
**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 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 December 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 December 15, 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
 CORP.

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
 BRIGHOUSE SECURITIES,
 LLC

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BROADHAVEN SECURITIES
LLC
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

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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
 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
 DAVY SECURITIES
 DAWSON JAMES SECURITIES,
 INC.
 DB SECURITIES SERVICES NJ
 INC.
 DBO PARTNERS LLC
 DBS VICKERS SECURITIES
 (USA) INC.
 DCCA SECURITIES, LLC

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DEALERWEB LLC
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
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
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
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.

Public Company Accounting Oversight Board
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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 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
 FLOW TRADERS U.S. 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

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GUGGENHEIM
 DISTRIBUTORS, LLC
 GUGGENHEIM FUNDS
 DISTRIBUTORS, LLC
 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.

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INVESTMENT DISTRIBUTORS,
 INC.
 INVESTMENT PLACEMENT
 GROUP
 INVEX, LLC.
 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
 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
 L.M. KOHN & COMPANY
 LADDER CAPITAL SECURITIES
 LLC
 LADENBURG THALMANN &
 CO. INC.
 LAFISE SECURITIES LLC
 LAKE STREET CAPITAL
 MARKETS, LLC
 LAKESHORE SECURITIES, L.P.
 LARRAINVIAL SECURITIES US
 LLC

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

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MACQUARIE CAPITAL
MARKETS NORTH AMERICA
LTD.
MACRO RISK ADVISORS LLC
MAN INVESTMENTS INC.
MANULIFE JOHN HANCOCK
BROKERAGE SERVICES LLC
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
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.
MIDLEGATE 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

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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
NATIONWIDE SECURITIES,
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
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
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 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

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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.
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

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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.
 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.

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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.
 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

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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.
 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
 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 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 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.

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

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
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