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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 15, 2026

The following is a list of brokers and dealers that have been assessed and have no outstanding past-due share of the broker-dealer accounting support fee of the Public Company Accounting Oversight Board ("PCAOB"), as of April 15, 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 April 15, 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.
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 April 15, 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 15, 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
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
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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.

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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
Brokers and Dealers With No Outstanding
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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 15, 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 15, 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

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

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
NATALIANCE SECURITIES,
LLC
NATHAN HALE CAPITAL, LLC
NATIONAL BANK OF CANADA
FINANCIAL INC.
NATIONAL FINANCIAL
SERVICES LLC
NATIONAL PLANNING
CORPORATION
NATIONAL SECURITIES
CORPORATION

NATIONWIDE FUND
DISTRIBUTORS LLC
NATIONWIDE SECURITIES,
LLC
NATIXIS DERIVATIVES INC.
NATIXIS DISTRIBUTION, LLC
NATIXIS SECURITIES
AMERICAS LLC
NATWEST MARKETS
SECURITIES INC.
NAVY FEDERAL INVESTMENT
SERVICES, LLC
NBC SECURITIES, INC.
NBF SECURITIES (USA) CORP.
NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NETREX CAPITAL MARKETS,
LLC
NETWORK 1 FINANCIAL
SECURITIES INC.
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE SECURITIES, LLC
NEWEDGE USA, LLC
NEWPORT GROUP
SECURITIES, INC.
NEXBANK SECURITIES INC
NFSTX, LLC
NH INVESTMENT &
SECURITIES AMERICA, INC.
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL
PRODUCTS INC.
NOMURA GREENTECH
CAPITAL ADVISORS, LLC
NOMURA SECURITIES
INTERNATIONAL, INC.
NOMURA SECURITIES NORTH
AMERICA, LLC
NORDEA SECURITIES LLC
NORTH BRIDGE CAPITAL, LLC

NORTH POINT MERGERS
AND ACQUISITIONS, INC.
NORTHERN TRUST
SECURITIES, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL
INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
O'NEIL SECURITIES
INCORPORATED
OASIS PRO MARKETS LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK
CORPORATION
ODEON CAPITAL GROUP LLC
OHIO NATIONAL EQUITIES,
INC.
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC
ONEAMERICA SECURITIES,
INC.
ONPEAK CAPITAL LLC
OPEN TO THE PUBLIC
INVESTING, INC.
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.
OPPENHEIMERFUNDS
DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSXPRESS, INC.
OPTIVER EXECUTION
SERVICES LLC
OPTIVER US LLC
ORIENTAL FINANCIAL
SERVICES LLC
OSAIC FA, INC.
OSAIC FS, INC.
OSAIC INSTITUTIONS, INC.

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

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
Brokers and Dealers With No Outstanding
Past-Due Share as of April 15, 2026

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 15, 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
Past-Due Share as of April 15, 2026

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
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