



1666 K Street NW  
Washington, DC 20006  
Office: (202) 207-9100  
[www.pcaobus.org](http://www.pcaobus.org)

---

---

**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 March 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 March 01, 2026.<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 March 01, 2026

	*   *   *	
&PARTNERS	ALLSTATE FINANCIAL	APOLLO GLOBAL SECURITIES,
2021 CAPITAL, LLC	SERVICES, LLC	LLC
280 SECURITIES LLC	ALLSTON TRADING LLC	APTO PARTNERS, LLC
303 EQUITY TRADING GROUP	ALLY INVEST SECURITIES LLC	AQR INVESTMENTS, LLC
II, LLC	ALLY SECURITIES LLC	AQUILO PARTNERS, L.P.
A. R. SCHMEIDLER & CO.,	ALPACA SECURITIES LLC	ARBOR RESEARCH &
INC.	ALPHA TRADING L.P.	TRADING, LLC
A.B. FINANCIAL L.L.C.	ALPINE SECURITIES	ARCA CAPITAL
A.G.P. / ALLIANCE GLOBAL	CORPORATION	INVESTMENTS, INC.
PARTNERS, LLC	ALPS DISTRIBUTORS, INC.	ARCHIPELAGO SECURITIES
AARDVARK SECURITIES LLC	ALTERNA SECURITIES, INC.	L.L.C.
ABBHEY NATIONAL SECURITIES	ALTRUIST FINANCIAL LLC	ARCHIPELAGO TRADING
INC.	ALVAREZ & MARSAL	SERVICES, INC.
ABEL NOSER, LLC.	SECURITIES, LLC	ARCOLA SECURITIES, INC.
ABEL/NOSER CORP.	AMERANT INVESTMENTS,	ARDEA PARTNERS LP
ABG SUNDAL COLLIER INC.	INC.	ARES WEALTH
ABN AMRO CLEARING USA	AMERICA'S GROWTH	MANAGEMENT SOLUTIONS,
LLC	CAPITAL, LLC	LLC
ABN AMRO SECURITIES (USA)	AMERICAN CENTURY	ARIEL DISTRIBUTORS, LLC
LLC	INVESTMENT SERVICES, INC.	ARTIST CAPITAL LLC
ABSA SECURITIES U.S. INC.	AMERICAN ENTERPRISE	ARVEST INVESTMENTS, INC.
ACADEMY SECURITIES, INC.	INVESTMENT SERVICES INC.	ARXIS SECURITIES LLC
ACCESS SECURITIES, LLC	AMERICAN PORTFOLIOS	ASCENSUS BROKER DEALER
ACORNS SECURITIES, LLC	FINANCIAL SERVICES, INC.	SERVICES, LLC
ADELPHI STOCK BROKERS	AMERIPRISE FINANCIAL	ASHMORE INVESTMENT
INC.	SERVICES, LLC	MANAGEMENT (US)
ADVISORS ASSET	AMERITAS INVESTMENT	CORPORATION
MANAGEMENT, INC.	COMPANY, LLC	ASL CAPITAL MARKETS INC.
AEGIS CAPITAL CORP.	AMERIVET SECURITIES, INC.	ASPEN TRADING, L.L.C
AERIS PARTNERS LLC	AMHERST SECURITIES	ASSOCIATED INVESTMENT
AIG FINANCIAL SECURITIES	GROUP, L.P.	SERVICES, INC.
CORP.	AMS DERIVATIVES B.V.	ASSOCIATED OPTIONS, INC.
AK CAPITAL LLC	AMUNDI DISTRIBUTOR US,	ASSURED PARTNERS
AKUNA SECURITIES LLC	INC.	FINANCIAL SERVICES, LLC
ALADDIN CAPITAL LLC	AMUNI FINANCIAL, INC.	ATHENE SECURITIES, LLC
ALANTRA, LLC	ANGEL ISLAND CAPITAL	ATLANTIC - PACIFIC CAPITAL,
ALLEN & COMPANY LLC	SERVICES, LLC	INC.
ALLIANCEBERNSTEIN	ANZ SECURITIES, INC.	ATLAS ONE FINANCIAL
INVESTMENTS, INC.	AON SECURITIES LLC	GROUP, LLC
ALLIANZ LIFE FINANCIAL	APERTURE, LLC	ATLAS TECHNOLOGY GROUP
SERVICES, LLC	APEX CLEARING	LLC
ALLSPRING FUNDS	CORPORATION	AUERBACH GRAYSON &
DISTRIBUTOR, LLC		COMPANY LLC

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

AURIGA USA, LLC  
AUTOMATED TRADING DESK  
BROKERAGE SERVICES, LLC  
AUTONOMOUS RESEARCH  
LLP  
AVANTAX INVESTMENT  
SERVICES, INC.  
AVATAR CAPITAL GROUP LLC  
AVATAR SECURITIES, LLC  
AVM, L.P.  
AXOS CLEARING LLC  
B. C. ZIEGLER AND COMPANY  
B. RILEY SECURITIES, INC.  
B. RILEY WEALTH  
MANAGEMENT, INC.  
BAADER HELVEA INC.  
BAKER TILLY CAPITAL, LLC  
BALANCE SHEET SOLUTIONS  
LLC  
BANC OF AMERICA  
SPECIALIST, INC.  
BANCO DO BRASIL  
SECURITIES LLC  
BANCO VOTORANTIM  
SECURITIES, INC.  
BANCROFT CAPITAL, LLC  
BANCWEST INVESTMENT  
SERVICES, INC.  
BANORTE SECURITIES  
INTERNATIONAL LTD  
BARCLAYS CAPITAL INC.  
BARON CAPITAL, INC.  
BB&T INVESTMENT  
SERVICES, INC.  
BB&T SECURITIES, LLC  
BBVA COMPASS  
INVESTMENT SOLUTIONS,  
INC.  
BBVA SECURITIES INC.  
BBVA SECURITIES OF PUERTO  
RICO, INC.  
BC PARTNERS SECURITIES LLC  
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

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

BRASIL PLURAL SECURITIES  
LLC  
BRAVER STERN SECURITIES  
LLC  
BREAN CAPITAL, LLC  
BREX TREASURY LLC  
BRICKELL GLOBAL MARKETS,  
INC.  
BRIGHT TRADING, LLC  
BRIGHTHOUSE SECURITIES,  
LLC  
BROADHAVEN SECURITIES  
LLC  
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.  
CASCADIA CAPITAL, LLC  
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.

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

CITIGROUP DERIVATIVES MARKETS INC.	COLLINS/BAY ISLAND SECURITIES, LLC	CREDIT AGRICOLE CHEUVREUX NORTH AMERICA, INC.
CITIGROUP GLOBAL MARKETS INC.	COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC.	CREDIT AGRICOLE SECURITIES (USA) INC.
CITIZENS CAPITAL MARKETS, INC.	COMERICA SECURITIES,INC.	CREDIT SUISSE CAPITAL LLC
CITIZENS JMP SECURITIES, LLC	COMHAR CAPITAL MARKETS, LLC	CREDIT SUISSE PRIME SECURITIES SERVICES (USA) LLC
CITIZENS SECURITIES, INC.	COMMERCE BROKERAGE SERVICES, INC.	CREDIT SUISSE PRIVATE ADVISORS AG
CITY NATIONAL SECURITIES, INC.	COMMERZ MARKETS LLC	CREDIT SUISSE SECURITIES (USA) LLC
CITY SECURITIES CORPORATION	COMMONFUND SECURITIES, INC.	CREWS & ASSOCIATES, INC.
CLARK SECURITIES, INC.	COMMONWEALTH	CRITICAL TRADING, LLC
CLARKSON CAPITAL MARKETS LLC	AUSTRALIA SECURITIES LLC	CRITICALPOINT PARTNERS LLC
CLARKSONS SECURITIES, INC.	COMMONWEALTH EQUITY SERVICES, LLC	CROFT & BENDER, LP
CLASS VI SECURITIES, LLC	COMPASS POINT RESEARCH & TRADING, LLC	CROSSTREE CAPITAL SECURITIES, LLC
CLEAR STREET LLC	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	CROWELL, WEEDON & CO.
CLEARPOOL EXECUTION SERVICES, LLC	CONTINUITY PARTNERS GROUP, LLC	CRT CAPITAL GROUP LLC
CLEARY GULL INC.	COREBRIDGE CAPITAL SERVICES, INC.	CSCA CAPITAL ADVISORS, LLC
CLEVELAND RESEARCH COMPANY LLC	CORMARK SECURITIES (USA) LIMITED	CSS, LLC
CLIFTONLARSONALLEN WEALTH ADVISORS, LLC	CORNERSTONE MACRO LLC	CT COLLATERAL FUNDING, LLC
CLSA AMERICAS, LLC	CORNERSTONE TRADING, LLC	CTC, LLC
CMCJL, LLC	CORTVIEW CAPITAL SECURITIES LLC	CUNA BROKERAGE SERVICES, INC.
CME BD SERVICES, INC.	COUNTRY CLUB FINANCIAL SERVICES, INC.	CURIAN CLEARING, LLC
CMG SECURITIES LLC	COWEN AND COMPANY, LLC	CURTISWOOD CAPITAL, LLC
CMT TRADING LLC	COWEN EQUITY FINANCE LP	CURVATURE SECURITIES LLC
CMZ TRADING, LLC	COWEN EXECUTION SERVICES LLC	CUTLER GROUP, LLC
COASTAL SECURITIES, INC.	COWEN PRIME SERVICES LLC	CUTWATER ASSET MANAGEMENT CORP.
COBRA TRADING, INC.	CP COGENT SECURITIES LP	CVC FUNDING, LLC
CODE ADVISORS LLC	CRAIG-HALLUM CAPITAL GROUP LLC	CYNDX ADVISORS LLC
COGNITIVE CAPITAL, LLC	CREDICORP CAPITAL LLC	D. BORAL CAPITAL LLC
COHEN & COMPANY CAPITAL MARKETS, LLC		D.A. DAVIDSON & CO.
COHEN & COMPANY SECURITIES, LLC		D.M. KELLY & COMPANY
COHEN & STEERS SECURITIES, LLC		DAHLMAN ROSE & COMPANY, LLC
COLLIERS SECURITIES LLC		DAIWA CAPITAL MARKETS AMERICA INC.

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

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  
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

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

FIRST BALLANTYNE, LLC  
FIRST BANKERS' BANC  
SECURITIES, INC  
FIRST BROKERS SECURITIES  
LLC  
FIRST CITIZENS CAPITAL  
SECURITIES, LLC  
FIRST CITIZENS INVESTOR  
SERVICES, INC.  
FIRST CITIZENS SECURITIES  
CORPORATION  
FIRST CLEARING, LLC  
FIRST COMMAND  
BROKERAGE SERVICES, INC.  
FIRST DERIVATIVE TRADERS,  
L.P.  
FIRST EMPIRE SECURITIES,  
INC.  
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

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

GREEN STREET ADVISORS, LLC	HARDCASTLE TRADING USA L.L.C.	IBKR SECURITIES SERVICES LLC
GREENHILL & CO., LLC	HARRIS WILLIAMS LLC	IBS HOLDING CORPORATION
GREENSLEDGE CAPITAL MARKETS LLC	HARTFORD FUNDS DISTRIBUTORS, LLC	ICAPITAL MARKETS LLC
GRIFFIN CAPITAL SECURITIES, LLC	HAYWOOD SECURITIES (USA) INC.	ICBC STANDARD SECURITIES INC.
GRIFFIN FINANCIAL GROUP, LLC	HBK GLOBAL SECURITIES L.P.	ICE BONDS SECURITIES CORPORATION
GRIFFITHS MCBURNEY CORP.	HEALTHCARE COMMUNITY SECURITIES CORP.	ICE SECURITIES EXECUTION & CLEARING, LLC
GROUP ONE TRADING LLC	HEFREN-TILLOTSON, INC.	ICM SECURITIES, LLC
GROVE POINT INVESTMENTS, LLC	HENNION & WALSH, INC.	ICR CAPITAL LLC
GTS EXECUTION SERVICES LLC	HERBERT J. SIMS & CO, INC.	IDB CAPITAL CORP.
GTS SECURITIES LLC	HFF SECURITIES L.P.	IEX SERVICES LLC
GUARDIAN INVESTOR SERVICES LLC	HIGHTOWER SECURITIES, LLC	IFC HOLDINGS, INC.
GUGGENHEIM DISTRIBUTORS, LLC	HIIVE MARKETS LIMITED	IMA WEALTH, INC.
GUGGENHEIM FUNDS DISTRIBUTORS, LLC	HILLTOP SECURITIES INC.	IMC EXECUTION SERVICES LLC
GUGGENHEIM INVESTOR SERVICES, LLC	HOLD BROTHERS CAPITAL LLC	IMC SECURITIES LLC
GUGGENHEIM SECURITIES, LLC	HOME FINANCIAL SERVICES, INC.	IMC-CHICAGO, LLC
GUZMAN & COMPANY	HORNOR, TOWNSEND & KENT, LLC	IMPERIAL CAPITAL, LLC
GWN SECURITIES INC.	HOULIHAN LOKEY ADVISORS, LLC	INCENTER SECURITIES GROUP LLC
GX2 SPREAD MARKETS, LLC	HOULIHAN LOKEY CAPITAL, INC.	INCENTRUM SECURITIES, LLC
H2C SECURITIES INC.	HOVDE GROUP, LLC	INDEPENDENCE POINT SECURITIES LLC
HAITONG SECURITIES USA LLC	HOWARD WEIL INCORPORATED	INDEPENDENT FINANCIAL GROUP, LLC
HALES SECURITIES, LLC	HRT FINANCIAL LP	INDUSTRIAL AND COMMERCIAL BANK OF CHINA FINANCIAL SERVICES LLC
HANCOCK WHITNEY INVESTMENT SERVICES INC.	HSBC SECURITIES (USA) INC.	ING FINANCIAL MARKETS LLC
HANDELSBANKEN MARKETS SECURITIES, INC.	HUATAI SECURITIES (USA), INC.	INGALLS & SNYDER, LLC
HANSON MCCLAIN RETIREMENT NETWORK, LLC	HUB INTERNATIONAL INVESTMENT SERVICES INC.	INSIGNEO INTERNATIONAL FINANCIAL SERVICES LLC
HANTZ FINANCIAL SERVICES, INC.	HULL PARTNERS LLC	INSIGNEO SECURITIES, LLC
HAPOALIM SECURITIES USA, INC.	HUNT FINANCIAL SECURITIES, LLC	INSPEREX LLC
HARD EIGHT TRADING, LLC	HUNTINGTON SECURITIES, INC.	INSTITUTIONAL CASH DISTRIBUTORS, LLC
	IB CAPITAL LLC	INTELLIGENT CROSS LLC
	IBERIA CAPITAL PARTNERS L.L.C.	INTERACTIVE BROKERS CORP.
		INTERACTIVE BROKERS LLC

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

INTERCOASTAL CAPITAL MARKETS, INC.	JANE STREET CAPITAL, LLC	KIPPSDESANTO & COMPANY
INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC	JANE STREET EXECUTION SERVICES, LLC	KKR CAPITAL MARKETS II LLC
INTESA SANPAOLO IMI SECURITIES CORP.	JANE STREET MARKETS, LLC	KKR CAPITAL MARKETS LLC
INTL FILLMORE ADVISORS LLC	JANNEY MONTGOMERY SCOTT LLC	KMS FINANCIAL SERVICES, INC.
INTREPID INVESTMENT BANKERS LLC	JANUS HENDERSON	KNIGHT CAPITAL AMERICAS, L.P.
INTREPID PARTNERS, LLC	DISTRIBUTORS US LLC	KOYOTE TRADING LLC
INVEMED ASSOCIATES LLC	JEFFERIES BACHE SECURITIES, LLC	KPMG CORPORATE FINANCE LLC
INVESCO CAPITAL MARKETS, INC.	JEFFERIES EXECUTION SERVICES, INC.	KROLL SECURITIES LLC
INVESCO DISTRIBUTORS, INC.	JEFFERIES HIGH YIELD TRADING, LLC	L.J. HART AND COMPANY
INVESTACORP, INC.	JEFFERIES LLC	L.M. KOHN & COMPANY
INVESTEC SECURITIES (US) LLC	JOE JOLLY & CO., INC.	LADDER CAPITAL SECURITIES LLC
INVESTMENT CENTERS OF AMERICA, INC.	JOHN HANCOCK	LADENBURG THALMANN & CO. INC.
INVESTMENT DISTRIBUTORS, INC.	DISTRIBUTORS LLC	LAFISE SECURITIES LLC
INVESTMENT PLACEMENT GROUP	JOHN HANCOCK	LAKE STREET CAPITAL MARKETS, LLC
INVEX, LLC.	INVESTMENT MANAGEMENT DISTRIBUTORS LLC	LAKESHORE SECURITIES, L.P.
ITAU BBA USA SECURITIES, INC.	JOHNSON RICE & COMPANY L.L.C.	LARRAINVIAL SECURITIES US LLC
ITAU INTERNATIONAL SECURITIES INC.	JONES LANG LASALLE SECURITIES, LLC	LASALLE INVESTMENT MANAGEMENT
IVY DISTRIBUTORS, INC.	JONESTRADING	DISTRIBUTORS, LLC
J. WOOD CAPITAL ADVISORS LLC	INSTITUTIONAL SERVICES LLC	LATOUR TRADING LLC
J.J.B. HILLIARD, W.L. LYONS, LLC	JPMORGAN DISTRIBUTION SERVICES, INC.	LAVAFLOW, INC.
J.P. MORGAN CLEARING CORP.	JUMP EXECUTION, LLC	LAZARD FRERES & CO. LLC
J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.	JUMP TRADING, LLC	LAZARD MIDDLE MARKET LLC
J.P. MORGAN PRIME INC.	JVB FINANCIAL GROUP, LLC	LEERINK PARTNERS LLC
J.P. MORGAN SECURITIES LLC	JWTT INC.	LEK SECURITIES CORPORATION
J.W. COLE FINANCIAL, INC.	KBC SECURITIES USA LLC	LEONIS SECURITIES, LLC
JACKSON NATIONAL LIFE DISTRIBUTORS LLC	KEEFE, BRUYETTE & WOODS, INC.	LEVEL MARKETS, LLC
JAG TRADING L.L.C.	KEPLER CAPITAL MARKETS, INC.	LFT SECURITIES, LLC
	KEY INVESTMENT SERVICES LLC	LIFESCI CAPITAL, LLC
	KEYBANC CAPITAL MARKETS INC.	LIGHTSPEED FINANCIAL SERVICES GROUP LLC
	KGS-ALPHA CAPITAL MARKETS, L.P.	LIME TRADING CORP
		LINCOLN FINANCIAL DISTRIBUTORS, INC.
		LINCOLN INTERNATIONAL LLC

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

LINCOLN INVESTMENT  
PLANNING, LLC  
LIONTREE ADVISORS LLC  
LIQUIDITYEDGE, LLC.  
LIQUIDNET, INC.  
LIQUIDPOINT, LLC  
LLOYDS SECURITIES INC.  
LOEB PARTNERS  
CORPORATION  
LOMBARD ODIER  
TRANSATLANTIC LIMITED  
LOOP CAPITAL MARKETS LLC  
LORD ABBETT DISTRIBUTOR  
LLC  
LPL FINANCIAL LLC  
LUMA SECURITIES LLC  
LUMENT SECURITIES, LLC  
LUPO SECURITIES, LLC  
M&I FINANCIAL ADVISORS,  
INC.  
M&T SECURITIES, INC.  
M1 FINANCE LLC  
M3 INVESTMENT GROUP LLC  
MACQUARIE CAPITAL  
MARKETS NORTH AMERICA  
LTD.  
MACRO RISK ADVISORS LLC  
MAN INVESTMENTS INC.  
MANULIFE JOHN HANCOCK  
BROKERAGE SERVICES LLC  
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

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

MOUNTAINVIEW  
SECURITIES, LLC  
MPS GLOBAL SECURITIES, LLC  
MS SECURITIES SERVICES  
INC.  
MSEC, LLC  
MSI FINANCIAL SERVICES,  
INC.  
MTG, LLC  
MTS SECURITIES, LLC  
MUFG AMERICAS  
CORPORATE ADVISORY, INC.  
MUFG SECURITIES AMERICAS  
INC.  
MULTI-BANK SECURITIES,  
INC.  
MURIEL SIEBERT & CO., LLC  
MUTUAL OF AMERICA LIFE  
INSURANCE COMPANY  
N. B. ZOULLAS SECURITIES,  
INC.  
N.A. INVESTCORP LLC  
N.I.S. FINANCIAL SERVICES,  
INC.  
NABSECURITIES, LLC  
NASDAQ EXECUTION  
SERVICES, LLC  
NASDAQ OPTIONS SERVICES,  
LLC  
NATALLIANCE SECURITIES,  
LLC  
NATHAN HALE CAPITAL, LLC  
NATIONAL BANK OF CANADA  
FINANCIAL INC.  
NATIONAL FINANCIAL  
SERVICES LLC  
NATIONAL PLANNING  
CORPORATION  
NATIONAL SECURITIES  
CORPORATION  
NATIONWIDE FUND  
DISTRIBUTORS LLC  
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 INSTITUTIONS, INC.  
OSAIC SERVICES, INC.  
OSAIC WEALTH, INC.  
OSCAR GRUSS & SON  
INCORPORATED

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

OTA LLC	PFM FUND DISTRIBUTORS, INC.	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC
OTC LINK LLC	PFS INVESTMENTS INC.	PTR, INC.
P.J. ROBB VARIABLE, LLC	PGM GLOBAL INC.	PUBLIC VENTURES, LLC
PACER FINANCIAL, INC.	PHILLIP CAPITAL INC.	PULSE TRADING, INC.
PACIFIC CENTURY SECURITIES, LLC	PHOENIX DERIVATIVES GROUP, LLC	PUNDION LLC
PACIFIC CREST SECURITIES LLC	PHX FINANCIAL, INC.	PURESTREAM, LLC
PACIFIC SELECT DISTRIBUTORS, LLC	PICTET OVERSEAS INC.	PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP
PALAFIX TRADING LLC	PIMCO INVESTMENTS LLC	Q ADVISORS LLC
PARADIGM EQUITIES, INC.	PIPELINE TRADING SYSTEMS LLC	QATALYST PARTNERS LP
PARETO SECURITIES INC.	PIPER SANDLER & CO.	QUAD CAPITAL, LLC
PARIS SECURITIES CORPORATION	PJT PARTNERS LP	QUAD SECURITIES LLC
PARK AVENUE SECURITIES LLC	PLANMEMBER SECURITIES CORPORATION	QUANTITATIVE BROKERS, LLC
PARK HILL REAL ESTATE GROUP LLC	PMA SECURITIES, LLC	QUANTLAB SECURITIES LP
PARK SUTTON SECURITIES, LLC	PNC CAPITAL MARKETS LLC	QUASAR DISTRIBUTORS, LLC
PARKLAND SECURITIES, LLC	PNC INVESTMENTS LLC	QUESTAR CAPITAL CORPORATION
PAULSON INVESTMENT COMPANY LLC	POPULAR SECURITIES, LLC	QUIET LIGHT SECURITIES, LLC
PAYCHEX SECURITIES CORPORATION	PORTIGON SECURITIES INC.	R. F. LAFFERTY & CO., INC.
PEAK6 CAPITAL MANAGEMENT LLC	POTAMUS TRADING, LLC	R. SEELAUS & CO., LLC
PEAK6 PERFORMANCE MANAGEMENT LLC	PRAGMA LLC	R.J. O'BRIEN SECURITIES, LLC
PEAK6 VEGA MASTER FUND LLC	PRECISION SECURITIES, LLC	R.W.PRESSPRICH & CO.
PENSERRA SECURITIES, LLC	PREFERRED CAPITAL SECURITIES, LLC	RABO SECURITIES USA, INC.
PENSON FINANCIAL SERVICES, INC.	PRICEWATERHOUSECOOOPE RS CORPORATE FINANCE LLC	RAFFERTY CAPITAL MARKETS, LLC
PEOPLE'S SECURITIES, INC.	PRIME CAPITAL MARKETS, LLC	RAINE SECURITIES LLC
PERELLA WEINBERG PARTNERS LP	PRIME DEALER SERVICES CORP.	RAINIER SECURITIES, LLC
PERFORMANCE TRUST CAPITAL PARTNERS, LLC	PRIMERICA BROKERAGE SERVICES, INC.	RAMAT SECURITIES LTD.
PERSHING ADVISOR SOLUTIONS LLC	PRINCIPAL FUNDS DISTRIBUTOR, INC.	RAYMOND JAMES & ASSOCIATES, INC.
PERSHING LLC	PRINCIPAL SECURITIES, INC.	RAYMOND JAMES (USA) LTD.
	PROBITAS FUNDS GROUP, LLC	RAYMOND JAMES FINANCIAL SERVICES, INC.
	PROSPERA FINANCIAL SERVICES, INC.	RAYMOND JAMES INSURANCE GROUP, INC.
	PRUCO SECURITIES, LLC.	RB INTERNATIONAL MARKETS (USA) LLC
	PRUDENTIAL ANNUITIES DISTRIBUTORS, INC	RBC CAPITAL MARKETS, LLC
		RBC CMA LTD
		RCI LIMITED PARTNERSHIP
		REALCADRE LLC
		RED CEDAR TRADING, LLC

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

REDBIRD BD, LLC	RUSSELL INVESTMENTS	SECURIAN FINANCIAL
REDBURN (USA) LLC	IMPLEMENTATION SERVICES,	SERVICES, INC.
REDI GLOBAL TECHNOLOGIES	LLC	SECURITIES AMERICA, INC.
LLC	SABADELL SECURITIES USA,	SECURITIES MANAGEMENT
REGAL SECURITIES, INC.	INC.	AND RESEARCH, INC.
REGIONS SECURITIES LLC	SAFRA SECURITIES LLC	SECURITIES SERVICE
RELATED FINANCIAL	SAL EQUITY TRADING, GP	NETWORK, LLC
SERVICES, LLC	SAMCO CAPITAL MARKETS,	SECURITY DISTRIBUTORS, LLC
RENCAP SECURITIES, INC.	INC.	SEI INVESTMENTS
REPUBLIC PARTNERS, LLC	SAMI BROKERAGE LLC	DISTRIBUTION CO.
RESOLUTE INVESTMENT	SAMMONS FINANCIAL	SENTINEL FINANCIAL
DISTRIBUTORS, INC.	NETWORK, LLC	SERVICES COMPANY
REUTERS TRANSACTION	SAMSUNG SECURITIES	SENVEST INTERNATIONAL
SERVICES LLC	(AMERICA), INC.	L.L.C.
RGM SECURITIES, LLC	SANDERS MORRIS HARRIS	SETTER CAPITAL INC.
RIVERSOURCE	INC.	SEVEN POINTS CAPITAL, LLC
DISTRIBUTORS, INC.	SANDLER, O'NEILL &	SG AMERICAS SECURITIES,
RIVERSTONE CAPITAL	PARTNERS, L.P.	LLC
SERVICES LLC	SANFORD C. BERNSTEIN &	SHAY FINANCIAL SERVICES,
ROBERT W. BAIRD & CO.	CO., LLC	INC.
INCORPORATED	SANTANDER INTERNATIONAL	SHEA & COMPANY, LLC
ROBINHOOD FINANCIAL, LLC	SECURITIES, INC.	SHEARMAN, RALSTON INC.
ROBINHOOD SECURITIES, LLC	SANTANDER INVESTMENT	SHELBY CULLOM DAVIS &
ROCKEFELLER FINANCIAL LLC	SECURITIES INC.	CO., L.P.
RODMAN & RENSHAW, LLC	SANTANDER SECURITIES LLC	SHERMAN & COMPANY LLC
RONIN CAPITAL, LLC	SANTANDER US CAPITAL	SIEBERT WILLIAMS SHANK &
ROOSEVELT & CROSS,	MARKETS LLC	CO., LLC
INCORPORATED	SBERBANK CIB USA, INC	SIERRA PACIFIC SECURITIES,
ROSELAINE SECURITIES LLC	SCHRODER FUND ADVISORS	LLC
ROSENBLATT SECURITIES	LLC	SIGMA FINANCIAL
INC.	SCOTIA CAPITAL (USA) INC.	CORPORATION
ROSENTHAL GLOBAL	SCOTT & STRINGFELLOW, LLC	SIGNAL HILL CAPITAL GROUP
SECURITIES LLC	SCOTTRADE, INC.	LLC
ROSS, SINCLAIRE &	SCOUT TRADING, LLC	SIGNATOR INVESTORS, INC.
ASSOCIATES, LLC	SEA OTTER SECURITIES	SII INVESTMENTS, INC.
ROTH CAPITAL PARTNERS,	GROUP LLC	SIMMONS & COMPANY
LLC	SEAPORT GLOBAL	INTERNATIONAL
ROTHSCHILD & CO US INC.	SECURITIES LLC	SIMMONS FIRST
ROYCE FUND SERVICES, LLC	SEAPORT SECURITIES CORP.	INVESTMENT GROUP, INC.
RQD* CLEARING, LLC	SEARLE & CO.	SIMON MARKETS LLC
RUANE, CUNNIFF &	SEATTLE-NORTHWEST	SIMPLEX TRADING, LLC
GOLDFARB LLC	SECURITIES CORPORATION	SIXPOINT PARTNERS LLC
RUSSELL INVESTMENTS	SEB SECURITIES, INC.	SMBC NIKKO SECURITIES
FINANCIAL SERVICES, LLC		AMERICA, INC.

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

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.  
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.  
STOEVER, 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

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

THE WILLIAMS CAPITAL GROUP, L.P.	TP ICAP GLOBAL MARKETS AMERICAS LLC	U.S. BANCORP ADVISORS, LLC
THINKEQUITY LLC	TPG CAPITAL BD, LLC	U.S. BANCORP INVESTMENTS, INC.
THOMA BRAVO CAPITAL MARKETS, LLC	TRADE INFORMATICS LLC	UBS ASSET MANAGEMENT (US) INC.
THOMAS WEISEL PARTNERS LLC	TRADE-PMR INC.	UBS FINANCIAL SERVICES INC.
THREE BROTHERS TRADING, LLC	TRADEBOT SYSTEMS, INC.	UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO
THRIVENT DISTRIBUTORS, LLC	TRADELINK L.L.C.	UBS SECURITIES LLC
THRIVENT INVESTMENT MANAGEMENT INC.	TRADELINK SECURITIES, LLC	ULLICO INVESTMENT COMPANY, LLC
TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	TRADEMAS INC.	UMB FINANCIAL SERVICES, INC.
TIBRA TRADING AMERICA LLC	TRADEUP SECURITIES, INC.	UNICREDIT CAPITAL MARKETS LLC
TICKRS CLEARING	TRADEWEB DIRECT LLC	UNITED CAPITAL MARKETS, INC.
TICONDEROGA SECURITIES LLC	TRADEWEB L.L.C	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
TIDAL PARTNERS, LLC	TRADITION SECURITIES AND DERIVATIVES LLC	UNIVEST SECURITIES, LLC
TIGRESS FINANCIAL PARTNERS, LLC	TRANSAMERICA CAPITAL, LLC	US TIGER SECURITIES, INC.
TJM INVESTMENTS, LLC	TRANSAMERICA FINANCIAL ADVISORS, LLC	USAA FINANCIAL ADVISORS, INC.
TM CAPITAL CORP.	TRANSAMERICA INVESTORS SECURITIES, LLC	USAA INVESTMENT SERVICES COMPANY
TMC BONDS L.L.C.	TRANSMARKET GROUP L.L.C.	UVEST FINANCIAL SERVICES GROUP, INC.
TMT INVESTMENTS, LLC	TRB CAPITAL MARKETS, LLC	VALLEY FINANCIAL MANAGEMENT, INC.
TORA TRADING SERVICES, LLC	TRC MARKETS LLC	VALLEY FORGE ASSET MANAGEMENT, LLC
TORO TRADING LLC	TRIAD ADVISORS LLC	VAN ECK SECURITIES CORPORATION
TOUCHSTONE SECURITIES, INC.	TRIBAL CAPITAL MARKETS, LLC	VAN LANSCHOT KEMPEN (USA) INC.
TOURMALINE PARTNERS, LLC	TRIPLETREE, LLC	VANAHEIM SECURITIES, LLC
TOWER PRINCIPAL MARKETS LLC	TRUIST INVESTMENT SERVICES, INC.	VANGUARD MARKETING CORPORATION
TOWER SQUARE SECURITIES, INC.	TRUIST SECURITIES, INC.	VAQUERO CAPITAL LLC
TOWERS WATSON CAPITAL MARKETS INC.	TRUMID FINANCIAL LLC	
TOYOTA FINANCIAL SERVICES SECURITIES USA CORPORATION	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	

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

VECTORGLOBAL WMG, INC.  
VELOCITY CAPITAL, LLC  
VELOX CLEARING LLC  
VICENTE & PARTNERS LLC  
VIEWTRADE SECURITIES, INC.  
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  
WEBULL FINANCIAL LLC  
WEDBUSH SECURITIES INC.  
WEEDEN & CO.L.P.  
WELLINGTON SHIELDS & CO.,  
LLC  
WELLS FARGO ADVISORS  
FINANCIAL NETWORK, LLC

WELLS FARGO CLEARING  
SERVICES, LLC  
WELLS FARGO  
INSTITUTIONAL SECURITIES,  
LLC  
WELLS FARGO PRIME  
SERVICES, LLC  
WESTMINSTER RESEARCH  
ASSOCIATES LLC  
WESTPAC CAPITAL MARKETS  
LLC  
WILLIAM BLAIR & COMPANY  
L.L.C.  
WILLIAMS TRADING LLC  
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