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

Determination of Payment under PCAOB Rule 7104(b)

As of December 01, 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 December 01, 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 December 01, 2025

	*	*	*
&PARTNERS	ALLSTATE FINANCIAL		APTO PARTNERS, LLC
2021 CAPITAL, LLC	SERVICES, LLC		AQR INVESTMENTS, LLC
280 SECURITIES LLC	ALLSTON TRADING LLC		AQUILO PARTNERS, L.P.
303 EQUITY TRADING GROUP	ALLY INVEST SECURITIES LLC		ARBOR RESEARCH &
II, LLC	ALLY SECURITIES LLC		TRADING, LLC
A. R. SCHMEIDLER & CO.,	ALPACA SECURITIES LLC		ARCA CAPITAL
INC.	ALPHA TRADING L.P.		INVESTMENTS, INC.
A.B. FINANCIAL L.L.C.	ALPINE SECURITIES		ARCHIPELAGO TRADING
A.G.P. / ALLIANCE GLOBAL	CORPORATION		SERVICES, INC.
PARTNERS, LLC	ALTERNA SECURITIES, INC.		ARCOLA SECURITIES, INC.
AARDVARK SECURITIES LLC	ALTRUIST FINANCIAL LLC		ARDEA PARTNERS LP
ABBEY NATIONAL SECURITIES	ALVAREZ & MARSAL		ARES WEALTH
INC.	SECURITIES, LLC		MANAGEMENT SOLUTIONS,
ABEL NOSER, LLC.	AMERANT INVESTMENTS,		LLC
ABEL/NOSER CORP.	INC.		ARIEL DISTRIBUTORS, LLC
ABG SUNDAL COLLIER INC.	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
ADVISORS ASSET	COMPANY, LLC		SERVICES, INC.
MANAGEMENT, INC.	AMERIVET SECURITIES, INC.		ASSOCIATED OPTIONS, INC.
AEGIS CAPITAL CORP.	AMHERST SECURITIES		ATHENE SECURITIES, LLC
AERIS PARTNERS LLC	GROUP, L.P.		ATLANTIC - PACIFIC CAPITAL,
AIG FINANCIAL SECURITIES	AMS DERIVATIVES B.V.		INC.
CORP.	AMUNDI DISTRIBUTOR US,		ATLAS ONE FINANCIAL
AK CAPITAL LLC	INC.		GROUP, LLC
AKUNA SECURITIES LLC	AMUNI FINANCIAL, INC.		ATLAS TECHNOLOGY GROUP
ALADDIN CAPITAL LLC	ANGEL ISLAND CAPITAL		LLC
ALANTRA, LLC	SERVICES, LLC		AUERBACH GRAYSON &
ALLEN & COMPANY LLC	ANZ SECURITIES, INC.		COMPANY LLC
ALLIANCEBERNSTEIN	AON SECURITIES LLC		AURIGA USA, LLC
INVESTMENTS, INC.	APERTURE, LLC		AUTOMATED TRADING DESK
ALLIANZ LIFE FINANCIAL	APEX CLEARING		BROKERAGE SERVICES, LLC
SERVICES, LLC	CORPORATION		AUTONOMOUS RESEARCH
ALLSPRING FUNDS	APOLLO GLOBAL SECURITIES,		LLP
DISTRIBUTOR, LLC	LLC		

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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
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
BCI SECURITIES, INC.
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.
BERNSTEIN INSTITUTIONAL
SERVICES LLC
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
GKST INC.

BMO HARRIS FINANCIAL
ADVISORS, INC.
BMO INVESTMENT
DISTRIBUTORS, LLC
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 SECURITIES, INC.
BRANDT EQUITIES LLC
BRASIL PLURAL SECURITIES
LLC
BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BREX TREASURY LLC
BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC
BRIGHTHOUSE SECURITIES,
LLC
BROADHAVEN SECURITIES
LLC

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BROADRIDGE BUSINESS
 PROCESS OUTSOURCING, LLC
 BROKERTEC AMERICAS LLC
 BROOKFIELD OAKTREE
 WEALTH SOLUTIONS LLC
 BROOKFIELD PRIVATE
 ADVISORS LLC
 BROOKFIELD SECURITIES 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
 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.
 CAPSTONE CAPITAL
 MARKETS LLC
 CARBON REDUCTION
 CAPITAL, LLC
 CARILLON FUND
 DISTRIBUTORS, INC.
 CARTA CAPITAL MARKETS,
 LLC
 CARTY, HARDING & HEARN,
 INC.
 CASGRAIN & COMPANY
 (USA) LIMITED
 CASTLEOAK SECURITIES, LP
 CBOE FIXED INCOME
 MARKETS, LLC
 CBOE TRADING, INC.
 CBRE CAPITAL ADVISORS,
 INC.
 CCA CAPITAL LLC
 CCB INTERNATIONAL
 OVERSEAS (USA) INC.
 CCS TRANSACTIONS, LLC
 CENTAURUS FINANCIAL, INC.
 CENTERVIEW PARTNERS LLC
 CETERA ADVISORS LLC
 CETERA FINANCIAL
 SPECIALISTS LLC
 CETERA INVESTMENT
 SERVICES LLC
 CETERA WEALTH 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
 CLARK SECURITIES, INC.

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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
COLLIERS SECURITIES LLC
COLLINS/BAY ISLAND
SECURITIES, LLC
COLUMBIA MANAGEMENT
INVESTMENT DISTRIBUTORS,
INC.
COMERICA SECURITIES, INC.
COMHAR CAPITAL MARKETS,
LLC
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
COUNTRY CLUB FINANCIAL
SERVICES, INC.
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
CROFT & BENDER, LP

CROSSTREE CAPITAL
SECURITIES, LLC
CROWELL, WEEDON & CO.
CRT CAPITAL GROUP LLC
CSCA CAPITAL ADVISORS, LLC
CSS, LLC
CT COLLATERAL FUNDING,
LLC
CTC, LLC
CUNA BROKERAGE SERVICES,
INC.
CURIAN CLEARING, LLC
CURTISWOOD CAPITAL, LLC
CURVATURE SECURITIES LLC
CUTLER GROUP, LLC
CUTWATER ASSET
MANAGEMENT CORP.
CVC FUNDING, LLC
CYNDX ADVISORS LLC
D. BORAL CAPITAL LLC
D.A. DAVIDSON & CO.
D.M. KELLY & COMPANY
DAHLMAN ROSE &
COMPANY, LLC
DAIWA CAPITAL MARKETS
AMERICA INC.
DANSKE MARKETS INC.
DASH FINANCIAL
TECHNOLOGIES LLC
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DAWSON JAMES SECURITIES,
INC.
DB SECURITIES SERVICES NJ
INC.
DBO PARTNERS LLC
DBS VICKERS SECURITIES
(USA) INC.
DCCA SECURITIES, LLC
DEALERWEB LLC
DELANEY EQUITY GROUP LLC

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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
 DOFT & CO., INC.
 DOMINARI SECURITIES LLC
 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.
 EASTDIL SECURED ADVISORS
 LLC

EATON PARTNERS, LLC
 EATON VANCE
 DISTRIBUTORS, INC.
 EBX LLC
 ECHOTRADE LLC
 EDMONT 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
 FELTL & COMPANY
 FHN FINANCIAL SECURITIES
 CORP.
 FIDELITY BROKERAGE
 SERVICES LLC
 FIDELITY DISTRIBUTORS
 COMPANY LLC
 FIDELITY DISTRIBUTORS
 CORPORATION
 FIDELITY PRIME FINANCING,
 LLC
 FIFTH THIRD SECURITIES,
 INC.
 FIG PARTNERS, LLC
 FINANCIAL NORTHEASTERN
 SECURITIES, INC.
 FIRST ALLIED SECURITIES,
 INC.
 FIRST ANALYSIS SECURITIES
 CORPORATION
 FIRST BALLANTYNE, LLC
 FIRST BANKERS' BANC
 SECURITIES, INC
 FIRST BROKERS SECURITIES
 LLC
 FIRST CITIZENS CAPITAL
 SECURITIES, LLC
 FIRST CITIZENS INVESTOR
 SERVICES, INC.
 FIRST CITIZENS SECURITIES
 CORPORATION
 FIRST CLEARING, LLC
 FIRST COMMAND
 BROKERAGE SERVICES, INC.
 FIRST DERIVATIVE TRADERS,
 L.P.
 FIRST EMPIRE SECURITIES,
 INC.

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FIRST HORIZON ADVISORS,
 INC.
 FIRST MANHATTAN
 SECURITIES LLC
 FIRST NATIONAL CAPITAL
 MARKETS, INC.
 FIRST NEW YORK SECURITIES
 L.L.C.
 FIRST PUBLIC, LLC
 FIRST REPUBLIC SECURITIES
 COMPANY, LLC
 FIRST SOUTHWEST
 COMPANY, LLC
 FIRST TRUST PORTFOLIOS
 L.P.
 FIRST TRYON SECURITIES, LLC
 FIRST WINSTON SECURITIES,
 INC.
 FIRSTRADE SECURITIES INC.
 FIS BROKERAGE &
 SECURITIES SERVICES LLC
 FIXED INCOME CAPITAL
 PARTNERS, LLC
 FLAGSTAR ADVISORS INC
 FLEXTRADE LLC
 FLORIDA ATLANTIC
 SECURITIES CORP.
 FLOURISH FINANCIAL LLC
 FLOW TRADERS U.S.
 INSTITUTIONAL TRADING LLC
 FM PARTNERS HOLDINGS LLC
 FMI CAPITAL ADVISORS, INC.
 FMSBONDS, INC.
 FMX EXECUTION, LLC
 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.
 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
 GAMMA SECURITIES, LLC
 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
 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 PACIFIC SECURITIES
 GREAT POINT CAPITAL LLC
 GREEN PIER FINTECH LLC
 GREEN STREET ADVISORS,
 LLC
 GREENSLEDGE CAPITAL
 MARKETS LLC
 GRIFFIN CAPITAL SECURITIES,
 LLC
 GRIFFIN FINANCIAL GROUP,
 LLC
 GRIFFITHS MCBURNEY CORP.
 GROUP ONE TRADING LLC
 GROVE POINT INVESTMENTS,
 LLC
 GTS EXECUTION SERVICES
 LLC
 GTS SECURITIES LLC
 GUARDIAN INVESTOR
 SERVICES LLC
 GUGGENHEIM
 DISTRIBUTORS, LLC
 GUGGENHEIM FUNDS
 DISTRIBUTORS, LLC

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GUGGENHEIM INVESTOR SERVICES, LLC
 GUGGENHEIM SECURITIES, LLC
 GUZMAN & COMPANY GWN SECURITIES INC.
 GX2 SPREAD MARKETS, LLC
 H2C SECURITIES INC.
 HAITONG SECURITIES USA LLC
 HALES SECURITIES, LLC
 HANCOCK WHITNEY INVESTMENT SERVICES INC.
 HANDELSBANKEN MARKETS SECURITIES, INC.
 HANSON MCCLAIN RETIREMENT NETWORK, LLC
 HANTZ FINANCIAL SERVICES, INC.
 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
 HIIVE MARKETS LIMITED
 HILLTOP SECURITIES INC.
 HOLD BROTHERS CAPITAL LLC
 HOME FINANCIAL SERVICES, INC.

HOULIHAN LOKEY ADVISORS, LLC
 HOULIHAN LOKEY CAPITAL, INC.
 HOVDE GROUP, LLC
 HOWARD WEIL INCORPORATED
 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
 ICBC STANDARD SECURITIES INC.
 ICE SECURITIES EXECUTION & CLEARING, LLC
 ICM SECURITIES, LLC
 ICR CAPITAL LLC
 IDB CAPITAL CORP.
 IEX SERVICES LLC
 IFC HOLDINGS, INC.
 IMA WEALTH, INC.
 IMC EXECUTION SERVICES LLC
 IMC SECURITIES LLC
 IMC-CHICAGO, LLC
 IMPERIAL CAPITAL, LLC
 INCENTER SECURITIES GROUP LLC
 INCENTRUM SECURITIES, LLC
 INDEPENDENCE POINT SECURITIES LLC

INDEPENDENT FINANCIAL GROUP, LLC
 INDUSTRIAL AND COMMERCIAL BANK OF CHINA FINANCIAL SERVICES LLC
 ING FINANCIAL MARKETS LLC
 INGALLS & SNYDER, LLC
 INSIGNEO INTERNATIONAL FINANCIAL SERVICES LLC
 INSIGNEO SECURITIES, LLC
 INSPEREX LLC
 INSTITUTIONAL CASH DISTRIBUTORS, LLC
 INTELLIGENT CROSS LLC
 INTERACTIVE BROKERS CORP.
 INTERACTIVE BROKERS LLC
 INTERCOASTAL CAPITAL MARKETS, INC.
 INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC
 INTESA SANPAOLO IMI SECURITIES CORP.
 INTL FILLMORE ADVISORS LLC
 INTREPID INVESTMENT BANKERS LLC
 INTREPID PARTNERS, LLC
 INVEMED ASSOCIATES LLC
 INVESCO CAPITAL MARKETS, INC.
 INVESCO DISTRIBUTORS, INC.
 INVESTACORP, INC.
 INVESTEC SECURITIES (US) LLC
 INVESTMENT CENTERS OF AMERICA, INC.
 INVESTMENT DISTRIBUTORS, INC.
 INVESTMENT PLACEMENT GROUP
 INVEX, LLC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 01, 2025

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.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
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
KEEFE, BRUYETTE & WOODS,
INC.
KEPLER CAPITAL MARKETS,
INC.
KEY INVESTMENT SERVICES
LLC
KEYBANC CAPITAL MARKETS
INC.
KGS-ALPHA CAPITAL
MARKETS, L.P.
KIPPSDESANTO & COMPANY
KKR CAPITAL MARKETS II 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
L.M. KOHN & 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
LEVEL MARKETS, 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
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.
MANULIFE JOHN HANCOCK
BROKERAGE SERVICES LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 01, 2025

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.
MATRIX EXECUTIONS, LLC
MATTHEWS SOUTH, LLC
MAVEN GLOBAL MARKETS
TRADING LLP
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
METRIC POINT CAPITAL, LLC

MFR SECURITIES, INC.
MFS FUND DISTRIBUTORS,
INC.
MICROVENTURE
MARKETPLACE INC.
MIDDLEGATE SECURITIES
INC.
MIDLAND SECURITIES, LTD
MILLBURN RIDGEFIELD LLC
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.
MTS SECURITIES, LLC
MUFG AMERICAS
CORPORATE ADVISORY, INC.
MUFG SECURITIES AMERICAS
INC.
MULTI-BANK SECURITIES,
INC.
MUTUAL OF AMERICA LIFE
INSURANCE COMPANY
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
N.I.S. FINANCIAL SERVICES,
INC.
NABSECURITIES, LLC
NASDAQ EXECUTION
SERVICES, LLC
NASDAQ OPTIONS SERVICES,
LLC
NATALLIANCE SECURITIES,
LLC
NATHAN HALE CAPITAL, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 01, 2025

NATIONAL BANK OF CANADA
FINANCIAL INC.
NATIONAL FINANCIAL
SERVICES LLC
NATIONAL PLANNING
CORPORATION
NATIONAL SECURITIES
CORPORATION
NATIONWIDE FUND
DISTRIBUTORS LLC
NATIONWIDE SECURITIES,
LLC
NATIXIS DERIVATIVES INC.
NATIXIS DISTRIBUTION, LLC
NATIXIS SECURITIES
AMERICAS LLC
NATWEST MARKETS
SECURITIES INC.
NBC SECURITIES, INC.
NBF SECURITIES (USA) CORP.
NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NETREX CAPITAL MARKETS,
LLC
NETWORK 1 FINANCIAL
SECURITIES INC.
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE SECURITIES, LLC
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 DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
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 SERVICES, INC.
OSAIC WEALTH, INC.
OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE, LLC
PACER FINANCIAL, INC.
PACIFIC CENTURY
SECURITIES, LLC
PACIFIC CREST SECURITIES
LLC
PACIFIC SELECT
DISTRIBUTORS, LLC
PALAFOX TRADING LLC
PARADIGM EQUITIES, INC.
PARETO SECURITIES INC.
PARIS SECURITIES
CORPORATION
PARK AVENUE SECURITIES
LLC
PARK HILL REAL ESTATE
GROUP LLC
PARK SUTTON SECURITIES,
LLC
PARKLAND SECURITIES, LLC
PAULSON INVESTMENT
COMPANY LLC
PAYCHEX SECURITIES
CORPORATION
PEAK6 CAPITAL
MANAGEMENT LLC
PEAK6 PERFORMANCE
MANAGEMENT LLC
PEAK6 VEGA MASTER FUND
LLC
PENSERRA SECURITIES, LLC
PENSON FINANCIAL
SERVICES, INC.
PEOPLE'S SECURITIES, INC.

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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.J. O'BRIEN SECURITIES, 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 LTD
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
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

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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.
 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
 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 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.
 SHERMAN & COMPANY LLC
 SIEBERT WILLIAMS SHANK &
 CO., LLC
 SIERRA PACIFIC SECURITIES,
 LLC
 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
 SIXPOINT PARTNERS LLC

SMBC NIKKO SECURITIES
 AMERICA, INC.
 SMBC NIKKO SECURITIES
 CANADA, LTD.
 SOFI SECURITIES LLC
 SOLEBURY CAPITAL LLC
 SOLOMON PARTNERS
 SECURITIES, LLC
 SOUTH STREET SECURITIES
 LLC
 SOUTHSTATE|DUNCANWILLI
 AMS SECURITIES CORP.
 SPARTAN CAPITAL
 SECURITIES, LLC
 SPC CAPITAL MARKETS LLC
 SPHINX TRADING, LP
 SPIDERROCK EXS, LLC
 SPOT TRADING L.L.C.
 SPROTT GLOBAL RESOURCE
 INVESTMENTS LTD
 SPURRIER CAPITAL
 PARTNERS LLC
 SS&C MARKET SERVICES, LLC
 STANDARD CHARTERED
 SECURITIES NORTH AMERICA
 LLC
 STANDARD CREDIT
 SECURITIES INC.
 STANDARD NEW YORK, INC.
 STATE FARM VP
 MANAGEMENT CORP.
 STATE STREET GLOBAL
 ADVISORS FUNDS
 DISTRIBUTORS, LLC
 STATE STREET GLOBAL
 MARKETS, LLC
 STEBEN & COMPANY, LLC
 STEPHENS INC.
 STERLING SMITH
 CORPORATION
 STERLING, GRACE
 MUNICIPAL SECURITIES
 CORPORATION
 STERN BROTHERS & CO.

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STERNE, AGEE & LEACH, INC.
 STEWARD PARTNERS
 INVESTMENT SOLUTIONS,
 LLC
 STIFEL, NICOLAUS &
 COMPANY, INCORPORATED
 STOCKCROSS FINANCIAL
 SERVICES, INC.
 STOEVEY, GLASS & COMPANY
 INC.
 STONE & YOUNGBERG LLC
 STONEPEAK SECURITIES LLC
 STONEX FINANCIAL INC.
 STORMHARBOUR SECURITIES
 LP
 STOUT CAPITAL, LLC
 STRATEGAS SECURITIES, LLC
 STUDENT OPTIONS, LLC
 SUMMIT BROKERAGE
 SERVICES, INC.
 SUMMIT SECURITIES GROUP
 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.
 TCBI SECURITIES, INC.
 TCG CAPITAL MARKETS L.L.C.
 TD AMERITRADE CLEARING,
 INC.
 TD AMERITRADE, INC.
 TD ARRANGED SERVICES LLC
 TD FINANCIAL PRODUCTS LLC
 TD PRIME SERVICES LLC
 TD PRIVATE CLIENT WEALTH
 LLC
 TD SECURITIES (USA) LLC
 TEACHERS PERSONAL
 INVESTORS SERVICES, INC.
 TELEMETRY SECURITIES,
 L.L.C.
 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 KLEIN GROUP, LLC
 THE LEADERS GROUP, INC.
 THE O.N. EQUITY SALES
 COMPANY

THE VERTICAL TRADING
 GROUP, LLC
 THE WILLIAMS CAPITAL
 GROUP, L.P.
 THINKEQUITY LLC
 THOMA BRAVO CAPITAL
 MARKETS, LLC
 THOMAS WEISEL PARTNERS
 LLC
 THREE BROTHERS TRADING,
 LLC
 THRIVENT DISTRIBUTORS,
 LLC
 THRIVENT INVESTMENT
 MANAGEMENT INC.
 TIAA-CREF INDIVIDUAL &
 INSTITUTIONAL SERVICES,
 LLC
 TIBRA TRADING AMERICA
 LLC
 TICKRS CLEARING
 TICONDEROGA SECURITIES
 LLC
 TIDAL PARTNERS, LLC
 TIGRESS FINANCIAL
 PARTNERS, LLC
 TJM INVESTMENTS, LLC
 TM CAPITAL CORP.
 TMC BONDS L.L.C.
 TMT INVESTMENTS, LLC
 TORA TRADING SERVICES,
 LLC
 TORO TRADING LLC
 TOUCHSTONE SECURITIES,
 INC.
 TOURMALINE PARTNERS, LLC
 TOWER PRINCIPAL MARKETS
 LLC
 TOWER SQUARE SECURITIES,
 INC.
 TOWERS WATSON CAPITAL
 MARKETS INC.
 TP ICAP GLOBAL MARKETS
 AMERICAS LLC

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TRADE INFORMATICS LLC
 TRADE-PMR INC.
 TRADEBOT SYSTEMS, INC.
 TRADELINK L.L.C.
 TRADELINK SECURITIES, LLC
 TRADEMAS INC.
 TRADEUP SECURITIES, INC.
 TRADEWEB DIRECT LLC
 TRADEWEB L.L.C
 TRADITION SECURITIES AND
 DERIVATIVES LLC
 TRANSAMERICA CAPITAL, LLC
 TRANSAMERICA FINANCIAL
 ADVISORS, LLC
 TRANSAMERICA INVESTORS
 SECURITIES, LLC
 TRANSMARKET GROUP L.L.C.
 TRC MARKETS LLC
 TRIAD ADVISORS LLC
 TRIBAL CAPITAL MARKETS,
 LLC
 TRIPLETREE, LLC
 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 EXECUTION
 SERVICES, LLC
 TWO SIGMA SECURITIES, LLC
 TZ CLEAR LLC
 UBS ASSET MANAGEMENT
 (US) INC.
 UBS FINANCIAL SERVICES
 INC.

UBS FINANCIAL SERVICES
 INCORPORATED OF PUERTO
 RICO
 UMB FINANCIAL SERVICES,
 INC.
 UNICREDIT CAPITAL
 MARKETS LLC
 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.
 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
 VELOX CLEARING LLC
 VICENTE & PARTNERS LLC
 VINING-SPARKS IBG, LLC
 VIRTU AMERICAS LLC
 VIRTU FINANCIAL BD LLC
 VIRTU FINANCIAL CAPITAL
 MARKETS LLC
 VIRTU ITG LLC

VIRTUS CAPITAL MARKETS
 LLC
 VISION FINANCIAL MARKETS
 LLC
 VISTA POINT ADVISORS, LLC
 VOLANT LIQUIDITY, LLC
 VOYA FINANCIAL ADVISORS,
 INC.
 VOYA FINANCIAL PARTNERS,
 LLC
 VOYA INVESTMENTS
 DISTRIBUTOR, LLC
 VOYA RETIREMENT
 ADVISORS, LLC
 VP DISTRIBUTORS LLC
 VRA PARTNERS, LLC
 WACHTEL & CO., INC.
 WADDELL & REED, INC.
 WAKE USA LLC
 WALL STREET ACCESS
 WALLACHBETH CAPITAL LLC
 WALNUT STREET SECURITIES,
 INC.
 WEALTHFRONT BROKERAGE
 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
 WESTMINSTER RESEARCH
 ASSOCIATES LLC
 WESTPAC CAPITAL MARKETS
 LLC
 WILLIAM BLAIR & COMPANY
 L.L.C.
 WILLIAMS TRADING LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of December 01, 2025

WILLIS TOWERS WATSON
SECURITIES, 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
X-CHANGE FINANCIAL
ACCESS, 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