

---

**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 January 15, 2026**

---

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.<sup>1/</sup>

A registered public accounting firm may take the inclusion of a broker or dealer on this list as an indication that the broker or dealer has no outstanding past-due share of the broker-dealer accounting support fee for purposes of PCAOB Rule 7104(b).

This list will be updated at least bi-weekly. If a registered public accounting firm cannot obtain a representation from the broker or dealer or cannot determine by reviewing the list below whether the broker or dealer has no past-due share of the accounting support fee outstanding, the registered public accounting firm may contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at [confirm@pcaobus.org](mailto:confirm@pcaobus.org).

If you believe a broker or dealer has been excluded from this list in error, please contact the staff by phone at 1-202-207-9294 (Business Days: 9:00 a.m. to 5:00 p.m. ET) or by email at [confirm@pcaobus.org](mailto:confirm@pcaobus.org).

Additional information about the broker-dealer accounting support fee and the funding process is available in the Frequently Asked Questions ("FAQs") available in the Accounting Support Fee section of the PCAOB's Web site (<http://pcaobus.org/About/Administration/SupportFee/Pages/BDSupportFeeFAQ.aspx>).

---

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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

	*	*	*
&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		

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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  
BCI SECURITIES, INC.  
BCP SECURITIES, INC.  
BCS AMERICAS, INC.  
BD25 -CHILIAN PARTNERS,  
L.P.

BD25-HONEY BADGER  
INVESTMENT SECURITIES,  
LLC  
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

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

BRAVER STERN SECURITIES  
 LLC  
 BREAN CAPITAL, LLC  
 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  
 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.

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

CITIZENS CAPITAL MARKETS,  
 INC.  
 CITIZENS JMP SECURITIES,  
 LLC  
 CITIZENS SECURITIES, INC.  
 CITY NATIONAL SECURITIES,  
 INC.  
 CITY SECURITIES  
 CORPORATION  
 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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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.  
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.  
FIRSTRIDE 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.

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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  
 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  
 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.  
 INTL FILLMORE ADVISORS  
 LLC  
 INTREPID INVESTMENT  
 BANKERS LLC  
 INTREPID PARTNERS, LLC  
 INVEMED ASSOCIATES LLC



Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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.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  
 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

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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  
 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.  
 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.

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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  
 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.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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.  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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.

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 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.  
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.

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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 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.  
 STOEVEER, 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.

Public Company Accounting Oversight Board  
 Brokers and Dealers With No Outstanding  
 Past-Due Share as of January 15, 2026

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.  
 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.  
 TRB CAPITAL MARKETS, LLC  
 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  
 ULLICO INVESTMENT  
 COMPANY, LLC  
 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.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of January 15, 2026

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  
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