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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 January 15, 2025**

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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 January 15, 2025.<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 January 15, 2025

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

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AVM, L.P.	BENJAMIN F. EDWARDS & COMPANY, INC.	BMO NESBITT BURNS SECURITIES LTD.
B. C. ZIEGLER AND COMPANY	BERENBERG CAPITAL MARKETS LLC	BMO NESBITT BURNS TRADING CORP. S.A.
B. RILEY SECURITIES, INC.	BERENSON & COMPANY, LLC	BNP PARIBAS PRIME BROKERAGE, INC.
B. RILEY WEALTH MANAGEMENT, INC.	BERKSHIRE GLOBAL ADVISORS LP	BNP PARIBAS SECURITIES CORP.
BAADER HELVEA INC.	BERNARD HEROLD & CO., INC.	BNY MELLON CAPITAL MARKETS, LLC
BAKER TILLY CAPITAL, LLC	BESTEX RESEARCH SECURITIES, LLC	BNY MELLON SECURITIES CORPORATION
BALANCE SHEET SOLUTIONS LLC	BETA CAPITAL SECURITIES LLC	BOENNING & SCATTERGOOD, INC.
BANC OF AMERICA SPECIALIST, INC.	BETHESDA SECURITIES, LLC	BOFA DISTRIBUTORS, INC.
BANCO DO BRASIL SECURITIES LLC	BEXIL SECURITIES LLC	BOFA SECURITIES PRIME, INC.
BANCO VOTORANTIM SECURITIES, INC.	BGC FINANCIAL, L.P.	BOFA SECURITIES, INC.
BANCROFT CAPITAL, LLC	BIDS TRADING L.P.	BOK FINANCIAL SECURITIES, INC.
BANCWEST INVESTMENT SERVICES, INC.	BLACKARCH SECURITIES LLC	BOLTON GLOBAL CAPITAL BONDS.COM, INC.
BANORTE SECURITIES INTERNATIONAL LTD	BLACKROCK CAPITAL MARKETS, LLC	BOREAL CAPITAL SECURITIES LLC
BARCLAYS CAPITAL INC.	BLACKROCK EXECUTION SERVICES	BOSTON PARTNERS SECURITIES, L.L.C.
BARON CAPITAL, INC.	BLACKROCK FUND DISTRIBUTION COMPANY	BOUSTEAD SECURITIES, LLC
BB&T INVESTMENT SERVICES, INC.	BLACKROCK INVESTMENTS, LLC	BRADESCO INVESTMENTS INC.
BB&T SECURITIES, LLC	BLACKSTONE SECURITIES PARTNERS L.P.	BRADESCO SECURITIES, INC.
BBVA COMPASS INVESTMENT SOLUTIONS, INC.	BLAYLOCK VAN, LLC	BRANDT EQUITIES LLC
BBVA SECURITIES INC.	BLOOMBERG TRADEBOOK LLC	BRASIL PLURAL SECURITIES LLC
BBVA SECURITIES OF PUERTO RICO, INC.	BLUE CAPITAL GROUP LLC	BRAVER STERN SECURITIES LLC
BC PARTNERS SECURITIES LLC	BLUE FIRE CAPITAL, LLC	BREAN CAPITAL, LLC
BCP SECURITIES, INC.	BLUEFIN CAPITAL MANAGEMENT, LLC	BREX TREASURY LLC
BCS AMERICAS, INC.	BMO CAPITAL MARKETS CORP.	BRICKELL GLOBAL MARKETS, INC.
BDT & MSD PARTNERS, LLC	BMO CAPITAL MARKETS GKST INC.	BRIGHT TRADING, LLC
BEDROK SECURITIES LLC	BMO HARRIS FINANCIAL ADVISORS, INC.	BRIGHTHOUSE SECURITIES, LLC
BELLE HAVEN INVESTMENTS, L.P.	BMO INVESTMENT DISTRIBUTORS, LLC	BROADHAVEN SECURITIES LLC
BELVEDERE TRADING LLC		
BENCHMARK SECURITIES, LLC		
BENGAL CAPITAL TRADING LLC		
BENGAL CAPITAL, LLC		

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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 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  
CLEAR STREET LLC  
CLEARPOOL EXECUTION  
SERVICES, LLC  
CLEARY GULL INC.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2025

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  
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

COREBRIDGE CAPITAL  
SERVICES, INC.  
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  
CROSSTREE CAPITAL  
SECURITIES, LLC  
CROWELL, WEEDON & CO.  
CRT CAPITAL GROUP LLC  
CSCA CAPITAL ADVISORS, LLC  
CSP SECURITIES, LP  
CSS, LLC  
CT COLLATERAL FUNDING,  
LLC  
CTC, LLC

CUNA BROKERAGE SERVICES,  
INC.  
CURIAN CLEARING, LLC  
CURTISWOOD CAPITAL, LLC  
CURVATURE SECURITIES LLC  
CUSO FINANCIAL SERVICES,  
L.P.  
CUTLER GROUP, LLC  
CUTWATER ASSET  
MANAGEMENT CORP.  
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.

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DEUTSCHE BANK SECURITIES  
INC.  
DEVELOPMENT  
CORPORATION FOR ISRAEL  
DIFFUSION MARKETS, L.L.C.  
DIGITAL BROKERAGE  
SERVICES LLC  
DIMENSION TRADING  
GROUP, LLC  
DINOSAUR FINANCIAL  
GROUP, L.L.C.  
DIRECT EDGE ECN LLC  
DIRECTED SERVICES LLC  
DNB MARKETS, INC.  
DOFT & CO., INC.  
DOUGH LLC  
DOWLING & PARTNERS  
SECURITIES LLC  
DREXEL HAMILTON, LLC  
DRIEHAUS SECURITIES LLC  
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.  
EAST WEST MARKETS, LLC  
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.  
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.

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FIRST NEW YORK SECURITIES  
L.L.C.  
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  
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  
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.  
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  
GTS EXECUTION SERVICES  
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

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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.  
HORNOR, TOWNSEND &  
KENT, LLC  
HOULIHAN LOKEY ADVISORS,  
LLC  
HOULIHAN LOKEY CAPITAL,  
INC.  
HOVDE GROUP, LLC

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.



Public Company Accounting Oversight Board  
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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  
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.  
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 II LLC  
KKR CAPITAL MARKETS LLC  
KMS FINANCIAL SERVICES,  
INC.  
KNIGHT CAPITAL AMERICAS,  
L.P.  
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 LLC  
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  
DISTRIBUTORS, INC.  
LINCOLN INTERNATIONAL  
LLC  
LINCOLN INVESTMENT  
PLANNING, LLC  
LIONTREE ADVISORS LLC  
LIQUIDYEDGE, LLC.  
LIQUIDNET, INC.  
LIQUIDPOINT, LLC  
LLOYDS SECURITIES INC.  
LOEB PARTNERS  
CORPORATION  
LOMBARD ODIER  
TRANSATLANTIC LIMITED  
LOOP CAPITAL MARKETS LLC  
LORD ABBETT DISTRIBUTOR  
LLC  
LPL FINANCIAL LLC  
LUMA SECURITIES LLC  
LUMENT SECURITIES, LLC  
LUPO SECURITIES, LLC  
M&I FINANCIAL ADVISORS,  
INC.  
M&T SECURITIES, INC.  
M1 FINANCE LLC  
M3 INVESTMENT GROUP LLC  
MACQUARIE CAPITAL  
MARKETS NORTH AMERICA  
LTD.  
MACRO RISK ADVISORS LLC  
MAN INVESTMENTS INC.

Public Company Accounting Oversight Board  
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MAPLE SECURITIES U.S.A.  
INC.  
MARATHON CAPITAL  
MARKETS, LLC  
MAREX CAPITAL MARKETS  
INC.  
MAREX NORTH AMERICA  
SECURITIES LLC  
MARIVA CAPITAL MARKETS,  
LLC  
MARKETAXESS  
CORPORATION  
MARKS BAUGHAN  
SECURITIES LLC  
MARSHBERRY CAPITAL, LLC.  
MATTHEWS SOUTH, LLC  
MAXIM GROUP LLC  
MBS CAPITAL MARKETS, LLC  
MBX CLEARING LLC  
MCADAMS WRIGHT RAGEN,  
INC.  
MCAP LLC  
MEDIOBANCA SECURITIES  
USA LLC  
MERCER ALLIED COMPANY,  
L.P.  
MERCHANT CAPITAL, L.L.C.  
MERIDIAN CAPITAL LLC  
MERRILL LYNCH FINANCIAL  
MARKETS, INC.  
MERRILL LYNCH  
PROFESSIONAL CLEARING  
CORP.  
MERRILL LYNCH, PIERCE,  
FENNER & SMITH  
INCORPORATED  
MERUS CAPITAL PARTNERS,  
LLC  
MESIROW FINANCIAL, INC.  
METLIFE INVESTORS  
DISTRIBUTION COMPANY  
MFR SECURITIES, INC.  
MFS FUND DISTRIBUTORS,  
INC.

MICROVENTURE  
MARKETPLACE INC.  
MIDLEGATE SECURITIES  
INC.  
MIDLAND SECURITIES, LTD  
MILLBURN RIDGEFIELD  
CORPORATION  
MILLCO ADVISORS, LP  
MILLENNIUM ADVISORS, LLC  
MILLER BUCKFIRE & CO., LLC  
MILLER TABAK + CO., LLC  
MINT BROKERS  
MIRAE ASSET SECURITIES  
(USA) INC.  
MIRAE ASSET WEALTH  
MANAGEMENT (USA) INC.  
MISCHLER FINANCIAL  
GROUP, INC.  
MITCHELL ENERGY  
ADVISORS, LLC  
MIURA CAPITAL, LLC  
MIZUHO SECURITIES  
CANADA INC.  
MIZUHO SECURITIES USA LLC  
MKM PARTNERS LLC  
MMA SECURITIES LLC  
MMC SECURITIES LLC  
MML INVESTORS SERVICES,  
LLC  
MND PARTNERS, INC.  
MOCHO TRADING LLC  
MOELIS & COMPANY LLC  
MOG CAPITAL L.L.C.  
MOMENTUS SECURITIES LLC  
MONEX SECURITIES, INC.  
MONEY CONCEPTS CAPITAL  
CORP  
MONTEC SECURITIES LLC  
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.  
MOUNTAINVIEW 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.  
MURIEL SIEBERT & CO., LLC  
MUTUAL OF AMERICA LIFE  
INSURANCE COMPANY  
N. B. ZOULLAS SECURITIES,  
INC.  
N.A. INVESTCORP LLC  
N.I.S. FINANCIAL SERVICES,  
INC.  
NABSECURITIES, LLC  
NASDAQ EXECUTION  
SERVICES, LLC  
NASDAQ OPTIONS SERVICES,  
LLC  
NATALLIANCE SECURITIES,  
LLC  
NATHAN HALE CAPITAL, LLC

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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 BD LLC  
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  
INTERNATIONAL, INC.

NOMURA SECURITIES NORTH  
AMERICA, LLC  
NORDEA SECURITIES LLC  
NORTH BRIDGE CAPITAL, LLC  
NORTH POINT MERGERS  
AND ACQUISITIONS, INC.  
NORTHLAND SECURITIES,  
INC.  
NORTHSTAR SECURITIES, LLC  
NORTHWESTERN MUTUAL  
INVESTMENT SERVICES, LLC  
NUMIS SECURITIES INC.  
NUVEEN SECURITIES, LLC  
NYLIFE SECURITIES LLC  
O'NEIL SECURITIES  
INCORPORATED  
OASIS PRO MARKETS LLC  
OBD SECURITIES LLC  
OCTEG, LLC  
ODDO BHF NEW YORK  
CORPORATION  
ODEON CAPITAL GROUP LLC  
OHIO NATIONAL EQUITIES,  
INC.  
OLD MISSION CAPITAL, LLC  
OLD MISSION MARKETS LLC  
ONEAMERICA SECURITIES,  
INC.  
ONPEAK CAPITAL LLC  
OPEN TO THE PUBLIC  
INVESTING, INC.  
OPENDOOR SECURITIES LLC  
OPPENHEIMER & CO. INC.  
OPPENHEIMERFUNDS  
DISTRIBUTOR, INC.  
OPTIONSHOUSE, LLC  
OPTIONSXPRESS, 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

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PERSHING ADVISOR SOLUTIONS LLC	PRUDENTIAL ANNUITIES DISTRIBUTORS, INC	RED CEDAR TRADING, LLC
PERSHING LLC	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC	REDBIRD BD, LLC
PFM FUND DISTRIBUTORS, INC.	PTR, INC.	REDBURN (USA) LLC
PFS INVESTMENTS INC.	PUBLIC VENTURES, LLC	REDI GLOBAL TECHNOLOGIES LLC
PGM GLOBAL INC.	PULSE TRADING, INC.	REGAL SECURITIES, INC.
PHILLIP CAPITAL INC.	PUNDION LLC	REGIONS SECURITIES LLC
PHOENIX DERIVATIVES GROUP, LLC	PURESTREAM, LLC	RELATED FINANCIAL SERVICES, LLC
PHX FINANCIAL, INC.	PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP	RENCAP SECURITIES, INC.
PICTET OVERSEAS INC.	Q ADVISORS LLC	REPUBLIC PARTNERS, LLC
PIMCO INVESTMENTS LLC	QATALYST PARTNERS LP	RESOLUTE INVESTMENT DISTRIBUTORS, INC.
PIPELINE TRADING SYSTEMS LLC	QUAD CAPITAL, LLC	REUTERS TRANSACTION SERVICES LLC
PIPER SANDLER & CO.	QUAD SECURITIES LLC	RGM SECURITIES, LLC
PJT PARTNERS LP	QUANTITATIVE BROKERS, LLC	RIVERSOURCE
PMA SECURITIES, LLC	QUANTLAB SECURITIES LP	DISTRIBUTORS, INC.
PNC CAPITAL MARKETS LLC	QUASAR DISTRIBUTORS, LLC	RIVERSTONE CAPITAL SERVICES LLC
PNC INVESTMENTS LLC	QUESTAR CAPITAL CORPORATION	ROBERT W. BAIRD & CO. INCORPORATED
POPULAR SECURITIES, LLC	QUIET LIGHT SECURITIES, LLC	ROBINHOOD FINANCIAL, LLC
PORTIGON SECURITIES INC.	R. F. LAFFERTY & CO., INC.	ROBINHOOD SECURITIES, LLC
POTAMUS TRADING, LLC	R. SEELAUS & CO., LLC	ROCKEFELLER FINANCIAL LLC
PRAGMA LLC	R.W.PRESSPRICH & CO.	RODMAN & RENSHAW, LLC
PRECISION SECURITIES, LLC	RABO SECURITIES USA, INC.	RONIN CAPITAL, LLC
PREFERRED CAPITAL SECURITIES, LLC	RAFFERTY CAPITAL MARKETS, LLC	ROOSEVELT & CROSS, INCORPORATED
PRICEWATERHOUSECOOPE RS CORPORATE FINANCE LLC	RAINE SECURITIES LLC	ROSELAINIE SECURITIES LLC
PRIME CAPITAL MARKETS, LLC	RAINIER SECURITIES, LLC	ROSENBLATT SECURITIES INC.
PRIME DEALER SERVICES CORP.	RAMAT SECURITIES LTD.	ROSENTHAL GLOBAL SECURITIES LLC
PRIMERICA BROKERAGE SERVICES, INC.	RAYMOND JAMES & ASSOCIATES, INC.	ROSS, SINCLAIRE & ASSOCIATES, LLC
PRINCIPAL FUNDS DISTRIBUTOR, INC.	RAYMOND JAMES (USA) LTD.	ROTH CAPITAL PARTNERS, LLC
PRINCIPAL SECURITIES, INC.	RAYMOND JAMES FINANCIAL SERVICES, INC.	ROTHSCHILD & CO US INC.
PROBITAS FUNDS GROUP, LLC	RAYMOND JAMES INSURANCE GROUP, INC.	ROYCE FUND SERVICES, LLC
PROSPERA FINANCIAL SERVICES, INC.	RB INTERNATIONAL MARKETS (USA) LLC	RQD* CLEARING, LLC
PRUCO SECURITIES, LLC.	RBC CAPITAL MARKETS, LLC	RUANE, CUNNIFF & GOLDFARB LLC
	RBC CMA LLC	
	RCI LIMITED PARTNERSHIP	
	REALCADRE LLC	

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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  
SANTANDER US CAPITAL  
MARKETS 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.  
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.

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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.  
TASTYTRADE, INC.  
TCBI SECURITIES, INC.  
TCG CAPITAL MARKETS L.L.C.  
TD AMERITRADE CLEARING,  
INC.  
TD AMERITRADE, INC.  
TD PRIME SERVICES 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 O.N. EQUITY SALES  
COMPANY  
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 PRINCIPAL MARKETS  
LLC  
TOWER SQUARE SECURITIES,  
INC.  
TOWERS WATSON CAPITAL  
MARKETS INC.  
TOYOTA FINANCIAL SERVICES  
SECURITIES USA  
CORPORATION

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2025

TP ICAP GLOBAL MARKETS AMERICAS LLC  
TPG CAPITAL BD, LLC  
TRADE INFORMATICS LLC  
TRADE-PMR INC.  
TRADEBOT SYSTEMS, INC.  
TRADELINK L.L.C.  
TRADELINK SECURITIES, LLC  
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  
TZ CLEAR LLC

U.S. BANCORP ADVISORS, 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  
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  
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  
WEDBUSH SECURITIES INC.  
WEEDEN & CO.L.P.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2025

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