
**List of Brokers and Dealers with No Outstanding
Past-Due Share of the Broker-Dealer Accounting Support Fee**

Determination of Payment under PCAOB Rule 7104(b)

As of December 1, 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 December 1, 2024.^{1/}

A registered public accounting firm may take the inclusion of a broker or dealer on this list as an indication that the broker or dealer has no outstanding past-due share of the broker-dealer accounting support fee for purposes of PCAOB Rule 7104(b).

This list will be updated at least bi-weekly. If a registered public accounting firm cannot obtain a representation from the broker or dealer or cannot determine by reviewing the list below whether the broker or dealer has no past-due share of the accounting support fee outstanding, the registered public accounting firm may contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at confirm@pcaobus.org.

If you believe a broker or dealer has been excluded from this list in error, please contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at confirm@pcaobus.org.

Additional information about the broker-dealer accounting support fee and the funding process is available in the Frequently Asked Questions ("FAQs") available in the Accounting Support Fee section of the PCAOB's Web site (<http://pcaobus.org/About/Administration/SupportFee/Pages/BDSupportFeeFAQ.aspx>).

^{1/} Just because a broker or dealer does not appear on this list does not mean that the broker or dealer has outstanding a past-due share of the broker-dealer accounting support fee. Many "brokers" or "dealers," as such terms are defined in the Sarbanes-Oxley Act and the Board's rules, are not allocated a share of the broker-dealer accounting support fee under the Board's funding rules and therefore are not on this list even though they have outstanding no past-due share of the accounting support fee. In addition, payments are received periodically by the PCAOB and are not reflected on this list until it is next updated. For more information regarding the determination of payment of accounting support fees by registered accounting firms, please see rule 7104(b).

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

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

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

| | | |
|---|---|---|
| BANC OF AMERICA SPECIALIST, INC. | BETA CAPITAL SECURITIES LLC | BOFA SECURITIES PRIME, INC. |
| BANCO DO BRASIL SECURITIES LLC | BETHESDA SECURITIES, LLC | BOFA SECURITIES, INC. |
| BANCO VOTORANTIM SECURITIES, INC. | BEXIL SECURITIES LLC | BOLTON GLOBAL CAPITAL BONDS.COM, INC. |
| BANCROFT CAPITAL, LLC | BGC FINANCIAL, L.P. | BOREAL CAPITAL SECURITIES LLC |
| BANCWEST INVESTMENT SERVICES, INC. | BIDS TRADING L.P. | BOSTON PARTNERS SECURITIES, L.L.C. |
| BANORTE SECURITIES INTERNATIONAL LTD | BLACKARCH SECURITIES LLC | BOUSTEAD SECURITIES, LLC |
| BARCLAYS CAPITAL INC. | BLACKROCK CAPITAL MARKETS, LLC | BRADESCO INVESTMENTS INC. |
| BARON CAPITAL, INC. | BLACKROCK EXECUTION SERVICES | BRADESCO SECURITIES, INC. |
| BB&T INVESTMENT SERVICES, INC. | BLACKROCK FUND DISTRIBUTION COMPANY | BRANDT EQUITIES LLC |
| BB&T SECURITIES, LLC | BLACKROCK INVESTMENTS, LLC | BRASIL PLURAL SECURITIES LLC |
| BBVA COMPASS INVESTMENT SOLUTIONS, INC. | BLACKSTONE SECURITIES PARTNERS L.P. | BRAVER STERN SECURITIES LLC |
| BBVA SECURITIES INC. | BLAYLOCK VAN, LLC | BREAN CAPITAL, LLC |
| BBVA SECURITIES OF PUERTO RICO, INC. | BLOOMBERG TRADEBOOK LLC | BRICKELL GLOBAL MARKETS, INC. |
| BCP SECURITIES, INC. | BLUE CAPITAL GROUP LLC | BRIGHT TRADING, LLC |
| BCS AMERICAS, INC. | BLUE FIRE CAPITAL, LLC | BRIGHTHOUSE SECURITIES, LLC |
| BEDROK SECURITIES LLC | BLUEFIN CAPITAL MANAGEMENT, LLC | BROADHAVEN SECURITIES LLC |
| BELLE HAVEN INVESTMENTS, L.P. | BMO CAPITAL MARKETS CORP. | BROADRIDGE BUSINESS PROCESS OUTSOURCING, LLC |
| BELVEDERE TRADING LLC | BMO CAPITAL MARKETS GKST INC. | BROKERTEC AMERICAS LLC |
| BENCHMARK SECURITIES, LLC | BMO HARRIS FINANCIAL ADVISORS, INC. | BROOKFIELD OAKTREE WEALTH SOLUTIONS LLC |
| BENGAL CAPITAL TRADING LLC | BMO INVESTMENT DISTRIBUTORS, LLC | BROOKFIELD PRIVATE ADVISORS LLC |
| BENGAL CAPITAL, LLC | BMO NESBITT BURNS TRADING CORP. S.A. | BROWN, GIBBONS, LANG & COMPANY SECURITIES, LLC |
| BENJAMIN F. EDWARDS & COMPANY, INC. | BNP PARIBAS PRIME BROKERAGE, INC. | BROWNSTONE INVESTMENT GROUP, LLC |
| BERENBERG CAPITAL MARKETS LLC | BNP PARIBAS SECURITIES CORP. | BTIG, LLC |
| BERENSON & COMPANY, LLC | BNY MELLON SECURITIES CORPORATION | BUCKLER SECURITIES LLC |
| BERKSHIRE GLOBAL ADVISORS LP | BOENNING & SCATTERGOOD, INC. | BUILDER ADVISOR GROUP, LLC |
| BERNARD HEROLD & CO., INC. | BOFA DISTRIBUTORS, INC. | BURKE & QUICK PARTNERS LLC |
| BESTEX RESEARCH SECURITIES, LLC | | BYRD TRADING, LLC |

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

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
CALAMOS FINANCIAL
SERVICES LLC
CALVERT INVESTMENT
DISTRIBUTORS, INC.
CAMBRIDGE INTERNATIONAL
SECURITIES, INC.
CAMBRIDGE INVESTMENT
RESEARCH, INC.
CAMPBELL LUTYENS & CO.
INC.
CANACCORD GENUITY
SECURITIES LLC
CANACCORD WEALTH
MANAGEMENT (USA) INC.
CANTOR FITZGERALD & CO.
CAPITAL BROKERAGE
CORPORATION
CAPITAL CLIENT GROUP, INC.
CAPITAL INSTITUTIONAL
SERVICES, INC.
CAPITAL ONE INVESTING, LLC
CAPITAL ONE SECURITIES,
INC.
CARILLON FUND
DISTRIBUTORS, INC.
CARNEGIE, INC.
CARTA CAPITAL MARKETS,
LLC
CARTY & COMPANY, INC.
CASCADIA CAPITAL, LLC
CASGRAIN & COMPANY
(USA) LIMITED
CASTLEOAK SECURITIES, LP
CBOE TRADING, INC.

CBRE CAPITAL ADVISORS,
INC.
CC CAPITAL ADVISORS, INC.
CCB INTERNATIONAL
OVERSEAS (USA) INC.
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.
CITADEL CLEARING LLC
CITADEL SECURITIES
INSTITUTIONAL LLC
CITADEL SECURITIES LLC
CITI ORDER ROUTING AND
EXECUTION, 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.
CLASS VI SECURITIES, LLC
CLEARY GULL INC.
CLEVELAND RESEARCH
COMPANY LLC
CLIFTONLARSONALLEN
WEALTH ADVISORS, 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

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

| | | |
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| COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC. | CREDIT SUISSE PRIVATE ADVISORS AG | DAWSON JAMES SECURITIES, INC. |
| COMMERCE BROKERAGE SERVICES, INC. | CREDIT SUISSE SECURITIES (USA) LLC | DB SECURITIES SERVICES NJ INC. |
| COMMERZ MARKETS LLC | CREWS & ASSOCIATES, INC. | DBO PARTNERS LLC |
| COMMONFUND SECURITIES, INC. | CRITICAL TRADING, LLC | DBS VICKERS SECURITIES (USA) INC. |
| COMMONWEALTH AUSTRALIA SECURITIES LLC | CRITICALPOINT PARTNERS LLC | DEALERWEB INC. |
| COMMONWEALTH EQUITY SERVICES, LLC | CROSSTREE CAPITAL SECURITIES, LLC | DELANEY EQUITY GROUP LLC |
| COMPASS POINT RESEARCH & TRADING, LLC | CROWELL, WEEDON & CO. | DELAWARE DISTRIBUTORS, L.P. |
| CONCOURSE FINANCIAL GROUP SECURITIES, INC. | CRT CAPITAL GROUP LLC | DELOITTE CORPORATE FINANCE LLC |
| CONTINUITY PARTNERS GROUP, LLC | CSCA CAPITAL ADVISORS, LLC | DESJARDINS SECURITIES INTERNATIONAL INC. |
| COREBRIDGE CAPITAL SERVICES, INC. | CSP SECURITIES, LP | DEUTSCHE BANK SECURITIES INC. |
| CORMARK SECURITIES (USA) LIMITED | CSS, LLC | DEVELOPMENT CORPORATION FOR ISRAEL |
| CORNERSTONE MACRO LLC | CT COLLATERAL FUNDING, LLC | DIFFUSION MARKETS, L.L.C. |
| CORNERSTONE TRADING, LLC | CTC, LLC | DIGITAL BROKERAGE SERVICES LLC |
| CORTVIEW CAPITAL SECURITIES LLC | CUNA BROKERAGE SERVICES, INC. | DIMENSION TRADING GROUP, LLC |
| COWEN AND COMPANY, LLC | CURIAN CLEARING, LLC | DINOSAUR FINANCIAL GROUP, L.L.C |
| COWEN EQUITY FINANCE LP | CURTISWOOD CAPITAL, LLC | DIRECT EDGE ECN LLC |
| COWEN EXECUTION SERVICES LLC | CURVATURE SECURITIES LLC | DIRECTED SERVICES LLC |
| COWEN PRIME SERVICES LLC | CUSO FINANCIAL SERVICES, L.P. | DNB MARKETS, INC. |
| CP COGENT SECURITIES LP | CUTLER GROUP, LLC | DOFT & CO., INC. |
| CRAIG-HALLUM CAPITAL GROUP LLC | CUTWATER ASSET MANAGEMENT CORP. | DOUGH LLC |
| CREDICORP CAPITAL LLC | CYNDX ADVISORS LLC | DOWLING & PARTNERS SECURITIES LLC |
| CREDIT AGRICOLE CHEUVREUX NORTH AMERICA, INC. | D.A. DAVIDSON & CO. | DREXEL HAMILTON, LLC |
| CREDIT AGRICOLE SECURITIES (USA) INC. | D.M. KELLY & COMPANY | DRIEHAUS SECURITIES LLC |
| CREDIT SUISSE CAPITAL LLC | DAHLMAN ROSE & COMPANY, LLC | DRW SECURITIES, L.L.C. |
| CREDIT SUISSE PRIME SECURITIES SERVICES (USA) LLC | DAIWA CAPITAL MARKETS AMERICA INC. | DUNDEE SECURITIES INC. |
| | DANSKE MARKETS INC. | DV EQUITIES, LLC |
| | DASH FINANCIAL TECHNOLOGIES LLC | DV SECURITIES, LLC |
| | DAVENPORT & COMPANY LLC | DVB CAPITAL MARKETS LLC |
| | DAVID LERNER ASSOCIATES, INC. | DZ FINANCIAL MARKETS LLC |
| | DAVIS DISTRIBUTORS, LLC | E*TRADE CLEARING LLC |
| | DAVY SECURITIES | E*TRADE SECURITIES LLC |
| | | E.J. DE LA ROSA & CO., INC. |

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

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.
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.
ETC BROKERAGE SERVICES,
LLC
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 CAPITAL
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.
FIRST REPUBLIC SECURITIES
COMPANY, LLC
FIRST SOUTHWEST
COMPANY, LLC
FIRST TRYON SECURITIES, LLC
FIRST WINSTON SECURITIES,
INC.
FIRSTRADE SECURITIES INC.
FIS BROKERAGE &
SECURITIES SERVICES LLC
FIXED INCOME CAPITAL
PARTNERS, LLC
FLEXTRADE LLC
FLORIDA ATLANTIC
SECURITIES CORP.
FLOURISH FINANCIAL LLC
FLOW TRADERS U.S.
INSTITUTIONAL TRADING LLC
FLOW TRADERS U.S. LLC
FM PARTNERS HOLDINGS LLC
FMI CAPITAL ADVISORS, INC.
FMSBONDS, INC.
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

Public Company Accounting Oversight Board
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Past-Due Share as of December 15, 2024

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
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.
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 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
GUARDIAN INVESTOR
SERVICES LLC
GUGGENHEIM
DISTRIBUTORS, LLC
GUGGENHEIM FUNDS
DISTRIBUTORS, LLC
GUGGENHEIM INVESTOR
SERVICES, LLC
GUGGENHEIM SECURITIES,
LLC
GUZMAN & COMPANY

GWN SECURITIES INC.
GX2 SPREAD MARKETS, LLC
H.C.WAINWRIGHT & CO., LLC
H2C SECURITIES INC.
HAITONG INTERNATIONAL
SECURITIES (USA) INC.
HAITONG SECURITIES USA
LLC
HALES SECURITIES, LLC
HANCOCK WHITNEY
INVESTMENT SERVICES INC.
HANDELSBANKEN MARKETS
SECURITIES, INC.
HANTZ FINANCIAL SERVICES,
INC.
HAP TRADING, LLC
HAPOALIM SECURITIES USA,
INC.
HARD EIGHT TRADING, LLC
HARDCASTLE TRADING USA
L.L.C.
HARRIS WILLIAMS LLC
HARTFORD FUNDS
DISTRIBUTORS, LLC
HAYWOOD SECURITIES (USA)
INC.
HBK GLOBAL SECURITIES L.P.
HEALTHCARE COMMUNITY
SECURITIES CORP.
HEFREN-TILLOTSON, INC.
HENNION & WALSH, INC.
HERBERT J. SIMS & CO, INC.
HFF SECURITIES L.P.
HIGHTOWER SECURITIES, LLC
HILLTOP SECURITIES INC.
HOLD BROTHERS CAPITAL
LLC
HOME FINANCIAL SERVICES,
INC.
HOULIHAN LOKEY ADVISORS,
LLC
HOULIHAN LOKEY CAPITAL,
INC.
HOVDE GROUP, LLC

Public Company Accounting Oversight Board
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HOWARD WEIL
INCORPORATED
HOWDEN TIGER CAPITAL
MARKETS & ADVISORY, LLC
HPS SECURITIES, LLC
HRT EXECUTION SERVICES
LLC
HRT FINANCIAL LP
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUB INTERNATIONAL
INVESTMENT SERVICES INC.
HULL PARTNERS LLC
HUNT FINANCIAL
SECURITIES, LLC
HUNTINGTON SECURITIES,
INC.
IB CAPITAL LLC
IBERIA CAPITAL PARTNERS
L.L.C.
IBKR SECURITIES SERVICES
LLC
IBS HOLDING CORPORATION
ICAPITAL MARKETS LLC
ICBC STANDARD SECURITIES
INC.
ICE BONDS SECURITIES
CORPORATION
ICE SECURITIES EXECUTION &
CLEARING, LLC
ICM SECURITIES, LLC
ICR CAPITAL LLC
IDB CAPITAL CORP.
IEX SERVICES LLC
IFC HOLDINGS, INC.
IMA WEALTH, INC.
IMC EXECUTION SERVICES
LLC
IMC SECURITIES LLC
IMC-CHICAGO, LLC
IMPERIAL CAPITAL, LLC
INCENTER SECURITIES
GROUP LLC

INCENTRUM SECURITIES, LLC
INDEPENDENCE POINT
SECURITIES LLC
INDEPENDENT FINANCIAL
GROUP, LLC
INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSIGNEO INTERNATIONAL
FINANCIAL SERVICES LLC
INSIGNEO SECURITIES, LLC
INSPEREX 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 PLACEMENT
GROUP
INVEX, LLC.

ITAU BBA USA SECURITIES,
INC.
ITAU INTERNATIONAL
SECURITIES INC.
IVY DISTRIBUTORS, INC.
J. WOOD CAPITAL ADVISORS
LLC
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
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.
JOHNSON RICE & COMPANY
L.L.C.
JONES LANG LASALLE
SECURITIES, LLC
JONESTRADING
INSTITUTIONAL SERVICES LLC
JPMORGAN DISTRIBUTION
SERVICES, INC.
JVB FINANCIAL GROUP, LLC

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

| | | |
|----------------------------|--------------------------|--------------------------|
| JWTT INC. | LEERINK PARTNERS LLC | MAREX CAPITAL MARKETS |
| KBC SECURITIES USA LLC | LEK SECURITIES | INC. |
| KBFG SECURITIES AMERICA | CORPORATION | MAREX NORTH AMERICA |
| INC. | LEONIS SECURITIES, LLC | SECURITIES LLC |
| KEEFE, BRUYETTE & WOODS, | LFT SECURITIES, LLC | MARIVA CAPITAL MARKETS, |
| INC. | LIGHTSPEED FINANCIAL | LLC |
| KEPLER CAPITAL MARKETS, | SERVICES GROUP LLC | MARKETAXESS |
| INC. | LIME TRADING CORP | CORPORATION |
| KESTRA INVESTMENT | LINCOLN FINANCIAL | MARKS BAUGHAN |
| SERVICES, LLC | DISTRIBUTORS, INC. | SECURITIES LLC |
| KEY INVESTMENT SERVICES | LINCOLN INTERNATIONAL | MARSHBERRY CAPITAL, LLC. |
| LLC | LLC | MATTHEWS SOUTH, LLC |
| KEYBANC CAPITAL MARKETS | LINCOLN INVESTMENT | MAXIM GROUP LLC |
| INC. | PLANNING, LLC | MBS CAPITAL MARKETS, LLC |
| KEZAR TRADING, LLC | LIONTREE ADVISORS LLC | MBX CLEARING LLC |
| KGS-ALPHA CAPITAL | LIQUIDITYEDGE, LLC. | MCADAMS WRIGHT RAGEN, |
| MARKETS, L.P. | LIQUIDNET, INC. | INC. |
| KIPPSDESANTO & COMPANY | LIQUIDPOINT, LLC | MCAP LLC |
| KKR CAPITAL MARKETS II LLC | LLOYDS SECURITIES INC. | MEDIOBANCA SECURITIES |
| KKR CAPITAL MARKETS LLC | LOEB PARTNERS | USA LLC |
| KMS FINANCIAL SERVICES, | CORPORATION | MERCER ALLIED COMPANY, |
| INC. | LOMBARD ODIER | L.P. |
| KNIGHT CAPITAL AMERICAS, | TRANSATLANTIC LIMITED | MERCHANT CAPITAL, L.L.C. |
| L.P. | LOOP CAPITAL MARKETS LLC | MERIDIAN CAPITAL LLC |
| KOYOTE TRADING LLC | LORD ABBETT DISTRIBUTOR | MERRILL LYNCH FINANCIAL |
| KPMG CORPORATE FINANCE | LLC | MARKETS, INC. |
| LLC | LPL FINANCIAL LLC | MERRILL LYNCH |
| KROLL SECURITIES LLC | LUMA SECURITIES LLC | PROFESSIONAL CLEARING |
| L.J. HART AND COMPANY | LUMENT SECURITIES, LLC | CORP. |
| LADDER CAPITAL SECURITIES | LUPO SECURITIES, LLC | MERRILL LYNCH, PIERCE, |
| LLC | M&I FINANCIAL ADVISORS, | FENNER & SMITH |
| LADENBURG THALMANN & | INC. | INCORPORATED |
| CO. INC. | M&T SECURITIES, INC. | MERUS CAPITAL PARTNERS, |
| LAFISE SECURITIES LLC | M1 FINANCE LLC | LLC |
| LAKE STREET CAPITAL | M3 INVESTMENT GROUP LLC | MESIROW FINANCIAL, INC. |
| MARKETS, LLC | MACQUARIE CAPITAL | METLIFE INVESTORS |
| LAKESHORE SECURITIES, L.P. | MARKETS NORTH AMERICA | DISTRIBUTION COMPANY |
| LASALLE INVESTMENT | LTD. | MFR SECURITIES, INC. |
| MANAGEMENT | MACRO RISK ADVISORS LLC | MFS FUND DISTRIBUTORS, |
| DISTRIBUTORS, LLC | MAN INVESTMENTS INC. | INC. |
| LATOUR TRADING LLC | MAPLE SECURITIES U.S.A. | MICROVENTURE |
| LAVAFLOW, INC. | INC. | MARKETPLACE INC. |
| LAZARD FRERES & CO. LLC | MARATHON CAPITAL | MIDDLGATE SECURITIES |
| LAZARD MIDDLE MARKET LLC | MARKETS, LLC | INC. |

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

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.
MOMENTUS SECURITIES LLC
MONEX SECURITIES, INC.
MONEY CONCEPTS CAPITAL
CORP
MONTMINY 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.
MSEC, LLC
MSI FINANCIAL SERVICES,
INC.
MTG, LLC
MTS SECURITIES, LLC
MUFG AMERICAS
CORPORATE ADVISORY, INC.
MUFG SECURITIES AMERICAS
INC.
MULTI-BANK SECURITIES,
INC.
MUTUAL OF AMERICA LIFE
INSURANCE COMPANY
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
N.I.S. FINANCIAL SERVICES,
INC.
NABSECURITIES, LLC
NASDAQ EXECUTION
SERVICES, LLC
NASDAQ OPTIONS SERVICES,
LLC
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
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
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE SECURITIES, INC.
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 NORTH
AMERICA, LLC
NORDEA SECURITIES LLC
NORTH BRIDGE CAPITAL, LLC
NORTH POINT MERGERS
AND ACQUISITIONS, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC

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

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.
ONPEAK CAPITAL LLC
OPEN TO THE PUBLIC
INVESTING, INC.
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.
OPPENHEIMERFUNDS
DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSPRESS, INC.
OPTIVER EXECUTION
SERVICES LLC
OPTIVER US LLC
ORIENTAL FINANCIAL
SERVICES LLC
OSAIC FA, INC.
OSAIC FS, INC.
OSAIC INSTITUTIONS, INC.
OSAIC SERVICES, INC.
OSAIC WEALTH, INC.
OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE, LLC
PACER FINANCIAL, INC.

PACIFIC CENTURY
SECURITIES, LLC
PACIFIC CREST SECURITIES
LLC
PACIFIC SELECT
DISTRIBUTORS, 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
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
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.
PRIMERICA BROKERAGE
SERVICES, INC.
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

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

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. F. LAFFERTY & CO., INC.
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.
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
ROSELAINE SECURITIES LLC
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.
SAFRA SECURITIES LLC
SAL EQUITY TRADING, GP
SAMCO CAPITAL MARKETS,
INC.

SAMI BROKERAGE 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
SAYBRUS EQUITY SERVICES,
INC
SBERBANK CIB USA, INC
SCHRODER FUND ADVISORS
LLC
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.

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

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.
SOFI SECURITIES LLC
SOLOMON PARTNERS SECURITIES, LLC
SOUTH STREET SECURITIES LLC
SOUTHSTATE|DUNCANWILLIAMS 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.
STATE FARM VP MANAGEMENT CORP.
STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC
STATE STREET GLOBAL MARKETS, LLC
STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING, GRACE MUNICIPAL SECURITIES CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STEWART PARTNERS INVESTMENT SOLUTIONS, LLC
STIFEL, NICOLAUS & COMPANY, INCORPORATED
STOCKCROSS FINANCIAL SERVICES, INC.
STOEVER, GLASS & COMPANY INC.
STONE & YOUNGBERG LLC
STONEPEAK SECURITIES LLC
STONEX FINANCIAL INC.
STORMHARBOUR SECURITIES LP
STOUT CAPITAL, LLC
STRATEGAS SECURITIES, LLC

STUART FRANKEL & CO., INCORPORATED
STUDENT OPTIONS, LLC
SUMMIT BROKERAGE SERVICES, INC.
SUMMIT SECURITIES GROUP LLC
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.

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

| | | |
|--|--|--|
| TCBI SECURITIES, INC. | TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC | TRANSAMERICA INVESTORS SECURITIES CORPORATION |
| TCG CAPITAL MARKETS L.L.C. | TIBRA TRADING AMERICA LLC | TRANSMARKET GROUP L.L.C. |
| TD AMERITRADE CLEARING, INC. | TICONDEROGA SECURITIES LLC | TRC MARKETS LLC |
| TD AMERITRADE, INC. | TIGRESS FINANCIAL PARTNERS, LLC | TRIAD ADVISORS LLC |
| TEACHERS PERSONAL INVESTORS SERVICES, INC. | TM CAPITAL CORP. | TRIBAL CAPITAL MARKETS, LLC |
| TELEMETRY SECURITIES, L.L.C. | TMC BONDS L.L.C. | TRIPLETREE, LLC |
| TELSEY ADVISORY GROUP LLC | TMT INVESTMENTS, LLC | TRUIST INVESTMENT SERVICES, INC. |
| TFS DERIVATIVES LLC | TORO TRADING LLC | TRUIST SECURITIES, INC. |
| THE BAKER GROUP, LP | TOUCHSTONE SECURITIES, INC. | TRUMID FINANCIAL LLC |
| THE BANK STREET GROUP L.L.C. | TOURMALINE PARTNERS, LLC | TUDOR PICKERING HOLT & CO ADVISORS LP |
| THE BENCHMARK COMPANY, LLC | TOWER PRINCIPAL MARKETS LLC | TUDOR, PICKERING, HOLT & CO. SECURITIES, LLC |
| THE BUCKINGHAM RESEARCH GROUP INCORPORATED | TOWER SQUARE SECURITIES, INC. | TULLETT PREBON FINANCIAL SERVICES LLC |
| THE GMS GROUP, LLC | TOWERS WATSON CAPITAL MARKETS INC. | TWEEDY, BROWNE COMPANY LLC |
| THE HUNTINGTON INVESTMENT COMPANY | TOYOTA FINANCIAL SERVICES SECURITIES USA CORPORATION | TWO RIVERS TRADING GROUP LLC |
| THE KLEIN GROUP, LLC | TP ICAP GLOBAL MARKETS AMERICAS LLC | TWO SIGMA SECURITIES, LLC |
| THE LEADERS GROUP, INC. | TPG CAPITAL BD, LLC | TZ CLEAR LLC |
| THE O.N. EQUITY SALES COMPANY | TRADE INFORMATICS LLC | U.S. BANCORP ADVISORS, LLC |
| THE VERTICAL TRADING GROUP, LLC | TRADE-PMR INC. | U.S. BANCORP INVESTMENTS, INC. |
| THE WILLIAMS CAPITAL GROUP, L.P. | TRADEBOT SYSTEMS, INC. | UBS ASSET MANAGEMENT (US) INC. |
| THINKEQUITY LLC | TRADELINK L.L.C. | UBS FINANCIAL SERVICES INC. |
| THOMA BRAVO CAPITAL MARKETS, LLC | TRADELINK SECURITIES, LLC | UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO |
| THOMAS WEISEL PARTNERS LLC | TRADESTATION SECURITIES, INC. | UBS SECURITIES LLC |
| THREE BROTHERS TRADING, LLC | TRADEUP SECURITIES, INC. | UMB FINANCIAL SERVICES, INC. |
| THRIVENT DISTRIBUTORS, LLC | TRADEWEB DIRECT LLC | UNICREDIT CAPITAL MARKETS LLC |
| THRIVENT INVESTMENT MANAGEMENT INC. | TRADEWEB L.L.C | UNITED BROKERAGE SERVICES, INC |
| | TRADITION SECURITIES AND DERIVATIVES LLC | UNITED CAPITAL MARKETS, INC. |
| | TRANSAMERICA CAPITAL, INC. | |
| | TRANSAMERICA FINANCIAL ADVISORS, INC | |

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

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
VICENTE & PARTNERS 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
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
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
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