

---

---

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

**Determination of Payment under PCAOB Rule 7104(b)**

**As of April 15, 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 April 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>).

---

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

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

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

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

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

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  
CITIC SECURITIES  
INTERNATIONAL USA, LLC  
CITICORP SECURITIES  
SERVICES, INC.  
CITIGROUP DERIVATIVES  
MARKETS INC.  
CITIGROUP GLOBAL  
MARKETS INC.  
CITIZENS CAPITAL MARKETS,  
INC.  
CITIZENS JMP SECURITIES,  
LLC  
CITIZENS SECURITIES, INC.  
CITY NATIONAL SECURITIES,  
INC.  
CITY SECURITIES  
CORPORATION

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

CLARK SECURITIES, INC.  
CLARKSON CAPITAL  
MARKETS LLC  
CLARKSONS SECURITIES, INC.  
CLASS VI SECURITIES, LLC  
CLEAR STREET LLC  
CLEARPOOL EXECUTION  
SERVICES, LLC  
CLEARY GULL INC.  
CLEVELAND RESEARCH  
COMPANY LLC  
CLIFTONLARSONALLEN  
WEALTH ADVISORS, LLC  
CLSA AMERICAS, LLC  
CMCJL, LLC  
CME BD SERVICES, INC.  
CMG SECURITIES LLC  
CMT TRADING LLC  
CMZ TRADING, LLC  
COASTAL SECURITIES, INC.  
COBRA TRADING, INC.  
CODE ADVISORS LLC  
COGNITIVE CAPITAL, LLC  
COHEN & COMPANY CAPITAL  
MARKETS, LLC  
COHEN & COMPANY  
SECURITIES, LLC  
COHEN & STEERS  
SECURITIES, LLC  
COHNREZNICK CAPITAL  
MARKETS SECURITIES, LLC  
COLLIERS SECURITIES LLC  
COLLINS/BAY ISLAND  
SECURITIES, LLC  
COLUMBIA MANAGEMENT  
INVESTMENT DISTRIBUTORS,  
INC.  
COMERICA SECURITIES, INC.  
COMMERCE BROKERAGE  
SERVICES, INC.  
COMMERZ MARKETS LLC  
COMMONFUND SECURITIES,  
INC.

COMMONWEALTH  
AUSTRALIA SECURITIES LLC  
COMMONWEALTH EQUITY  
SERVICES, LLC  
COMPASS POINT RESEARCH  
& TRADING, LLC  
CONCOURSE FINANCIAL  
GROUP SECURITIES, INC.  
CONTINUITY PARTNERS  
GROUP, LLC  
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

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

DBS VICKERS SECURITIES  
(USA) INC.  
DEALERWEB INC.  
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

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

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 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  
GEORGESON SECURITIES  
CORPORATION  
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

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

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  
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.



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

INTL FILLMORE ADVISORS  
 LLC  
 INTREPID INVESTMENT  
 BANKERS LLC  
 INTREPID PARTNERS, LLC  
 INVEMED ASSOCIATES LLC  
 INVESCO CAPITAL MARKETS,  
 INC.  
 INVESCO DISTRIBUTORS, INC.  
 INVESTACORP, INC.  
 INVESTEC SECURITIES (US)  
 LLC  
 INVESTMENT CENTERS OF  
 AMERICA, INC.  
 INVESTMENT DISTRIBUTORS,  
 INC.  
 INVESTMENT PLACEMENT  
 GROUP  
 INVEX, LLC.  
 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

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

LIONTREE ADVISORS LLC  
LIQUIDITYEDGE, LLC.  
LIQUIDNET, INC.  
LIQUIDPOINT, LLC  
LLOYDS SECURITIES INC.  
LOEB PARTNERS  
CORPORATION  
LOMBARD ODIER  
TRANSATLANTIC LIMITED  
LOOP CAPITAL MARKETS LLC  
LORD ABBETT DISTRIBUTOR  
LLC  
LPL FINANCIAL LLC  
LUMA SECURITIES LLC  
LUMENT SECURITIES, LLC  
LUPO SECURITIES, LLC  
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  
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.  
MIDDLEGATE 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

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

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  
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

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

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  
PLANMEMBER SECURITIES  
CORPORATION  
PMA SECURITIES, LLC  
PNC CAPITAL MARKETS LLC  
PNC INVESTMENTS LLC  
POPULAR SECURITIES, LLC  
PORTIGON SECURITIES INC.  
POTAMUS TRADING, LLC  
PRAGMA LLC  
PRECISION SECURITIES, LLC  
PREFERRED CAPITAL  
SECURITIES, LLC  
PRICEWATERHOUSECOOPE  
RS CORPORATE FINANCE LLC  
PRIME CAPITAL MARKETS,  
LLC  
PRIME DEALER SERVICES  
CORP.  
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

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

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  
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.

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

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.  
 STERNE, AGEE & LEACH, INC.  
 STEWARD PARTNERS  
 INVESTMENT SOLUTIONS,  
 LLC  
 STIFEL, NICOLAUS &  
 COMPANY, INCORPORATED  
 STOCKCROSS FINANCIAL  
 SERVICES, INC.  
 STOEVEER, 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

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

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  
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

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

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