
**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 February 01, 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 February 01, 2026.^{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 February 01, 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		

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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

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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.

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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

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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
 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

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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
 GREENHILL & CO., LLC
 GREENSLEDGE CAPITAL
 MARKETS LLC
 GRIFFIN CAPITAL SECURITIES,
 LLC
 GRIFFIN FINANCIAL GROUP,
 LLC

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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
 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

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INTREPID PARTNERS, LLC
INVEMED ASSOCIATES LLC
INVESCO CAPITAL MARKETS,
INC.
INVESCO DISTRIBUTORS, INC.
INVESTACORP, INC.
INVESTEC SECURITIES (US)
LLC
INVESTMENT CENTERS OF
AMERICA, INC.
INVESTMENT DISTRIBUTORS,
INC.
INVESTMENT PLACEMENT
GROUP
INVEX, LLC.
ITAU BBA USA SECURITIES,
INC.
ITAU INTERNATIONAL
SECURITIES INC.
IVY DISTRIBUTORS, INC.
J. WOOD CAPITAL ADVISORS
LLC
J.J.B. HILLIARD, W.L. LYONS,
LLC
J.P. MORGAN CLEARING
CORP.
J.P. MORGAN INSTITUTIONAL
INVESTMENTS INC.
J.P. MORGAN PRIME INC.
J.P. MORGAN SECURITIES LLC
J.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

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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
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.
MIDDLGATE 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

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MUFG AMERICAS
 CORPORATE ADVISORY, INC.
 MUFG SECURITIES AMERICAS
 INC.
 MULTI-BANK SECURITIES,
 INC.
 MURIEL SIEBERT & CO., LLC
 MUTUAL OF AMERICA LIFE
 INSURANCE COMPANY
 N. B. ZOULLAS SECURITIES,
 INC.
 N.A. INVESTCORP LLC
 N.I.S. FINANCIAL SERVICES,
 INC.
 NABSECURITIES, LLC
 NASDAQ EXECUTION
 SERVICES, LLC
 NASDAQ OPTIONS SERVICES,
 LLC
 NATALLIANCE SECURITIES,
 LLC
 NATHAN HALE CAPITAL, LLC
 NATIONAL BANK OF CANADA
 FINANCIAL INC.
 NATIONAL FINANCIAL
 SERVICES LLC
 NATIONAL PLANNING
 CORPORATION
 NATIONAL SECURITIES
 CORPORATION
 NATIONWIDE FUND
 DISTRIBUTORS LLC
 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
 OPTIONSPRESS, 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

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PALAFX 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.
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

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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
 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

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SPHINX TRADING, LP
 SPIDERROCK EXS, LLC
 SPOT TRADING L.L.C.
 SPROTT GLOBAL RESOURCE
 INVESTMENTS LTD
 SPURRIER CAPITAL
 PARTNERS LLC
 SS&C MARKET SERVICES, LLC
 STANDARD CHARTERED
 SECURITIES NORTH AMERICA
 LLC
 STANDARD CREDIT
 SECURITIES INC.
 STANDARD NEW YORK, INC.
 STASH CAPITAL LLC
 STATE FARM VP
 MANAGEMENT CORP.
 STATE STREET GLOBAL
 ADVISORS FUNDS
 DISTRIBUTORS, LLC
 STATE STREET GLOBAL
 MARKETS, LLC
 STEBEN & COMPANY, LLC
 STEPHENS INC.
 STERLING 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

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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.
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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of February 01, 2026

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
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