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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 March 1, 2025

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 March 1, 2025.^{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 March 1, 2025

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

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AUTONOMOUS RESEARCH
LLP
AVANTAX INVESTMENT
SERVICES, INC.
AVATAR CAPITAL GROUP LLC
AVATAR SECURITIES, LLC
AVM, L.P.
B. C. ZIEGLER AND COMPANY
B. RILEY SECURITIES, INC.
B. RILEY WEALTH
MANAGEMENT, INC.
BAADER HELVEA INC.
BAKER TILLY CAPITAL, LLC
BALANCE SHEET SOLUTIONS
LLC
BANC OF AMERICA
SPECIALIST, INC.
BANCO DO BRASIL
SECURITIES LLC
BANCO VOTORANTIM
SECURITIES, INC.
BANCROFT CAPITAL, LLC
BANCWEST INVESTMENT
SERVICES, INC.
BANORTE SECURITIES
INTERNATIONAL LTD
BARCLAYS CAPITAL INC.
BARON CAPITAL, INC.
BB&T INVESTMENT
SERVICES, INC.
BB&T SECURITIES, LLC
BBVA COMPASS
INVESTMENT SOLUTIONS,
INC.
BBVA SECURITIES INC.
BBVA SECURITIES OF PUERTO
RICO, INC.
BC PARTNERS SECURITIES LLC
BCP SECURITIES, INC.
BCS AMERICAS, INC.
BDT & MSD PARTNERS, LLC
BEDROK SECURITIES LLC
BELLE HAVEN INVESTMENTS,
L.P.

BELVEDERE TRADING LLC
BENCHMARK SECURITIES,
LLC
BENGAL CAPITAL TRADING
LLC
BENGAL CAPITAL, LLC
BENJAMIN F. EDWARDS &
COMPANY, INC.
BERENBERG CAPITAL
MARKETS LLC
BERENSON & COMPANY, LLC
BERKSHIRE GLOBAL
ADVISORS LP
BERNARD HEROLD & CO.,
INC.
BESTEX RESEARCH
SECURITIES, LLC
BETA CAPITAL SECURITIES
LLC
BETHESDA SECURITIES, LLC
BEXIL SECURITIES LLC
BGC FINANCIAL, L.P.
BIDS TRADING L.P.
BLACKARCH SECURITIES LLC
BLACKROCK CAPITAL
MARKETS, LLC
BLACKROCK EXECUTION
SERVICES
BLACKROCK FUND
DISTRIBUTION COMPANY
BLACKROCK INVESTMENTS,
LLC
BLACKSTONE SECURITIES
PARTNERS L.P.
BLAYLOCK VAN, LLC
BLOOMBERG TRADEBOOK
LLC
BLUE CAPITAL GROUP LLC
BLUE FIRE CAPITAL, LLC
BLUEFIN CAPITAL
MANAGEMENT, LLC
BMO CAPITAL MARKETS
CORP.

BMO CAPITAL MARKETS
GKST INC.
BMO HARRIS FINANCIAL
ADVISORS, INC.
BMO INVESTMENT
DISTRIBUTORS, LLC
BMO NESBITT BURNS
SECURITIES LTD.
BMO NESBITT BURNS
TRADING CORP. S.A.
BNP PARIBAS PRIME
BROKERAGE, INC.
BNP PARIBAS SECURITIES
CORP.
BNY MELLON CAPITAL
MARKETS, LLC
BNY MELLON SECURITIES
CORPORATION
BOENNING &
SCATTERGOOD, INC.
BOFA DISTRIBUTORS, INC.
BOFA SECURITIES PRIME,
INC.
BOFA SECURITIES, INC.
BOK FINANCIAL SECURITIES,
INC.
BOLTON GLOBAL CAPITAL
BONDS.COM, INC.
BOREAL CAPITAL SECURITIES
LLC
BOSTON PARTNERS
SECURITIES, L.L.C.
BOUSTEAD SECURITIES, LLC
BRADESCO INVESTMENTS
INC.
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC
BRASIL PLURAL SECURITIES
LLC
BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BREX TREASURY LLC

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BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC
BRIGHTHOUSE SECURITIES,
LLC
BROADHAVEN SECURITIES
LLC
BROADRIDGE BUSINESS
PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD OAKTREE
WEALTH SOLUTIONS LLC
BROOKFIELD PRIVATE
ADVISORS LLC
BROWN, GIBBONS, LANG &
COMPANY SECURITIES, LLC
BROWNSTONE INVESTMENT
GROUP, LLC
BTG PACTUAL US CAPITAL,
LLC
BTIG, LLC
BUCKLER SECURITIES LLC
BUILDER ADVISOR GROUP,
LLC
BURKE & QUICK PARTNERS
LLC
BYRD TRADING, LLC
C&C TRADING L.L.C.
C. L. KING & ASSOCIATES,
INC.
C6 CAPITAL SECURITIES LLC
CABRERA CAPITAL MARKETS,
LLC
CADARET, GRANT & CO., INC.
CAIN BROTHERS &
COMPANY, LLC
CAIS CAPITAL LLC
CALAMOS FINANCIAL
SERVICES LLC
CALVERT INVESTMENT
DISTRIBUTORS, INC.
CAMBRIDGE INTERNATIONAL
SECURITIES, INC.

CAMBRIDGE INVESTMENT
RESEARCH, INC.
CAMPBELL LUTYENS & CO.
INC.
CANACCORD GENUITY LLC
CANACCORD GENUITY
SECURITIES LLC
CANACCORD WEALTH
MANAGEMENT (USA) INC.
CANTOR FITZGERALD & CO.
CAPITAL BROKERAGE
CORPORATION
CAPITAL 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.

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CLARKSON CAPITAL MARKETS LLC	COMMONWEALTH EQUITY SERVICES, LLC	CROWELL, WEEDON & CO. CRT CAPITAL GROUP LLC
CLARKSONS SECURITIES, INC.	COMPASS POINT RESEARCH & TRADING, LLC	CSCA CAPITAL ADVISORS, LLC
CLASS VI SECURITIES, LLC	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	CSP SECURITIES, LP
CLEAR STREET LLC	CONTINUITY PARTNERS GROUP, LLC	CSS, LLC
CLEARPOOL EXECUTION SERVICES, LLC	COREBRIDGE CAPITAL SERVICES, INC.	CT COLLATERAL FUNDING, LLC
CLEARY GULL INC.	CORMARK SECURITIES (USA) LIMITED	CTC, LLC
CLEVELAND RESEARCH COMPANY LLC	CORNERSTONE MACRO LLC	CUNA BROKERAGE SERVICES, INC.
CLIFTONLARSONALLEN WEALTH ADVISORS, LLC	CORNERSTONE TRADING, LLC	CURIAN CLEARING, LLC
CMCJL, LLC	CORTVIEW CAPITAL SECURITIES LLC	CURTISWOOD CAPITAL, LLC
CME BD SERVICES, INC.	COWEN AND COMPANY, LLC	CURVATURE SECURITIES LLC
CMG SECURITIES LLC	COWEN EQUITY FINANCE LP	CUSO FINANCIAL SERVICES, L.P.
CMT TRADING LLC	COWEN EXECUTION SERVICES LLC	CUTLER GROUP, LLC
CMZ TRADING, LLC	COWEN PRIME SERVICES LLC	CUTWATER ASSET MANAGEMENT CORP.
COASTAL SECURITIES, INC.	CP COGENT SECURITIES LP	CYNDX ADVISORS LLC
COBRA TRADING, INC.	CRAIG-HALLUM CAPITAL GROUP LLC	D.A. DAVIDSON & CO.
CODE ADVISORS LLC	CREDICORP CAPITAL LLC	D.M. KELLY & COMPANY
COGNITIVE CAPITAL, LLC	CREDIT AGRICOLE	DAHLMAN ROSE & COMPANY, LLC
COHEN & COMPANY CAPITAL MARKETS, LLC	CHEUVREUX NORTH AMERICA, INC.	DAIWA CAPITAL MARKETS AMERICA INC.
COHEN & COMPANY SECURITIES, LLC	CREDIT AGRICOLE SECURITIES (USA) INC.	DAIWA CORPORATE ADVISORY LLC
COHEN & STEERS SECURITIES, LLC	CREDIT SUISSE CAPITAL LLC	DANSKE MARKETS INC.
COHNREZNICK CAPITAL MARKETS SECURITIES, LLC	CREDIT SUISSE PRIME SECURITIES SERVICES (USA) LLC	DASH FINANCIAL TECHNOLOGIES LLC
COLLIERS SECURITIES LLC	CREDIT SUISSE PRIVATE ADVISORS AG	DAVENPORT & COMPANY LLC
COLLINS/BAY ISLAND SECURITIES, LLC	CREDIT SUISSE SECURITIES (USA) LLC	DAVID LERNER ASSOCIATES, INC.
COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC.	CREWS & ASSOCIATES, INC.	DAVIS DISTRIBUTORS, LLC
COMERICA SECURITIES, INC.	CRITICAL TRADING, LLC	DAVY SECURITIES
COMMERCE BROKERAGE SERVICES, INC.	CRITICALPOINT PARTNERS LLC	DAWSON JAMES SECURITIES, INC.
COMMERZ MARKETS LLC	CROSSTREE CAPITAL SECURITIES, LLC	DB SECURITIES SERVICES NJ INC.
COMMONFUND SECURITIES, INC.		DBO PARTNERS LLC
COMMONWEALTH AUSTRALIA SECURITIES LLC		DBS VICKERS SECURITIES (USA) INC.
		DEALERWEB INC.

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DELANEY EQUITY GROUP LLC
DELAWARE DISTRIBUTORS,
L.P.
DELOITTE CORPORATE
FINANCE LLC
DESJARDINS SECURITIES
INTERNATIONAL INC.
DEUTSCHE BANK SECURITIES
INC.
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIGITAL BROKERAGE
SERVICES LLC
DIMENSION TRADING
GROUP, LLC
DINOSAUR FINANCIAL
GROUP, L.L.C.
DIRECT EDGE ECN LLC
DIRECTED SERVICES LLC
DNB MARKETS, INC.
DOFT & CO., INC.
DOUGH LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DRIVEWEALTH
INSTITUTIONAL LLC
DRIVEWEALTH, LLC
DRW EXECUTION SERVICES,
LLC
DRW SECURITIES, L.L.C.
DUNDEE SECURITIES INC.
DV EQUITIES, LLC
DV SECURITIES, LLC
DVB CAPITAL MARKETS LLC
DWS DISTRIBUTORS, INC.
DZ FINANCIAL MARKETS LLC
E*TRADE CLEARING LLC
E*TRADE SECURITIES LLC
E.J. DE LA ROSA & CO., INC.
EARLYBIRDCAPITAL, INC.
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.

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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 TRUST PORTFOLIOS
L.P.
FIRST TRYON SECURITIES, LLC
FIRST WINSTON SECURITIES,
INC.
FIRSTRAD 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

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GUGGENHEIM DISTRIBUTORS, LLC	HOLD BROTHERS CAPITAL LLC	IDB CAPITAL CORP.
GUGGENHEIM FUNDS DISTRIBUTORS, LLC	HOME FINANCIAL SERVICES, INC.	IEX SERVICES LLC
GUGGENHEIM INVESTOR SERVICES, LLC	HORNOR, TOWNSEND & KENT, LLC	IFC HOLDINGS, INC.
GUGGENHEIM SECURITIES, LLC	HOULIHAN LOKEY ADVISORS, LLC	IMA WEALTH, INC.
GUZMAN & COMPANY GWN SECURITIES INC.	HOULIHAN LOKEY CAPITAL, INC.	IMC EXECUTION SERVICES LLC
GX2 SPREAD MARKETS, LLC	HOVDE GROUP, LLC	IMC SECURITIES LLC
H.C.WAINWRIGHT & CO., LLC	HOWARD WEIL INCORPORATED	IMC-CHICAGO, LLC
H2C SECURITIES INC.	HOWDEN TIGER CAPITAL MARKETS & ADVISORY, LLC	IMPERIAL CAPITAL, LLC
HAITONG INTERNATIONAL SECURITIES (USA) INC.	HPS SECURITIES, LLC	INCENTER SECURITIES GROUP LLC
HAITONG SECURITIES USA LLC	HRT EXECUTION SERVICES LLC	INCENTRUM SECURITIES, LLC
HALES SECURITIES, LLC	HRT FINANCIAL LP	INDEPENDENCE POINT SECURITIES LLC
HANCOCK WHITNEY INVESTMENT SERVICES INC.	HSBC SECURITIES (USA) INC.	INDEPENDENT FINANCIAL GROUP, LLC
HANDELSBANKEN MARKETS SECURITIES, INC.	HUATAI SECURITIES (USA), INC.	INDUSTRIAL AND COMMERCIAL BANK OF CHINA FINANCIAL SERVICES LLC
HANTZ FINANCIAL SERVICES, INC.	HUB INTERNATIONAL INVESTMENT SERVICES INC.	ING FINANCIAL MARKETS LLC
HAP TRADING, LLC	HULL PARTNERS LLC	INGALLS & SNYDER, LLC
HAPOALIM SECURITIES USA, INC.	HUNT FINANCIAL SECURITIES, LLC	INSIGNEO INTERNATIONAL FINANCIAL SERVICES LLC
HARD EIGHT TRADING, LLC	HUNTINGTON SECURITIES, INC.	INSIGNEO SECURITIES, LLC
HARDCASTLE TRADING USA L.L.C.	IB CAPITAL LLC	INSPEREX LLC
HARRIS WILLIAMS LLC	IBERIA CAPITAL PARTNERS L.L.C.	INSTITUTIONAL CASH DISTRIBUTORS, LLC
HARTFORD FUNDS DISTRIBUTORS, LLC	IBKR SECURITIES SERVICES LLC	INTELLIGENT CROSS LLC
HAYWOOD SECURITIES (USA) INC.	IBS HOLDING CORPORATION	INTERACTIVE BROKERS CORP.
HBK GLOBAL SECURITIES L.P.	ICAPITAL MARKETS LLC	INTERACTIVE BROKERS LLC
HEALTHCARE COMMUNITY SECURITIES CORP.	ICBC STANDARD SECURITIES INC.	INTERCOASTAL CAPITAL MARKETS, INC.
HEFREN-TILLOTSON, INC.	ICE BONDS SECURITIES CORPORATION	INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC
HENNION & WALSH, INC.	ICE SECURITIES EXECUTION & CLEARING, LLC	INTESA SANPAOLO IMI SECURITIES CORP.
HERBERT J. SIMS & CO, INC.	ICM SECURITIES, LLC	INTL FILLMORE ADVISORS LLC
HFF SECURITIES L.P.	ICR CAPITAL LLC	INTREPID INVESTMENT BANKERS LLC
HIGHTOWER SECURITIES, LLC		INTREPID PARTNERS, LLC
HILLTOP SECURITIES INC.		INVEMED ASSOCIATES LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2025

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
J.W. COLE FINANCIAL, INC.
JACKSON NATIONAL LIFE
DISTRIBUTORS LLC
JAG TRADING L.L.C.
JANE STREET CAPITAL, LLC
JANE STREET EXECUTION
SERVICES, LLC
JANE STREET MARKETS, LLC
JANNEY MONTGOMERY
SCOTT LLC
JANUS HENDERSON
DISTRIBUTORS US LLC
JEFFERIES BACHE
SECURITIES, LLC
JEFFERIES EXECUTION
SERVICES, INC.

JEFFERIES HIGH YIELD
TRADING, LLC
JEFFERIES LLC
JOE JOLLY & CO., INC.
JOHN HANCOCK
DISTRIBUTORS LLC
JOHN HANCOCK
INVESTMENT MANAGEMENT
DISTRIBUTORS LLC
JOHNSON RICE & COMPANY
L.L.C.
JONES LANG LASALLE
SECURITIES, LLC
JONESTRADING
INSTITUTIONAL SERVICES LLC
JPMORGAN DISTRIBUTION
SERVICES, INC.
JUMP EXECUTION, LLC
JUMP TRADING, LLC
JVB FINANCIAL GROUP, LLC
JWTT INC.
KBC SECURITIES USA LLC
KBFG SECURITIES AMERICA
INC.
KEEFE, BRUYETTE & WOODS,
INC.
KEPLER CAPITAL MARKETS,
INC.
KESTRA INVESTMENT
SERVICES, LLC
KEY INVESTMENT SERVICES
LLC
KEYBANC CAPITAL MARKETS
INC.
KEZAR TRADING, LLC
KGS-ALPHA CAPITAL
MARKETS, L.P.
KIPPSDESANTO & COMPANY
KKR CAPITAL MARKETS 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
LIQUIDITYEDGE, LLC.
LIQUIDNET, INC.
LIQUIDPOINT, LLC
LLOYDS SECURITIES INC.
LOEB PARTNERS
CORPORATION
LOMBARD ODIER
TRANSATLANTIC LIMITED

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2025

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.
MAPLE SECURITIES U.S.A.
INC.
MARATHON CAPITAL
MARKETS, LLC
MAREX CAPITAL MARKETS
INC.
MAREX NORTH AMERICA
SECURITIES LLC
MARIVA CAPITAL MARKETS,
LLC
MARKTAXESS
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.
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.

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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
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.
NORTHERN TRUST
SECURITIES, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL
INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE SECURITIES LLC
O'NEIL SECURITIES
INCORPORATED
OASIS PRO MARKETS LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK
CORPORATION
ODEON CAPITAL GROUP LLC

OHIO NATIONAL EQUITIES,
INC.
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC
ONEAMERICA SECURITIES,
INC.
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

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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
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.
REPUBLIC PARTNERS, LLC
RESOLUTE INVESTMENT
DISTRIBUTORS, INC.
REUTERS TRANSACTION
SERVICES LLC
RGM SECURITIES, LLC
RIVERSOURCE
DISTRIBUTORS, INC.
RIVERSTONE CAPITAL
SERVICES LLC
ROBERT W. BAIRD & CO.
INCORPORATED
ROBINHOOD FINANCIAL, LLC

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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
SAMMONS FINANCIAL
NETWORK, LLC
SAMSUNG SECURITIES
(AMERICA), INC.
SAMUEL A. RAMIREZ &
COMPANY, INC.
SANDERS MORRIS HARRIS
INC.
SANDLER, O'NEILL &
PARTNERS, L.P.
SANFORD C. BERNSTEIN &
CO., LLC

SANTANDER INTERNATIONAL
SECURITIES, INC.
SANTANDER INVESTMENT
SECURITIES INC.
SANTANDER SECURITIES LLC
SANTANDER US CAPITAL
MARKETS LLC
SAYBRUS EQUITY SERVICES,
INC
SBERBANK CIB USA, INC
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

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SPURRIER CAPITAL PARTNERS LLC
SS&C MARKET SERVICES, LLC
STANDARD CHARTERED SECURITIES NORTH AMERICA LLC
STANDARD CREDIT SECURITIES INC.
STANDARD NEW YORK, INC.
STASH CAPITAL LLC
STATE FARM VP MANAGEMENT CORP.
STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC
STATE STREET GLOBAL MARKETS, LLC
STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING, GRACE MUNICIPAL SECURITIES CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STEWART PARTNERS INVESTMENT SOLUTIONS, LLC
STIFEL, NICOLAUS & COMPANY, INCORPORATED
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 (USA) LLC
TD SECURITIES AUTOMATED TRADING LLC
TEACHERS PERSONAL INVESTORS SERVICES, INC.
TELEMETRY SECURITIES, L.L.C.
TELSEY ADVISORY GROUP LLC
TFS DERIVATIVES LLC
THE BAKER GROUP, LP
THE BANK STREET GROUP L.L.C.
THE BENCHMARK COMPANY, LLC
THE BUCKINGHAM RESEARCH GROUP INCORPORATED
THE GMS GROUP, LLC
THE HUNTINGTON INVESTMENT COMPANY
THE KLEIN GROUP, LLC
THE LEADERS GROUP, INC.
THE 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.

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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
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

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VOYA FINANCIAL ADVISORS,
INC.
VOYA FINANCIAL PARTNERS,
LLC
VOYA INVESTMENTS
DISTRIBUTOR, LLC
VOYA RETIREMENT
ADVISORS, LLC
VP DISTRIBUTORS LLC
VRA PARTNERS, LLC
WACHTEL & CO., INC.
WADDELL & REED, INC.
WAKE USA LLC
WALL STREET ACCESS
WALLACHBETH CAPITAL LLC
WALLEYE TRADING LLC
WALNUT STREET SECURITIES,
INC.
WEALTHFRONT BROKERAGE
LLC
WEBULL FINANCIAL LLC
WEDBUSH SECURITIES INC.
WEEDEN & CO.L.P.
WELLINGTON SHIELDS & CO.,
LLC
WELLS FARGO ADVISORS
FINANCIAL NETWORK, LLC
WELLS FARGO CLEARING
SERVICES, LLC
WELLS FARGO
INSTITUTIONAL SECURITIES,
LLC
WELLS FARGO PRIME
SERVICES, LLC
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