
**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 October 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 October 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 October 15, 2026

	*	*	*
280 SECURITIES LLC	ARIEL DISTRIBUTORS, LLC	BD25-HONEY BADGER	
303 EQUITY TRADING GROUP	ARTIST CAPITAL LLC	INVESTMENT SECURITIES,	
II, LLC	ARXIS SECURITIES LLC	LLC	
A. R. SCHMEIDLER & CO.,	ASPEN TRADING, L.L.C	BEDROK SECURITIES LLC	
INC.	ASSOCIATED INVESTMENT	BENGAL CAPITAL TRADING	
A.B. FINANCIAL L.L.C.	SERVICES, INC.	LLC	
ABBEY NATIONAL SECURITIES	ASSOCIATED OPTIONS, INC.	BENGAL CAPITAL, LLC	
INC.	ATHENE SECURITIES, LLC	BERENSON & COMPANY, LLC	
ABEL NOSER, LLC.	ATLANTIC - PACIFIC CAPITAL,	BERNARD HEROLD & CO.,	
ABEL/NOSER CORP.	INC.	INC.	
ABG SUNDAL COLLIER INC.	ATLAS ONE FINANCIAL	BEXIL SECURITIES LLC	
ACCESS SECURITIES, LLC	GROUP, LLC	BLACKROCK CAPITAL	
ADVISORS ASSET	AUERBACH GRAYSON &	MARKETS, LLC	
ADP BROKER-DEALER, INC	COMPANY LLC	BLACKROCK FUND	
MANAGEMENT, INC.	AURIGA USA, LLC	DISTRIBUTION COMPANY	
AEGIS CAPITAL CORP.	AUTOMATED TRADING DESK	BLUE CAPITAL GROUP LLC	
AIG FINANCIAL SECURITIES	BROKERAGE SERVICES, LLC	BLUE FIRE CAPITAL, LLC	
CORP.	AUTONOMOUS RESEARCH	BMO CAPITAL MARKETS	
AK CAPITAL LLC	LLP	GKST INC.	
ALADDIN CAPITAL LLC	AVANTAX INVESTMENT	BMO HARRIS FINANCIAL	
ALANTRA, LLC	SERVICES, INC.	ADVISORS, INC.	
ALLSTON TRADING LLC	AVATAR CAPITAL GROUP LLC	BMO INVESTMENT	
ALLY SECURITIES LLC	BAADER HELVEA INC.	DISTRIBUTORS, LLC	
ALTERNA SECURITIES, INC.	BAKER TILLY CAPITAL, LLC	BMO NESBITT BURNS	
ALVAREZ & MARSAL	BALANCE SHEET SOLUTIONS	TRADING CORP. S.A.	
SECURITIES, LLC	LLC	BNP PARIBAS PRIME	
AMERICAN PORTFOLIOS	BANC OF AMERICA	BROKERAGE, INC.	
FINANCIAL SERVICES, INC.	SPECIALIST, INC.	BOENNING &	
AMHERST SECURITIES	BANCO VOTORANTIM	SCATTERGOOD, INC.	
GROUP, L.P.	SECURITIES, INC.	BOFA DISTRIBUTORS, INC.	
AMS DERIVATIVES B.V.	BANCWEST INVESTMENT	BONDS.COM, INC.	
AMUNDI DISTRIBUTOR US,	SERVICES, INC.	BOUSTEAD SECURITIES, LLC	
INC.	BB&T INVESTMENT	BRANDT EQUITIES LLC	
ANGEL ISLAND CAPITAL	SERVICES, INC.	BRASIL PLURAL SECURITIES	
SERVICES, LLC	BB&T SECURITIES, LLC	LLC	
APERTURE, LLC	BBVA COMPASS	BRAVER STERN SECURITIES	
AQR INVESTMENTS, LLC	INVESTMENT SOLUTIONS,	LLC	
AQUILLO PARTNERS, L.P.	INC.	BREXAN HOWARD US LLC	
ARCA CAPITAL	BBVA SECURITIES OF PUERTO	BRICKELL GLOBAL MARKETS,	
INVESTMENTS, INC.	RICO, INC.	INC.	
ARES WEALTH	BCS AMERICAS, INC.	BROOKFIELD PRIVATE	
MANAGEMENT SOLUTIONS,		ADVISORS LLC	
LLC			

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

BUILDER ADVISOR GROUP,
LLC
BURKE & QUICK PARTNERS
LLC
BYRD TRADING, LLC
C6 CAPITAL SECURITIES LLC
CAIN BROTHERS &
COMPANY, LLC
CALVERT INVESTMENT
DISTRIBUTORS, INC.
CAMBRIDGE INTERNATIONAL
SECURITIES, INC.
CAMPBELL LUTYENS & CO.
INC.
CANACCORD GENUITY
SECURITIES LLC
CANACCORD WEALTH
MANAGEMENT (USA) INC.
CAPITAL ONE INVESTING, LLC
CARTA CAPITAL MARKETS,
LLC
CASGRAIN & COMPANY
(USA) LIMITED
CBOE FIXED INCOME
MARKETS, LLC
CCA CAPITAL LLC
CCB INTERNATIONAL
OVERSEAS (USA) INC.
CCS TRANSACTIONS, LLC
CGIS SECURITIES LLC
CHASE INVESTMENT
SERVICES CORP.
CHICAGO CAPITAL
MANAGEMENT, L.P.
CHINA RENAISSANCE
SECURITIES (US) INC.
CHOPPER SECURITIES, LLC
CIMB SECURITIES (USA), INC.
CITI ORDER ROUTING AND
EXECUTION, LLC
CITIGROUP DERIVATIVES
MARKETS INC.
CITIZENS CAPITAL MARKETS,
INC.

CITY SECURITIES
CORPORATION
CLARK SECURITIES, INC.
CLARKSON CAPITAL
MARKETS LLC
CLASS VI SECURITIES, LLC
CLEARY GULL INC.
CMCJL, LLC
CME BD SERVICES, INC.
CMT TRADING LLC
CMZ TRADING, LLC
COASTAL SECURITIES, INC.
CODE ADVISORS LLC
COHEN & COMPANY CAPITAL
MARKETS, LLC
COHEN & STEERS
SECURITIES, LLC
COLLINS/BAY ISLAND
SECURITIES, LLC
CONCOURSE FINANCIAL
GROUP SECURITIES, INC.
CONTINUITY PARTNERS
GROUP, LLC
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
CREDICORP CAPITAL LLC
CREDIT AGRICOLE
CHEUVREUX NORTH
AMERICA, INC.
CREDIT SUISSE CAPITAL LLC
CREDIT SUISSE PRIME
SECURITIES SERVICES (USA)
LLC

CREDIT SUISSE PRIVATE
ADVISORS AG
CREDIT SUISSE SECURITIES
(USA) LLC
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
CURIAN CLEARING, LLC
CURTISWOOD CAPITAL, LLC
CUTLER GROUP, LLC
CUTWATER ASSET
MANAGEMENT CORP.
CYNDX ADVISORS LLC
D. BORAL CAPITAL LLC
DAHLMAN ROSE &
COMPANY, LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DAWSON JAMES SECURITIES,
INC.
DB SECURITIES SERVICES NJ
INC.
DBO PARTNERS LLC
DCCA SECURITIES, LLC
DELANEY EQUITY GROUP LLC
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIMENSION TRADING
GROUP, LLC
DINOSAUR FINANCIAL
GROUP, L.L.C.
DIRECT EDGE ECN LLC
DIRECTED SERVICES LLC

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DOFT & CO., INC.
DOUGH LLC
DRIEHAUS SECURITIES LLC
DRIVEWEALTH
INSTITUTIONAL LLC
DUNDEE SECURITIES INC.
DVB CAPITAL MARKETS LLC
E*TRADE CLEARING LLC
E*TRADE SECURITIES LLC
E.J. DE LA ROSA & CO., INC.
EASTDIL SECURED ADVISORS
LLC
EATON PARTNERS, LLC
EBX LLC
ECHOTRADE LLC
EDGEMONT CAPITAL
PARTNERS, L.P.
EG MARKET TECHNOLOGIES
LLC
ELECTRONIC TRANSACTION
CLEARING, INC.
ELEVATION, LLC
EMBED CLEARING LLC
EMMET & CO, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUILEND LLC
EQUITEC PROPRIETARY
MARKETS, LLC
EQUITEC SPECIALISTS, LLC
EQUITYZEN SECURITIES LLC
ESL INVESTMENT SERVICES,
LLC
ESTRADA HINOJOSA &
COMPANY, INC.
ETC BROKERAGE SERVICES,
LLC
EXANE, INC.
EXECUTION ACCESS, LLC
EXOTIX USA INC.
FACTSET DATA SYSTEMS,
INC.
FAGENSON & CO., INC.
FAIRMOUNT PARTNERS LP

FELTL & COMPANY
FIDELITY DISTRIBUTORS
CORPORATION
FIG PARTNERS, LLC
FIRST ALLIED SECURITIES,
INC.
FIRST ANALYSIS SECURITIES
CORPORATION
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 WINSTON SECURITIES,
INC.
FIXED INCOME CAPITAL
PARTNERS, LLC
FLAGSTAR ADVISORS INC
FLORIDA ATLANTIC
SECURITIES CORP.
FLOW TRADERS U.S.
INSTITUTIONAL TRADING LLC
FM PARTNERS HOLDINGS LLC
FOCALPOINT SECURITIES, LLC
FORESTERS FINANCIAL
SERVICES, INC.

FORETHOUGHT
DISTRIBUTORS, LLC
FORGE MARKETS LLC
FOX RIVER EXECUTION
TECHNOLOGY, LLC
FRANKLIN/TEMPLETON
DISTRIBUTORS, INC.
FREEDOM INVESTMENTS,
INC.
FS INVESTMENT SOLUTIONS,
LLC
FSC SECURITIES
CORPORATION
FSP INVESTMENTS LLC
FT GLOBAL CAPITAL, INC.
G-2 TRADING,LLC
G-BAR LIMITED
PARTNERSHIP
G-TRADE SERVICES LLC
G2 TRADING LLC
GAGNON SECURITIES, LLC
GALLAGHER SECURITIES, INC
GARGOYLE STRATEGIC
INVESTMENTS L.L.C.
GDK, INC.
GE CAPITAL MARKETS, INC.
GENESIS CAPITAL, LLC
GEORGE K. BAUM &
COMPANY
GETCO EXECUTION SERVICES
LLC
GETCO SECURITIES, LLC
GLEACHER & COMPANY
SECURITIES, INC.
GLICKENHAUS & CO.
GLOBAL ALTERNATIVE
INVESTMENT SERVICES, INC.
GLOBAL HUNTER SECURITIES,
LLC
GMP SECURITIES, LLC
GOLDMAN SACHS
EXECUTION & CLEARING, L.P.
GOLDMAN SACHS FINANCIAL
MARKETS, L.P.

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GP BULLHOUND INC.
 GRAY WHALE CAPITAL, LLC
 GREEN STREET ADVISORS,
 LLC
 GRIFFIN FINANCIAL GROUP,
 LLC
 GRIFFITHS MCBURNEY CORP.
 GROVE POINT INVESTMENTS,
 LLC
 GUARDIAN INVESTOR
 SERVICES LLC
 GUGGENHEIM
 DISTRIBUTORS, LLC
 GUZMAN & COMPANY
 GX2 SPREAD MARKETS, LLC
 H2C SECURITIES INC.
 HAITONG SECURITIES USA
 LLC
 HALES SECURITIES, LLC
 HANSON MCCLAIN
 RETIREMENT NETWORK, LLC
 HAPOALIM SECURITIES USA,
 INC.
 HARD EIGHT TRADING, LLC
 HARDCASTLE TRADING USA
 L.L.C.
 HBK GLOBAL SECURITIES L.P.
 HEFREN-TILLOTSON, INC.
 HFF SECURITIES L.P.
 HOLD BROTHERS CAPITAL
 LLC
 HOULIHAN LOKEY ADVISORS,
 LLC
 HOWARD WEIL
 INCORPORATED
 HPS SECURITIES, LLC
 HULL PARTNERS LLC
 HUNT FINANCIAL
 SECURITIES, LLC
 IB CAPITAL LLC
 IBERIA CAPITAL PARTNERS
 L.L.C.
 ICM SECURITIES, LLC
 ICR CAPITAL LLC

IEX SERVICES LLC
 IFC HOLDINGS, INC.
 IMA WEALTH, INC.
 INCENTER SECURITIES
 GROUP LLC
 INCENTRUM SECURITIES, LLC
 INDUSTRIAL AND
 COMMERCIAL BANK OF
 CHINA FINANCIAL SERVICES
 LLC
 INSIGNEO INTERNATIONAL
 FINANCIAL SERVICES LLC
 INTERNATIONAL STRATEGY &
 INVESTMENT GROUP LLC
 INTL FILLMORE ADVISORS
 LLC
 INVEMED ASSOCIATES LLC
 INVESTACORP, INC.
 INVESTEC SECURITIES (US)
 LLC
 INVESTMENT CENTERS OF
 AMERICA, INC.
 IVY DISTRIBUTORS, INC.
 J.J.B. HILLIARD, W.L. LYONS,
 LLC
 J.P. MORGAN CLEARING
 CORP.
 J.W. COLE FINANCIAL, INC.
 JANE STREET MARKETS, LLC
 JEFFERIES BACHE
 SECURITIES, LLC
 JEFFERIES EXECUTION
 SERVICES, INC.
 JEFFERIES HIGH YIELD
 TRADING, LLC
 JOE JOLLY & CO., INC.
 JOHNSON RICE & COMPANY
 L.L.C.
 JVB FINANCIAL GROUP, LLC
 KBC SECURITIES USA LLC
 KGS-ALPHA CAPITAL
 MARKETS, L.P.
 KMS FINANCIAL SERVICES,
 INC.

KNIGHT CAPITAL AMERICAS,
 L.P.
 KOYOTE TRADING LLC
 KROLL SECURITIES LLC
 L.J. HART AND COMPANY
 L.M. KOHN & COMPANY
 LADDER CAPITAL SECURITIES
 LLC
 LAKE STREET CAPITAL
 MARKETS, LLC
 LAKESHORE SECURITIES, L.P.
 LAVAFLOW, INC.
 LAZARD MIDDLE MARKET LLC
 LEK SECURITIES
 CORPORATION
 LEONIS SECURITIES, LLC
 LFT SECURITIES, LLC
 LIGHTSPEED FINANCIAL
 SERVICES GROUP LLC
 LIQUIDITYEDGE, LLC.
 LIQUIDPOINT, LLC
 LOEB PARTNERS
 CORPORATION
 LOMBARD ODIER
 TRANSATLANTIC LIMITED
 LUMA SECURITIES LLC
 LUPO SECURITIES, LLC
 M&I FINANCIAL ADVISORS,
 INC.
 M3 INVESTMENT GROUP LLC
 MACQUARIE CAPITAL
 MARKETS NORTH AMERICA
 LTD.
 MACRO RISK ADVISORS LLC
 MAPLE SECURITIES U.S.A.
 INC.
 MAREX NORTH AMERICA
 SECURITIES LLC
 MARKS BAUGHAN
 SECURITIES LLC
 MARSHBERRY CAPITAL, LLC.
 MCADAMS WRIGHT RAGEN,
 INC.

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

MEDIOBANCA SECURITIES
USA LLC
MERCHANT CAPITAL, L.L.C.
MERIDIAN CAPITAL LLC
MERRILL LYNCH FINANCIAL
MARKETS, INC.
MERRILL LYNCH
PROFESSIONAL CLEARING
CORP.
MERUS CAPITAL PARTNERS,
LLC
MICROVENTURE
MARKETPLACE INC.
MILLCO ADVISORS, LP
MILLER BUCKFIRE & CO., LLC
MILLER TABAK + CO., LLC
MINT BROKERS
MIRAE ASSET WEALTH
MANAGEMENT (USA) INC.
MITCHELL ENERGY
ADVISORS, LLC
MKM PARTNERS LLC
MND PARTNERS, INC.
MOCHO TRADING LLC
MOG CAPITAL L.L.C.
MONTMINY SECURITIES, LLC
MOORELAND PARTNERS LLC
MOORS & CABOT, INC.
MORGAN JOSEPH
TRIARTISAN LLC
MORGAN KEEGAN &
COMPANY, LLC
MORNINGSTAR INVESTMENT
SERVICES LLC
MOTIF INVESTING, INC.
MOUNTAINVIEW
SECURITIES, LLC
MPS GLOBAL SECURITIES, LLC
MS SECURITIES SERVICES
INC.
MSI FINANCIAL SERVICES,
INC.
MUFG AMERICAS
CORPORATE ADVISORY, INC.

MUTUAL OF AMERICA LIFE
INSURANCE COMPANY
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
NASDAQ OPTIONS SERVICES,
LLC
NATHAN HALE CAPITAL, LLC
NATIONAL PLANNING
CORPORATION
NATIONAL SECURITIES
CORPORATION
NATIXIS DERIVATIVES INC.
NBF SECURITIES (USA) CORP.
NELNET CAPITAL LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE USA, LLC
NEWPORT GROUP
SECURITIES, INC.
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL
PRODUCTS INC.
NOMURA GREENTECH
CAPITAL ADVISORS, LLC
NOMURA SECURITIES NORTH
AMERICA, LLC
NORTH BRIDGE CAPITAL, LLC
NORTHSTAR SECURITIES, LLC
NUMIS SECURITIES INC.
OASIS PRO MARKETS LLC
OBD SECURITIES LLC
OCTEG, LLC
ODEON CAPITAL GROUP LLC
OHIO NATIONAL EQUITIES,
INC.
ONPEAK CAPITAL LLC
OPENDOOR SECURITIES LLC
OPPENHEIMERFUNDS
DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSPRESS, INC.

ORIENTAL FINANCIAL
SERVICES LLC
OSAIC FA, INC.
OSAIC FS, INC.
OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
PACER FINANCIAL, INC.
PACIFIC CENTURY
SECURITIES, LLC
PACIFIC CREST SECURITIES
LLC
PARETO SECURITIES INC.
PARIS SECURITIES
CORPORATION
PARK HILL REAL ESTATE
GROUP LLC
PARK SUTTON SECURITIES,
LLC
PAULSON INVESTMENT
COMPANY LLC
PEAK6 PERFORMANCE
MANAGEMENT LLC
PEAK6 VEGA MASTER FUND
LLC
PENSON FINANCIAL
SERVICES, INC.
PEOPLE'S SECURITIES, INC.
PFM FUND DISTRIBUTORS,
INC.
PHOENIX DERIVATIVES
GROUP, LLC
PHX FINANCIAL, INC.
PIPELINE TRADING SYSTEMS
LLC
PMA SECURITIES, LLC
PORTIGON SECURITIES INC.
POTAMUS TRADING, LLC
PRAGMA LLC
PRECISION SECURITIES, LLC
PREFERRED CAPITAL
SECURITIES, LLC

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PROBITAS FUNDS GROUP,
 LLC
 PTR, INC.
 PULSE TRADING, INC.
 PUTNAM RETAIL
 MANAGEMENT LIMITED
 PARTNERSHIP
 Q ADVISORS LLC
 QUAD CAPITAL, LLC
 QUAD SECURITIES LLC
 QUANTLAB SECURITIES LP
 QUASAR DISTRIBUTORS, LLC
 QUESTAR CAPITAL
 CORPORATION
 QUIET LIGHT SECURITIES, LLC
 R.J. O'BRIEN SECURITIES, LLC
 R.W.PRESSPRICH & CO.
 RAFFERTY CAPITAL
 MARKETS, LLC
 RAINIER SECURITIES, LLC
 RAMAT SECURITIES LTD.
 RAYMOND JAMES
 INSURANCE GROUP, INC.
 RCI LIMITED PARTNERSHIP
 REALCADRE LLC
 RED CEDAR TRADING, LLC
 REDBIRD BD, LLC
 REDI GLOBAL TECHNOLOGIES
 LLC
 RELATED FINANCIAL
 SERVICES, LLC
 RENCAP SECURITIES, INC.
 RESOLUTE INVESTMENT
 DISTRIBUTORS, INC.
 REUTERS TRANSACTION
 SERVICES LLC
 RGM SECURITIES, LLC
 RIVERSTONE CAPITAL
 SERVICES LLC
 RODMAN & RENSHAW, LLC
 RONIN CAPITAL, LLC
 ROSELAINE SECURITIES LLC
 ROSENTHAL GLOBAL
 SECURITIES LLC

ROSS, SINCLAIRE &
 ASSOCIATES, LLC
 ROYCE FUND SERVICES, LLC
 RUANE, CUNNIFF &
 GOLDFARB LLC
 RUSSELL INVESTMENTS
 FINANCIAL SERVICES, LLC
 SAMI BROKERAGE LLC
 SANDERS MORRIS HARRIS
 INC.
 SANDLER, O'NEILL &
 PARTNERS, L.P.
 SANTANDER INTERNATIONAL
 SECURITIES, INC.
 SANTANDER INVESTMENT
 SECURITIES INC.
 SBERBANK CIB USA, INC
 SCHRODER FUND ADVISORS
 LLC
 SCOTT & STRINGFELLOW, LLC
 SCOTTRADE, INC.
 SCOUT TRADING, LLC
 SEA OTTER SECURITIES
 GROUP LLC
 SEATTLE-NORTHWEST
 SECURITIES CORPORATION
 SECURITIES AMERICA, INC.
 SECURITIES MANAGEMENT
 AND RESEARCH, INC.
 SECURITIES SERVICE
 NETWORK, LLC
 SENTINEL FINANCIAL
 SERVICES COMPANY
 SENVEST INTERNATIONAL
 L.L.C.
 SHAY FINANCIAL SERVICES,
 INC.
 SHEARMAN, RALSTON INC.
 SHELBY CULLOM DAVIS &
 CO., L.P.
 SHERMAN & COMPANY LLC
 SIERRA PACIFIC SECURITIES,
 LLC

SIGNAL HILL CAPITAL GROUP
 LLC
 SIGNATOR INVESTORS, INC.
 SII INVESTMENTS, INC.
 SIMMONS & COMPANY
 INTERNATIONAL
 SIMMONS FIRST
 INVESTMENT GROUP, INC.
 SIMON MARKETS LLC
 SIXPOINT PARTNERS LLC
 SOLOMON PARTNERS
 SECURITIES, LLC
 SPARTAN CAPITAL
 SECURITIES, LLC
 SPHINX TRADING, LP
 SPOT TRADING L.L.C.
 SPROTT GLOBAL RESOURCE
 INVESTMENTS LTD
 SPURRIER CAPITAL
 PARTNERS LLC
 STANDARD CREDIT
 SECURITIES INC.
 STANDARD NEW YORK, INC.
 STEBEN & COMPANY, LLC
 STERNE, AGEE & LEACH, INC.
 STOCKCROSS FINANCIAL
 SERVICES, INC.
 STOEVEY, GLASS & COMPANY
 INC.
 STONE & YOUNGBERG LLC
 STORMHARBOUR SECURITIES
 LP
 STRATEGAS SECURITIES, LLC
 STUDENT OPTIONS, LLC
 SUMMIT BROKERAGE
 SERVICES, INC.
 SUN LIFE FINANCIAL
 DISTRIBUTORS, INC.
 SUNGARD INSTITUTIONAL
 BROKERAGE INC.
 SUNRISE BROKERS LLC
 SVB INVESTMENT SERVICES
 INC.

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SVB SECURITIES, A NON-
 BANK AFFILIATE OF SILICON
 VALLEY BANK
 SWEDBANK SECURITIES US,
 LLC
 SWENEY CARTWRIGHT &
 COMPANY
 SYSTEMATIZED BENEFITS
 ADMINISTRATORS, INC.
 T.R. WINSTON & COMPANY,
 LLC
 TD AMERITRADE CLEARING,
 INC.
 TD AMERITRADE, INC.
 TD PRIME SERVICES LLC
 TEACHERS PERSONAL
 INVESTORS SERVICES, INC.
 TELEMETRY SECURITIES,
 L.L.C.
 TFS DERIVATIVES LLC
 THE BUCKINGHAM
 RESEARCH GROUP
 INCORPORATED
 THE VERTICAL TRADING
 GROUP, LLC
 THE WILLIAMS CAPITAL
 GROUP, L.P.
 THOMAS WEISEL PARTNERS
 LLC
 THREE BROTHERS TRADING,
 LLC
 THRIVENT DISTRIBUTORS,
 LLC
 TIBRA TRADING AMERICA
 LLC
 TICONDEROGA SECURITIES
 LLC
 TM CAPITAL CORP.
 TMC BONDS L.L.C.
 TMT INVESTMENTS, LLC
 TORO TRADING LLC
 TOWER SQUARE SECURITIES,
 INC.

TOWERS WATSON CAPITAL
 MARKETS INC.
 TRADE INFORMATICS LLC
 TRADELINK L.L.C.
 TRADEMAS INC.
 TRANSMARKET GROUP L.L.C.
 TRIAD ADVISORS LLC
 TRIBAL CAPITAL MARKETS,
 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
 UBS FINANCIAL SERVICES
 INCORPORATED OF PUERTO
 RICO
 ULLICO INVESTMENT
 COMPANY, LLC
 UNITED CAPITAL MARKETS,
 INC.
 UNIVEST SECURITIES, LLC
 USAA FINANCIAL ADVISORS,
 INC.
 UVEST FINANCIAL SERVICES
 GROUP, INC.
 VALLEY FORGE ASSET
 MANAGEMENT, LLC
 VAQUERO CAPITAL LLC
 VECTORGLOBAL WMG, INC.
 VINING-SPARKS IBG, LLC
 VIRTU FINANCIAL BD LLC
 VIRTU FINANCIAL CAPITAL
 MARKETS LLC
 VIRTU ITG LLC
 VIRTUS CAPITAL MARKETS
 LLC
 VOLANT LIQUIDITY, LLC

VOYA RETIREMENT
 ADVISORS, LLC
 VRA PARTNERS, LLC
 WACHTEL & CO., INC.
 WADDELL & REED, INC.
 WAKE USA LLC
 WALNUT STREET SECURITIES,
 INC.
 WEEDEN & CO.L.P.
 WELLS FARGO
 INSTITUTIONAL SECURITIES,
 LLC
 WILMINGTON BROKERAGE
 SERVICES COMPANY
 WINTRUST INVESTMENTS
 LLC
 WOLVERINE SECURITIES, LLC
 WOODBURY FINANCIAL
 SERVICES, INC.
 WOODROCK SECURITIES, L.P.
 WORLD GROUP SECURITIES,
 INC.
 WSA FIXED INCOME, LLC
 XAMBALA CAPITAL, LLC
 XMS CAPITAL PARTNERS, LLC
 ZEBED SECURITIES, LLC
 ZELMAN PARTNERS, LLC
 ZIV INVESTMENT COMPANY
 &PARTNERS
 2021 CAPITAL, LLC
 A.G.P. / ALLIANCE GLOBAL
 PARTNERS, LLC
 AARDVARK SECURITIES LLC
 ABN AMRO CAPITAL
 MARKETS (USA) LLC
 ABN AMRO CLEARING USA
 LLC
 ABSA SECURITIES U.S. INC.
 ACADEMY SECURITIES, INC.
 ACORNS SECURITIES, LLC
 ADELPHI STOCK BROKERS
 INC.
 ADP BROKER-DEALER, INC.
 AERIS PARTNERS LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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ALLEN & COMPANY LLC
ALPINE SECURITIES
CORPORATION
AMERANT INVESTMENTS,
INC.
AMERICAN CENTURY
INVESTMENT SERVICES, INC.
AMERITAS INVESTMENT
COMPANY, LLC
AMUNI FINANCIAL, INC.
ANZ SECURITIES, INC.
APOLLO GLOBAL SECURITIES,
LLC
ARBOR RESEARCH &
TRADING, LLC
ARCHIPELAGO SECURITIES
L.L.C.
ARDEA PARTNERS LP
ARVEST INVESTMENTS, INC.
ASL CAPITAL MARKETS INC.
AVATAR SECURITIES, LLC
B. C. ZIEGLER AND COMPANY
B. RILEY WEALTH
MANAGEMENT, INC.
BANCO DO BRASIL
SECURITIES LLC
BANCROFT CAPITAL, LLC
BARON CAPITAL, INC.
BC PARTNERS SECURITIES LLC
BCP SECURITIES, INC.
BDT & MSD PARTNERS, LLC
BELLE HAVEN INVESTMENTS,
L.P.
BENJAMIN F. EDWARDS &
COMPANY, INC.
BERKSHIRE GLOBAL
ADVISORS LP
BGC FINANCIAL, L.P.
BLACKARCH SECURITIES LLC
BLACKROCK EXECUTION
SERVICES
BLACKROCK INVESTMENTS,
LLC
BLAYLOCK VAN, LLC

BLOOMBERG TRADEBOOK
LLC
BNY MELLON CAPITAL
MARKETS, LLC
BOFA SECURITIES, INC.
BOREAL CAPITAL SECURITIES
LLC
BOSTON PARTNERS
SECURITIES, L.L.C.
BRADESCO SECURITIES, INC.
BRIGHT TRADING, LLC
BROADRIDGE BUSINESS
PROCESS OUTSOURCING, LLC
BROWNSTONE INVESTMENT
GROUP, LLC
BTIG, LLC
C. L. KING & ASSOCIATES,
INC.
C&C TRADING L.L.C.
CABRERA CAPITAL MARKETS,
LLC
CALAMOS FINANCIAL
SERVICES LLC
CANACCORD GENUITY LLC
CANTOR FITZGERALD & CO.
CAPITAL ONE SECURITIES,
INC.
CASCADIA CAPITAL, LLC
CASTLEOAK SECURITIES, LP
CENTAURUS FINANCIAL, INC.
CETERA FINANCIAL
SPECIALISTS LLC
CF SECURED, LLC
CHARLES RIVER BROKERAGE,
LLC
CHIMERA SECURITIES, LLC
CITIC SECURITIES
INTERNATIONAL USA, LLC
CITICORP SECURITIES
SERVICES, INC.
CITIGROUP GLOBAL
MARKETS INC.
CITIZENS JMP SECURITIES,
LLC

CITIZENS SECURITIES, INC.
CLEVELAND RESEARCH
COMPANY LLC
CLSA AMERICAS, LLC
CMG SECURITIES LLC
COHEN & COMPANY
SECURITIES, LLC
COLLIERS SECURITIES LLC
COMERICA SECURITIES, INC.
COMMERCE BROKERAGE
SERVICES, INC.
COMMERZ MARKETS LLC
COMMONFUND SECURITIES,
INC.
COMMONWEALTH EQUITY
SERVICES, LLC
CORMARK SECURITIES (USA)
LIMITED
CREWS & ASSOCIATES, INC.
CTC, LLC
CURVATURE SECURITIES LLC
D.A. DAVIDSON & CO.
DAIWA CAPITAL MARKETS
AMERICA INC.
DANSKE MARKETS INC.
DAVENPORT & COMPANY
LLC
DBS VICKERS SECURITIES
(USA) INC.
DELAWARE DISTRIBUTORS,
L.P.
DELOITTE CORPORATE
FINANCE LLC
DESJARDINS SECURITIES
INTERNATIONAL INC.
DEUTSCHE BANK SECURITIES
INC.
DOMINARI SECURITIES LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DZ FINANCIAL MARKETS LLC
EQUITABLE ADVISORS, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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ERNST & YOUNG CAPITAL
ADVISORS, LLC
EVERCORE GROUP L.L.C.
FIFTH THIRD SECURITIES,
INC.
FIRST BALLANTYNE, LLC
FIRST BANKERS' BANC
SECURITIES, INC
FIRST BROKERS SECURITIES
LLC
FIRST TRUST PORTFOLIOS
L.P.
FMSBONDS, INC.
FMX EXECUTION, LLC
FOLIO INVESTMENTS, INC.
FR TRADING LLC
FRED ALGER & COMPANY,
LLC
FTP SECURITIES LLC
FUTU CLEARING INC
GAMMA SECURITIES, LLC
GBM INTERNATIONAL, INC.
GBS RETIREMENT SERVICES,
INC.
GFI SECURITIES LLC
GORDON DYAL & CO., LLC
GREEN PIER FINTECH LLC
GRIFFIN CAPITAL SECURITIES,
LLC
GRIFFINVEST ASIA SECURITIES,
LLC
GROUP ONE TRADING LLC
HANDELSBANKEN MARKETS
SECURITIES, INC.
HARRIS WILLIAMS LLC
HAYWOOD SECURITIES (USA)
INC.
HEALTHCARE COMMUNITY
SECURITIES CORP.
HEG SECURITIES, LLC
HENNION & WALSH, INC.
HILLTOP SECURITIES INC.
HOME FINANCIAL SERVICES,
INC.

HORNOR, TOWNSEND &
KENT, LLC
HOULIHAN LOKEY CAPITAL,
INC.
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUB INTERNATIONAL
INVESTMENT SERVICES INC.
IBKR SECURITIES SERVICES
LLC
IBS HOLDING CORPORATION
ICBC STANDARD SECURITIES
INC.
ICE BONDS SECURITIES
CORPORATION
ICE SECURITIES EXECUTION &
CLEARING, LLC
IMPERIAL CAPITAL, LLC
INDEPENDENCE POINT
SECURITIES LLC
ING FINANCIAL MARKETS LLC
INTERACTIVE BROKERS
CORP.
INTERACTIVE BROKERS LLC
INTERCOASTAL CAPITAL
MARKETS, INC.
INVESCO CAPITAL MARKETS,
INC.
INVESCO DISTRIBUTORS, INC.
INVESTMENT DISTRIBUTORS,
INC.
INVESTMENT PLACEMENT
GROUP
J.P. MORGAN INSTITUTIONAL
INVESTMENTS INC.
JACKSON NATIONAL LIFE
DISTRIBUTORS LLC
JAG TRADING L.L.C.
JEFFERIES LLC
JPMORGAN DISTRIBUTION
SERVICES, INC.
JWTT INC.

KBFG SECURITIES AMERICA
INC.
KEEFE, BRUYETTE & WOODS,
INC.
KEY INVESTMENT SERVICES
LLC
KIPPSDESANTO & COMPANY
LAFISE SECURITIES LLC
LARRAINVIAL SECURITIES US
LLC
LATOUR TRADING LLC
LAZARD FRERES & CO. LLC
LEVEL MARKETS, LLC
LIQUIDNET, INC.
LOOP CAPITAL MARKETS LLC
LPL FINANCIAL LLC
LUMENT SECURITIES, LLC
M&T SECURITIES, INC.
MAN INVESTMENTS INC.
MARATHON CAPITAL
MARKETS, LLC
MAREX CAPITAL MARKETS
INC.
MAXIM GROUP LLC
MBX CLEARING LLC
MCAP LLC
MERCER ALLIED COMPANY,
L.P.
MFR SECURITIES, INC.
MFS FUND DISTRIBUTORS,
INC.
MIDDLEGATE SECURITIES
INC.
MILLBURN RIDGEFIELD LLC
MIURA CAPITAL, LLC
MIZUHO SECURITIES
CANADA INC.
MIZUHO SECURITIES USA LLC
MMA SECURITIES LLC
MMC SECURITIES LLC
MML INVESTORS SERVICES,
LLC
MONEX SECURITIES, INC.
MONTEC SECURITIES LLC

Public Company Accounting Oversight Board
 Brokers and Dealers With No Outstanding
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MOOMOO FINANCIAL INC.
 MOUNTAINSIDE SECURITIES
 LLC
 MTS SECURITIES, LLC
 MULTI-BANK SECURITIES,
 INC.
 N.I.S. FINANCIAL SERVICES,
 INC.
 NABSECURITIES, LLC
 NATIONWIDE FUND
 DISTRIBUTORS LLC
 NATIONWIDE SECURITIES,
 LLC
 NEEDHAM & COMPANY, LLC
 NH INVESTMENT &
 SECURITIES AMERICA, INC.
 NORTH POINT MERGERS
 AND ACQUISITIONS, INC.
 NUVEEN SECURITIES, LLC
 NYLIFE DISTRIBUTORS LLC
 NYLIFE SECURITIES LLC
 O'NEIL SECURITIES
 INCORPORATED
 ODDO BHF NEW YORK
 CORPORATION
 OLD MISSION CAPITAL, LLC
 OLD MISSION MARKETS LLC
 ONECHRONOS MARKETS LLC
 OPPENHEIMER & CO. INC.
 PFS INVESTMENTS INC.
 PGM GLOBAL INC.
 POPULAR SECURITIES, LLC
 PRIMERICA BROKERAGE
 SERVICES, INC.
 PRUCO SECURITIES, LLC.
 PRUDENTIAL ANNUITIES
 DISTRIBUTORS, INC
 PRUDENTIAL INVESTMENT
 MANAGEMENT SERVICES LLC
 PUBLIC VENTURES, LLC
 PURESTREAM, LLC
 R. F. LAFFERTY & CO., INC.
 R. SEELAUS & CO., LLC

RB INTERNATIONAL
 MARKETS (USA) LLC
 RBC CMA LTD
 REDBURN (USA) LLC
 REGAL SECURITIES, INC.
 REGIONS SECURITIES LLC
 ROBERT W. BAIRD & CO.
 INCORPORATED
 ROCKEFELLER FINANCIAL LLC
 ROTH CAPITAL PARTNERS,
 LLC
 ROTHSCHILD & CO US INC.
 RQD* CLEARING, LLC
 SAMCO CAPITAL MARKETS,
 INC.
 SANTANDER US CAPITAL
 MARKETS LLC
 SEAPORT SECURITIES CORP.
 SECURITY DISTRIBUTORS, LLC
 SEI INVESTMENTS
 DISTRIBUTION CO.
 SEVEN POINTS CAPITAL, LLC
 SIMPLEX TRADING, LLC
 SOLEBURY CAPITAL LLC
 SPC CAPITAL MARKETS LLC
 SPIDERROCK EXS, LLC
 STATE STREET GLOBAL
 MARKETS, LLC
 STEPHENS INC.
 STERLING SMITH
 CORPORATION
 STERLING, GRACE
 MUNICIPAL SECURITIES
 CORPORATION
 STEWARD PARTNERS
 INVESTMENT SOLUTIONS,
 LLC
 STIFEL, NICOLAUS &
 COMPANY, INCORPORATED
 SUMMIT SECURITIES GROUP
 LLC
 SWBC INVESTMENT
 SERVICES, LLC

TALCOTT RESOLUTION
 DISTRIBUTION COMPANY,
 INC.
 TASTYTRADE, INC.
 TCG CAPITAL MARKETS L.L.C.
 THE BANK STREET GROUP
 L.L.C.
 THE GMS GROUP, LLC
 THE KLEIN GROUP, LLC
 THINKEQUITY LLC
 TIAA-CREF INDIVIDUAL &
 INSTITUTIONAL SERVICES,
 LLC
 TICKRS CLEARING
 TOURMALINE PARTNERS, LLC
 TOWER PRINCIPAL MARKETS
 LLC
 TOYOTA FINANCIAL SERVICES
 SECURITIES USA
 CORPORATION
 TRADEBOT SYSTEMS, INC.
 TRADELINK SECURITIES, LLC
 TRADESTATION SECURITIES,
 INC.
 TRADEUP SECURITIES, INC.
 TRANSAMERICA CAPITAL, LLC
 TRANSAMERICA FINANCIAL
 ADVISORS, LLC
 TRANSAMERICA INVESTORS
 SECURITIES, LLC
 TRC MARKETS LLC
 TRIPLETREE, LLC
 TRUIST INVESTMENT
 SERVICES, INC.
 TRUIST SECURITIES, INC.
 U.S. BANCORP
 INVESTMENTS, INC.
 UMB FINANCIAL SERVICES,
 INC.
 UNICREDIT CAPITAL
 MARKETS LLC
 UNITED BROKERAGE
 SERVICES, INC
 US TIGER SECURITIES, INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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VALLEY FINANCIAL
MANAGEMENT, INC.
VAN ECK SECURITIES
CORPORATION
VANAHEIM SECURITIES, LLC
VELOCITY CAPITAL, LLC
VELOCITY CLEARING, LLC
VELOX CLEARING LLC
VISION FINANCIAL MARKETS
LLC
VOYA INVESTMENTS
DISTRIBUTOR, LLC
VP DISTRIBUTORS LLC
WALLACHBETH CAPITAL LLC
WELLINGTON SHIELDS & CO.,
LLC
WESTPAC CAPITAL MARKETS
LLC
WILLIAM BLAIR & COMPANY
L.L.C.
WILLIAMS TRADING LLC
XR SECURITIES LLC
XTELLUS CAPITAL PARTNERS,
INC.
XTX EXECUTION SERVICES
LLC
XTX MARKETS LLC
YORKVILLE IVES & CO., LLC
ZEUS FINANCIAL, LLC