVICES, LLC  
NBF SECURITIES (USA) CORP.

NELNET CAPITAL LLC  
NETWORK 1 FINANCIAL  
SECURITIES INC.  
NEUBERGER BERMAN  
MANAGEMENT LLC  
NEW ENGLAND SECURITIES  
CORPORATION  
NEWEDGE USA, LLC  
NEWPORT GROUP  
SECURITIES, INC.  
NEXBANK SECURITIES INC  
NH INVESTMENT &  
SECURITIES AMERICA, INC.  
NOLITA CAPITAL, LLC  
NOMURA GLOBAL FINANCIAL  
PRODUCTS INC.  
NOMURA GREENTECH  
CAPITAL ADVISORS, LLC  
NOMURA SECURITIES NORTH  
AMERICA, LLC  
NORTH BRIDGE CAPITAL, LLC  
NORTHSTAR SECURITIES, LLC  
NUMIS SECURITIES INC.  
NYLIFE SECURITIES LLC  
OASIS PRO MARKETS LLC  
OBD SECURITIES LLC  
OCTEG, LLC  
OHIO NATIONAL EQUITIES,  
INC.  
ONPEAK CAPITAL LLC  
OPENDOOR SECURITIES LLC  
OPPENHEIMER & CO. INC.  
OPPENHEIMERFUNDS  
DISTRIBUTOR, INC.  
OPTIONSHOUSE, LLC  
OPTIONSPRESS, INC.  
ORIENTAL FINANCIAL  
SERVICES LLC  
OSCAR GRUSS & SON  
INCORPORATED  
OTA LLC  
OTC LINK LLC  
PACIFIC CENTURY  
SECURITIES, LLC

PACIFIC CREST SECURITIES  
LLC  
PARIS SECURITIES  
CORPORATION  
PARK HILL REAL ESTATE  
GROUP LLC  
PARK SUTTON SECURITIES,  
LLC  
PAULSON INVESTMENT  
COMPANY LLC  
PEAK6 PERFORMANCE  
MANAGEMENT LLC  
PEAK6 VEGA MASTER FUND  
LLC  
PENSON FINANCIAL  
SERVICES, INC.  
PEOPLE'S SECURITIES, INC.  
PHOENIX DERIVATIVES  
GROUP, LLC  
PHX FINANCIAL, INC.  
PIPELINE TRADING SYSTEMS  
LLC  
POPULAR SECURITIES, LLC  
PORTIGON SECURITIES INC.  
POTAMUS TRADING, LLC  
PRAGMA LLC  
PRECISION SECURITIES, LLC  
PREFERRED CAPITAL  
SECURITIES, LLC  
PRIME CAPITAL MARKETS,  
LLC  
PROBITAS FUNDS GROUP,  
LLC  
PTR, INC.  
PULSE TRADING, INC.  
PURESTREAM, LLC  
PUTNAM RETAIL  
MANAGEMENT LIMITED  
PARTNERSHIP  
Q ADVISORS LLC  
QUAD CAPITAL, LLC  
QUAD SECURITIES LLC  
QUANTITATIVE BROKERS, LLC  
QUANTLAB SECURITIES LP

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

QUASAR DISTRIBUTORS, LLC  
QUESTAR CAPITAL  
CORPORATION  
QUIET LIGHT SECURITIES, LLC  
R. SEELAUS & CO., LLC  
R.W.PRESSPRICH & CO.  
RAFFERTY CAPITAL  
MARKETS, LLC  
RAINIER SECURITIES, LLC  
RAMAT SECURITIES LTD.  
RAYMOND JAMES  
INSURANCE GROUP, INC.  
RCI LIMITED PARTNERSHIP  
REALCADRE LLC  
RED CEDAR TRADING, LLC  
REDBIRD BD, LLC  
REDBURN (USA) LLC  
REGAL SECURITIES, INC.  
RELATED FINANCIAL  
SERVICES, LLC  
RENCAP SECURITIES, INC.  
RESOLUTE INVESTMENT  
DISTRIBUTORS, INC.  
REUTERS TRANSACTION  
SERVICES LLC  
RGM SECURITIES, LLC  
RIVERSTONE CAPITAL  
SERVICES LLC  
RODMAN & RENSHAW, LLC  
RONIN CAPITAL, LLC  
ROSENBLATT SECURITIES  
INC.  
ROSENTHAL GLOBAL  
SECURITIES LLC  
ROSS, SINCLAIRE &  
ASSOCIATES, LLC  
ROTH CAPITAL PARTNERS,  
LLC  
ROYCE FUND SERVICES, LLC  
RUANE, CUNNIFF &  
GOLDFARB LLC  
SAMI BROKERAGE LLC  
SANDERS MORRIS HARRIS  
INC.

SANDLER, O'NEILL &  
PARTNERS, L.P.  
SANTANDER INTERNATIONAL  
SECURITIES, INC.  
SANTANDER INVESTMENT  
SECURITIES INC.  
SAYBRUS EQUITY SERVICES,  
INC  
SBERBANK CIB USA, INC  
SCOTT & STRINGFELLOW, LLC  
SCOTTRADE, INC.  
SCOUT TRADING, LLC  
SEA OTTER SECURITIES  
GROUP LLC  
SEATTLE-NORTHWEST  
SECURITIES CORPORATION  
SECURITIES AMERICA, INC.  
SECURITIES MANAGEMENT  
AND RESEARCH, INC.  
SECURITIES SERVICE  
NETWORK, LLC  
SENTINEL FINANCIAL  
SERVICES COMPANY  
SENVEST INTERNATIONAL  
L.L.C.  
SEVEN POINTS CAPITAL, LLC  
SHAY FINANCIAL SERVICES,  
INC.  
SHEA & COMPANY, LLC  
SHEARMAN, RALSTON INC.  
SHELBY CULLOM DAVIS &  
CO., L.P.  
SIERRA PACIFIC SECURITIES,  
LLC  
SIG BROKERAGE, LP  
SIGNAL HILL CAPITAL GROUP  
LLC  
SIGNATOR INVESTORS, INC.  
SII INVESTMENTS, INC.  
SIMMONS & COMPANY  
INTERNATIONAL  
SIMMONS FIRST  
INVESTMENT GROUP, INC.  
SIMON MARKETS LLC

SIMPLEX TRADING, LLC  
SIXPOINT PARTNERS LLC  
SOLOMON PARTNERS  
SECURITIES, LLC  
SOUTH STREET SECURITIES  
LLC  
SPARTAN CAPITAL  
SECURITIES, LLC  
SPHINX TRADING, LP  
SPOT TRADING L.L.C.  
SPROTT GLOBAL RESOURCE  
INVESTMENTS LTD  
SPURRIER CAPITAL  
PARTNERS LLC  
SS&C MARKET SERVICES, LLC  
STANDARD CREDIT  
SECURITIES INC.  
STEBEN & COMPANY, LLC  
STERNE, AGEE & LEACH, INC.  
STEWART PARTNERS  
INVESTMENT SOLUTIONS,  
LLC  
STOCKCROSS FINANCIAL  
SERVICES, INC.  
STOEVER, GLASS & COMPANY  
INC.  
STONE & YOUNGBERG LLC  
STORMHARBOUR SECURITIES  
LP  
STUDENT OPTIONS, LLC  
SUMMIT BROKERAGE  
SERVICES, INC.  
SUMMIT SECURITIES GROUP  
LLC  
SUN LIFE FINANCIAL  
DISTRIBUTORS, INC.  
SUNGARD INSTITUTIONAL  
BROKERAGE INC.  
SUNRISE BROKERS LLC  
SVB INVESTMENT SERVICES  
INC.  
SVB SECURITIES, A NON-  
BANK AFFILIATE OF SILICON  
VALLEY BANK

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

SWEDBANK SECURITIES US,  
LLC  
SWENEY CARTWRIGHT &  
COMPANY  
SYSTEMATIZED BENEFITS  
ADMINISTRATORS, INC.  
T.R. WINSTON & COMPANY,  
LLC  
TD AMERITRADE CLEARING,  
INC.  
TD AMERITRADE, INC.  
TEACHERS PERSONAL  
INVESTORS SERVICES, INC.  
TELEMETRY SECURITIES,  
L.L.C.  
TELSEY ADVISORY GROUP  
LLC  
TFS DERIVATIVES LLC  
THE BUCKINGHAM  
RESEARCH GROUP  
INCORPORATED  
THE KLEIN GROUP, LLC  
THE VERTICAL TRADING  
GROUP, LLC  
THE WILLIAMS CAPITAL  
GROUP, L.P.  
THOMAS WEISEL PARTNERS  
LLC  
THREE BROTHERS TRADING,  
LLC  
THRIVENT DISTRIBUTORS,  
LLC  
TIBRA TRADING AMERICA  
LLC  
TICONDEROGA SECURITIES  
LLC  
TM CAPITAL CORP.  
TMC BONDS L.L.C.  
TMT INVESTMENTS, LLC  
TORO TRADING LLC  
TOURMALINE PARTNERS, LLC  
TOWER SQUARE SECURITIES,  
INC.

TOWERS WATSON CAPITAL  
MARKETS INC.  
TRADE INFORMATICS LLC  
TRADELINK L.L.C.  
TRADITION SECURITIES AND  
DERIVATIVES LLC  
TRANSMARKET GROUP L.L.C.  
TRIAD ADVISORS LLC  
TRIBAL CAPITAL MARKETS,  
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  
UBS FINANCIAL SERVICES  
INCORPORATED OF PUERTO  
RICO  
UNITED CAPITAL MARKETS,  
INC.  
UNIVEST SECURITIES, LLC  
USAA FINANCIAL ADVISORS,  
INC.  
UVEST FINANCIAL SERVICES  
GROUP, INC.  
VALLEY FORGE ASSET  
MANAGEMENT, LLC  
VAQUERO CAPITAL LLC  
VINING-SPARKS IBG, LLC  
VIRTU FINANCIAL BD LLC  
VIRTU FINANCIAL CAPITAL  
MARKETS LLC  
VIRTU ITG LLC  
VIRTUS CAPITAL MARKETS  
LLC  
VISION FINANCIAL MARKETS  
LLC  
VOLANT LIQUIDITY, LLC

VOYA RETIREMENT  
ADVISORS, LLC  
VRA PARTNERS, LLC  
WACHTEL & CO., INC.  
WADDELL & REED, INC.  
WAKE USA LLC  
WALNUT STREET SECURITIES,  
INC.  
WEBULL FINANCIAL LLC  
WEEDEN & CO.L.P.  
WELLS FARGO  
INSTITUTIONAL SECURITIES,  
LLC  
WESTPAC CAPITAL MARKETS  
LLC  
WILLIAMS TRADING LLC  
WILMINGTON BROKERAGE  
SERVICES COMPANY  
WOLVERINE SECURITIES, LLC  
WOODBURY FINANCIAL  
SERVICES, INC.  
WOODROCK SECURITIES, L.P.  
WORLD GROUP SECURITIES,  
INC.  
WSA FIXED INCOME, LLC  
XAMBALA CAPITAL, LLC  
XMS CAPITAL PARTNERS, LLC  
XR SECURITIES LLC  
ZEBED SECURITIES, LLC  
ZIV INVESTMENT COMPANY