
**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 August 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 August 15, 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 August 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 August 15, 2025

AUTONOMOUS RESEARCH
 LLP
 AVANTAX INVESTMENT
 SERVICES, INC.
 AVATAR CAPITAL GROUP LLC
 AVATAR SECURITIES, LLC
 AVM, L.P.
 AXOS CLEARING LLC
 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

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

BREX TREASURY LLC
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 August 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 August 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 August 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 August 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 August 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 August 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.
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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of August 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 August 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 August 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 August 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.
STEWART 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 August 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 August 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