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**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 April 1, 2026**

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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 April 1, 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>).

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<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 April 1, 2026

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&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.
ABBEY 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 April 1, 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  
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Past-Due Share as of April 1, 2026

BRASIL PLURAL SECURITIES  
LLC  
BRAVER STERN SECURITIES  
LLC  
BREAN CAPITAL, LLC  
BREVAN HOWARD US LLC  
BREX TREASURY LLC  
BRICKELL GLOBAL MARKETS,  
INC.  
BRIGHT TRADING, LLC  
BRIGHOUSE 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 April 1, 2026

CITIGROUP DERIVATIVES  
MARKETS INC.  
CITIGROUP GLOBAL  
MARKETS INC.  
CITIZENS CAPITAL MARKETS,  
INC.  
CITIZENS JMP SECURITIES,  
LLC  
CITIZENS SECURITIES, INC.  
CITY NATIONAL SECURITIES,  
INC.  
CITY SECURITIES  
CORPORATION  
CLARK SECURITIES, INC.  
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  
COMMERCE BROKERAGE  
SERVICES, INC.  
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.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 1, 2026

DANSKE MARKETS INC.	DRIEHAUS SECURITIES LLC	EQUILEND LLC
DASH FINANCIAL	DRIVEWEALTH	EQUITABLE ADVISORS, LLC
TECHNOLOGIES LLC	INSTITUTIONAL LLC	EQUITABLE DISTRIBUTORS, LLC
DAVENPORT & COMPANY LLC	DRIVEWEALTH, LLC	EQUITEC PROPRIETARY MARKETS, LLC
DAVID LERNER ASSOCIATES, INC.	DRW EXECUTION SERVICES, LLC	EQUITEC SPECIALISTS, LLC
DAVIS DISTRIBUTORS, LLC	DRW SECURITIES, L.L.C.	EQUITYZEN SECURITIES LLC
DAVY SECURITIES	DUNDEE SECURITIES INC.	ERNST & YOUNG CAPITAL ADVISORS, LLC
DAWSON JAMES SECURITIES, INC.	DV EQUITIES, LLC	ESL INVESTMENT SERVICES, LLC
DB SECURITIES SERVICES NJ INC.	DV SECURITIES, LLC	ESTRADA HINOJOSA & COMPANY, INC.
DBO PARTNERS LLC	DVB CAPITAL MARKETS LLC	ETC BROKERAGE SERVICES, LLC
DBS VICKERS SECURITIES (USA) INC.	DWS DISTRIBUTORS, INC.	EVERCORE GROUP L.L.C.
DCCA SECURITIES, LLC	DZ FINANCIAL MARKETS LLC	EXANE, INC.
DEALERWEB LLC	E*TRADE CLEARING LLC	EXECUTION ACCESS, LLC
DELANEY EQUITY GROUP LLC	E*TRADE SECURITIES LLC	EXOTIX USA INC.
DELAWARE DISTRIBUTORS, L.P.	E.J. DE LA ROSA & CO., INC.	FACTSET DATA SYSTEMS, INC.
DELOITTE CORPORATE FINANCE LLC	EARLYBIRDCAPITAL, INC.	FAGENSON & CO., INC.
DESJARDINS SECURITIES INTERNATIONAL INC.	EASTDIL SECURED ADVISORS LLC	FAIRMOUNT PARTNERS LP
DEUTSCHE BANK SECURITIES INC.	EATON PARTNERS, LLC	FELTL & COMPANY
DEVELOPMENT	EATON VANCE	FHN FINANCIAL SECURITIES CORP.
CORPORATION FOR ISRAEL	DISTRIBUTORS, INC.	FIDELITY BROKERAGE SERVICES LLC
DIFFUSION MARKETS, L.L.C.	EBX LLC	FIDELITY DISTRIBUTORS COMPANY LLC
DIGITAL BROKERAGE SERVICES LLC	ECHOTRADE LLC	FIDELITY DISTRIBUTORS CORPORATION
DIMENSION TRADING GROUP, LLC	EDGEMONT CAPITAL PARTNERS, L.P.	FIDELITY PRIME FINANCING, LLC
DINOSAUR FINANCIAL GROUP, L.L.C	EDWARD D. JONES & CO., L.P.	FIFTH THIRD SECURITIES, INC.
DIRECT EDGE ECN LLC	EFG CAPITAL	FIG PARTNERS, LLC
DIRECTED SERVICES LLC	INTERNATIONAL CORP.	FINANCIAL NORTHEASTERN SECURITIES, INC.
DOFT & CO., INC.	EG MARKET TECHNOLOGIES LLC	FIRST ALLIED SECURITIES, INC.
DOMINARI SECURITIES LLC	ELECTRONIC TRANSACTION CLEARING, INC.	FIRST ANALYSIS SECURITIES CORPORATION
DOUGH LLC	ELEQUIN SECURITIES LLC	
DOWLING & PARTNERS SECURITIES LLC	ELEVATION, LLC	
DREXEL HAMILTON, LLC	EMBED CLEARING LLC	
	EMMET & CO, INC.	
	EMPIRICAL RESEARCH PARTNERS LLC	
	EMPOWER FINANCIAL SERVICES, INC.	
	EPOCH SECURITIES, INC.	
	EQUATEX US INC	

Public Company Accounting Oversight Board  
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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  
GILDER GAGNON HOWE &  
CO. 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

Public Company Accounting Oversight Board  
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GREEN PIER FINTECH LLC  
GREEN STREET ADVISORS,  
LLC  
GREENHILL & CO., LLC  
GREENSLEDGE CAPITAL  
MARKETS LLC  
GRIFFIN CAPITAL SECURITIES,  
LLC  
GRIFFIN FINANCIAL GROUP,  
LLC  
GRIFFITHS MCBURNEY CORP.  
GROUP ONE TRADING LLC  
GROVE POINT INVESTMENTS,  
LLC  
GTS EXECUTION SERVICES  
LLC  
GTS SECURITIES LLC  
GUARDIAN INVESTOR  
SERVICES LLC  
GUGGENHEIM  
DISTRIBUTORS, LLC  
GUGGENHEIM FUNDS  
DISTRIBUTORS, LLC  
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.  
HORNOR, TOWNSEND &  
KENT, LLC  
HOULIHAN LOKEY ADVISORS,  
LLC  
HOULIHAN LOKEY CAPITAL,  
INC.  
HOVDE GROUP, LLC  
HOWARD WEIL  
INCORPORATED  
HPS SECURITIES, LLC  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 1, 2026

INTERACTIVE BROKERS  
CORP.  
INTERACTIVE BROKERS LLC  
INTERCOASTAL CAPITAL  
MARKETS, INC.  
INTERNATIONAL STRATEGY &  
INVESTMENT GROUP LLC  
INTESA SANPAOLO IMI  
SECURITIES CORP.  
INTL FILLMORE ADVISORS  
LLC  
INTREPID INVESTMENT  
BANKERS LLC  
INTREPID PARTNERS, LLC  
INVEMED ASSOCIATES LLC  
INVESCO CAPITAL MARKETS,  
INC.  
INVESCO DISTRIBUTORS, INC.  
INVESTACORP, INC.  
INVESTEC SECURITIES (US)  
LLC  
INVESTMENT CENTERS OF  
AMERICA, INC.  
INVESTMENT DISTRIBUTORS,  
INC.  
INVESTMENT PLACEMENT  
GROUP  
INVEX, LLC.  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 1, 2026

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

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MOTIF INVESTING, INC.  
MOUNTAINSIDE SECURITIES  
LLC  
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.

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 1, 2026

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

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RCI LIMITED PARTNERSHIP  
REALCADRE LLC  
RED CEDAR TRADING, LLC  
REDBIRD BD, LLC  
REDBURN (USA) LLC  
REDI GLOBAL TECHNOLOGIES  
LLC  
REGAL SECURITIES, INC.  
REGIONS SECURITIES LLC  
RELATED FINANCIAL  
SERVICES, LLC  
RENCAP SECURITIES, INC.  
REPUBLIC PARTNERS, LLC  
RESOLUTE INVESTMENT  
DISTRIBUTORS, INC.  
REUTERS TRANSACTION  
SERVICES LLC  
RGM SECURITIES, LLC  
RIVERSOURCE  
DISTRIBUTORS, INC.  
RIVERSTONE CAPITAL  
SERVICES LLC  
ROBERT W. BAIRD & CO.  
INCORPORATED  
ROBINHOOD FINANCIAL, LLC  
ROBINHOOD SECURITIES, LLC  
ROCKEFELLER FINANCIAL LLC  
RODMAN & RENSHAW, LLC  
RONIN CAPITAL, LLC  
ROOSEVELT & CROSS,  
INCORPORATED  
ROSELAINE SECURITIES LLC  
ROSENBLATT SECURITIES  
INC.  
ROSENTHAL GLOBAL  
SECURITIES LLC  
ROSS, SINCLAIRE &  
ASSOCIATES, LLC  
ROTH CAPITAL PARTNERS,  
LLC  
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.  
SANCTUARY SECURITIES, 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  
SANTANDER US CAPITAL  
MARKETS 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

Public Company Accounting Oversight Board  
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SIMPLEX TRADING, LLC  
SIXPOINT PARTNERS LLC  
SMBC NIKKO SECURITIES  
AMERICA, INC.  
SMBC NIKKO SECURITIES  
CANADA, LTD.  
SOFI SECURITIES LLC  
SOLEBURY CAPITAL LLC  
SOLOMON PARTNERS  
SECURITIES, LLC  
SOUTH STREET SECURITIES  
LLC  
SOUTHSTATE|DUNCANWILLI  
AMS SECURITIES CORP.  
SPARTAN CAPITAL  
SECURITIES, LLC  
SPC CAPITAL MARKETS LLC  
SPHINX TRADING, LP  
SPIDERROCK EXS, LLC  
SPOT TRADING L.L.C.  
SPROTT GLOBAL RESOURCE  
INVESTMENTS LTD  
SPURRIER CAPITAL  
PARTNERS LLC  
SS&C MARKET SERVICES, LLC  
STANDARD CHARTERED  
SECURITIES NORTH AMERICA  
LLC  
STANDARD CREDIT  
SECURITIES INC.  
STANDARD NEW YORK, INC.  
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.  
STEWART 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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
Past-Due Share as of April 1, 2026

THE HUNTINGTON  
INVESTMENT COMPANY  
THE KLEIN GROUP, LLC  
THE LEADERS GROUP, INC.  
THE O.N. EQUITY SALES  
COMPANY  
THE VERTICAL TRADING  
GROUP, LLC  
THE WILLIAMS CAPITAL  
GROUP, L.P.  
THINKEQUITY LLC  
THOMA BRAVO CAPITAL  
MARKETS, LLC  
THOMAS WEISEL PARTNERS  
LLC  
THREE BROTHERS TRADING,  
LLC  
THRIVENT DISTRIBUTORS,  
LLC  
THRIVENT INVESTMENT  
MANAGEMENT INC.  
TIAA-CREF INDIVIDUAL &  
INSTITUTIONAL SERVICES,  
LLC  
TIBRA TRADING AMERICA  
LLC  
TICKRS CLEARING  
TICONDEROGA SECURITIES  
LLC  
TIDAL PARTNERS, LLC  
TIGRESS FINANCIAL  
PARTNERS, LLC  
TJM INVESTMENTS, LLC  
TM CAPITAL CORP.  
TMC BONDS L.L.C.  
TMT INVESTMENTS, LLC  
TORA TRADING SERVICES,  
LLC  
TORO TRADING LLC  
TOUCHSTONE SECURITIES,  
INC.  
TOURMALINE PARTNERS, LLC  
TOWER PRINCIPAL MARKETS  
LLC

TOWER SQUARE SECURITIES,  
INC.  
TOWERS WATSON CAPITAL  
MARKETS INC.  
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  
U.S. BANCORP ADVISORS,  
LLC  
U.S. BANCORP  
INVESTMENTS, INC.  
UBS ASSET MANAGEMENT  
(US) INC.  
UBS FINANCIAL SERVICES  
INC.  
UBS FINANCIAL SERVICES  
INCORPORATED OF PUERTO  
RICO  
UBS SECURITIES LLC  
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

Public Company Accounting Oversight Board  
Brokers and Dealers With No Outstanding  
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VAN ECK SECURITIES CORPORATION	WEBULL FINANCIAL LLC	XR SECURITIES LLC
VAN LANSCHOT KEMPEN (USA) INC.	WEDBUSH SECURITIES INC.	XTELLUS CAPITAL PARTNERS, INC.
VANAHEIM SECURITIES, LLC	WEEDEN & CO.L.P.	XTX EXECUTION SERVICES LLC
VANGUARD MARKETING CORPORATION	WELLINGTON SHIELDS & CO., LLC	XTX MARKETS LLC
VAQUERO CAPITAL LLC	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	ZEBED SECURITIES, LLC
VECTORGLOBAL WMG, INC.	WELLS FARGO CLEARING SERVICES, LLC	ZELMAN PARTNERS, LLC
VELOCITY CAPITAL, LLC	WELLS FARGO INSTITUTIONAL SECURITIES, LLC	ZEUS FINANCIAL, LLC
VELOX CLEARING LLC	WELLS FARGO PRIME SERVICES, LLC	ZIONS DIRECT, INC.
VICENTE & PARTNERS LLC	WESTMINSTER RESEARCH ASSOCIATES LLC	ZIV INVESTMENT COMPANY
VIEWTRADE SECURITIES, INC.	WESTPAC CAPITAL MARKETS LLC	
VINING-SPARKS IBG, LLC	WILLIAM BLAIR & COMPANY L.L.C.	
VIRTU AMERICAS LLC	WILLIAMS TRADING LLC	
VIRTU FINANCIAL BD LLC	WILLIS TOWERS WATSON SECURITIES, LLC	
VIRTU FINANCIAL CAPITAL MARKETS LLC	WILMINGTON BROKERAGE SERVICES COMPANY	
VIRTU ITG LLC	WILSON-DAVIS & CO., INC.	
VIRTUS CAPITAL MARKETS LLC	WINTRUST INVESTMENTS LLC	
VISION FINANCIAL MARKETS LLC	WOLVERINE EXECUTION SERVICES, LLC	
VISTA POINT ADVISORS, LLC	WOLVERINE SECURITIES, LLC	
VOLANT LIQUIDITY, LLC	WOLVERINE TRADING, LLC	
VOYA FINANCIAL ADVISORS, INC.	WOODBURY FINANCIAL SERVICES, INC.	
VOYA FINANCIAL PARTNERS, LLC	WOODROCK SECURITIES, L.P.	
VOYA INVESTMENTS DISTRIBUTOR, LLC	WORLD GROUP SECURITIES, INC.	
VOYA RETIREMENT ADVISORS, LLC	WR SECURITIES, LLC	
VP DISTRIBUTORS LLC	WSA FIXED INCOME, LLC	
VRA PARTNERS, LLC	X-CHANGE FINANCIAL ACCESS, LLC	
WACHTEL & CO., INC.	XAMBALA CAPITAL, LLC	
WADDELL & REED, INC.	XMS CAPITAL PARTNERS, LLC	
WAKE USA LLC	XP INVESTMENTS US, LLC	
WALL STREET ACCESS		
WALLACHBETH CAPITAL LLC		
WALNUT STREET SECURITIES, INC.		
WEALTHFRONT BROKERAGE LLC		