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Washington, DC 20006
Office: (202) 207-9100
www.pcaobus.org

**List of Brokers and Dealers with No Outstanding Past-Due Share of the Broker-Dealer Accounting Support Fee**

**Determination of Payment under PCAOB Rule 7104(b)**

**As of November 06, 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 November 06, 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).

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[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).

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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 06, 2026

AVATAR SECURITIES, LLC
AVM, L.P.
AXOS CLEARING LLC
B. C. ZIEGLER AND COMPANY
B. RILEY WEALTH MANAGEMENT, INC.
BAADER HELVEA INC.
BAIRD STRATEGAS LLC
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
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
BCP SECURITIES, INC.
BCS AMERICAS, INC.
BD25-HONEY BADGER INVESTMENT SECURITIES, LLC
BDT & MSD PARTNERS, LLC
BEDROK SECURITIES LLC
BELLE HAVEN INVESTMENTS, L.P.
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.
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
BLAYLOCK VAN, LLC
BLOOMBERG TRADEBOOK LLC
BLUE CAPITAL GROUP LLC
BLUE FIRE CAPITAL, LLC
BLUEFIN CAPITAL MANAGEMENT, LLC
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.
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.
BONDS.COM, INC.
BOREAL CAPITAL SECURITIES LLC
BOSTON PARTNERS SECURITIES, L.L.C.
BOUSTEAD SECURITIES, LLC
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC
BRASIL PLURAL SECURITIES LLC
BRAVER STERN SECURITIES LLC
BREAN CAPITAL, LLC
BREVAN HOWARD US LLC
BREX TREASURY LLC
BRICKELL GLOBAL MARKETS, INC.
BRIGHT TRADING, LLC
BRIGHTHOUSE SECURITIES, LLC
BROADRIDGE BUSINESS PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD OAKTREE WEALTH SOLUTIONS LLC
BROOKFIELD PRIVATE ADVISORS 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
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 ONE INVESTING, LLC
CAPITAL ONE SECURITIES, INC.
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 FINANCIAL SPECIALISTS LLC
CETERA INVESTMENT SERVICES LLC
CF SECURED, LLC
CGIS SECURITIES LLC
CHAMPLAIN ADVISORS, LLC
CHARDAN CAPITAL MARKETS LLC
CHARLES RIVER BROKERAGE, LLC
CHARLES SCHWAB & CO., INC.
CHASE INVESTMENT SERVICES CORP.
CHICAGO CAPITAL MANAGEMENT, L.P.
CHIMERA SECURITIES, LLC
CHINA RENAISSANCE SECURITIES (US) INC.
CHOPPER SECURITIES, LLC
CIBC WORLD MARKETS CORP.
CICC US SECURITIES, INC.
CIMB SECURITIES (USA), INC.
CITADEL CLEARING LLC
CITADEL SECURITIES INSTITUTIONAL LLC
CITADEL SECURITIES LLC
CITI ORDER ROUTING AND EXECUTION, LLC
CITIC SECURITIES INTERNATIONAL USA, LLC
CITICORP SECURITIES SERVICES, INC.
CITIGROUP DERIVATIVES MARKETS INC.
CITIGROUP GLOBAL MARKETS INC.
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
CLEARY GULL INC.
CLEVELAND RESEARCH COMPANY 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
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 EQUITY SERVICES, LLC
COMPASS POINT RESEARCH & TRADING, LLC
CONCOURSE FINANCIAL GROUP SECURITIES, INC.
CONTINUITY PARTNERS GROUP, LLC
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
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.
DAHLMAN ROSE & COMPANY, LLC
DAIWA CAPITAL MARKETS AMERICA INC.
DANSKE MARKETS INC.
DASH FINANCIAL TECHNOLOGIES LLC
DAVENPORT & COMPANY LLC
DAVID LERNER ASSOCIATES, INC.
DAVIS DISTRIBUTORS, LLC
DAWSON JAMES SECURITIES, INC.
DB SECURITIES SERVICES NJ INC.
DBO PARTNERS LLC
DBS VICKERS SECURITIES (USA) INC.
DCCA SECURITIES, LLC
DELANEY EQUITY GROUP LLC
DELAWARE DISTRIBUTORS, L.P.
DELOITTE CORPORATE FINANCE LLC
DESJARDINS SECURITIES INTERNATIONAL INC.
DEUTSCHE BANK SECURITIES INC.
DEVELOPMENT CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIGITAL BROKERAGE SERVICES LLC
DIMENSION TRADING GROUP, LLC
DINOSAUR FINANCIAL GROUP, L.L.C
DIRECT EDGE ECN LLC
DIRECTED SERVICES LLC
DOFT & CO., INC.
DOMINARI SECURITIES LLC
DOUGH LLC
DOWLING & PARTNERS SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DRIVEWEALTH INSTITUTIONAL LLC
DRW EXECUTION SERVICES, LLC
DRW SECURITIES, L.L.C.
DUNDEE SECURITIES INC.

DV EQUITIES, LLC
DV SECURITIES, LLC
DVB CAPITAL MARKETS LLC
DWS DISTRIBUTORS, INC.
DZ FINANCIAL MARKETS LLC
E*TRADE CLEARING LLC
E*TRADE SECURITIES LLC
E.J. DE LA ROSA & CO., INC.
EARLYBIRDCAPITAL, INC.
EAST WEST MARKETS, LLC
EASTDIL SECURED ADVISORS LLC
EATON PARTNERS, LLC
EATON VANCE DISTRIBUTORS, INC.
EBX LLC
ECHOTRADE LLC
EDGEMONT CAPITAL PARTNERS, L.P.
EDWARD D. JONES & CO., L.P.
EG MARKET TECHNOLOGIES LLC
ELECTRONIC TRANSACTION CLEARING, INC.
ELEQUIN SECURITIES LLC
ELEVATION, LLC
EMBED CLEARING LLC
EMMET & CO, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUILEND LLC
EQUITABLE ADVISORS, LLC
EQUITABLE DISTRIBUTORS, LLC
EQUITEC PROPRIETARY MARKETS, LLC
EQUITEC SPECIALISTS, LLC
EQUITYZEN SECURITIES LLC
ERNST & YOUNG CAPITAL ADVISORS, LLC
ERUDITE TRADING LLC
ESL INVESTMENT SERVICES, LLC
ESTRADA HINOJOSA & COMPANY, INC.
ETC BROKERAGE SERVICES, LLC
EVERCORE GROUP L.L.C.
EXANE, INC.
EXECUTION ACCESS, LLC
EXOTIX USA INC.
FACTSET DATA SYSTEMS, INC.
FAGENSON & CO., INC.
FAIRMOUNT PARTNERS LP
FARMERS FINANCIAL SOLUTIONS, LLC
FELTL & COMPANY
FIDELITY BROKERAGE SERVICES LLC
FIDELITY DISTRIBUTORS COMPANY LLC
FIDELITY DISTRIBUTORS CORPORATION
FIDELITY PRIME FINANCING, LLC
FIFTH THIRD SECURITIES, INC.
FIG PARTNERS, LLC
FINANCIAL NORTHEASTERN SECURITIES, INC.
FIRST ALLIED SECURITIES, INC.
FIRST ANALYSIS SECURITIES CORPORATION
FIRST BALLANTYNE, LLC
FIRST BANKERS' BANC SECURITIES, INC
FIRST BROKERS SECURITIES LLC
FIRST CITIZENS CAPITAL SECURITIES, LLC
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.
FIXED INCOME CAPITAL PARTNERS, LLC
FLAGSTAR ADVISORS INC
FLORIDA ATLANTIC SECURITIES CORP.
FLOW TRADERS U.S. INSTITUTIONAL TRADING LLC
FLOW TRADERS U.S. LLC
FM PARTNERS HOLDINGS LLC
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
FR TRADING LLC
FRANKLIN DISTRIBUTORS, LLC
FRANKLIN/TEMPLETON DISTRIBUTORS, INC.
FRED ALGER & COMPANY, LLC
FREEDOM INVESTMENTS, INC.
FROST BROKERAGE SERVICES, INC.
FS INVESTMENT SOLUTIONS, LLC
FSC SECURITIES CORPORATION
FSP INVESTMENTS LLC
FT GLOBAL CAPITAL, INC.
FTP SECURITIES LLC
FUTU CLEARING INC
G1 EXECUTION SERVICES, LLC
G2 TRADING LLC
G-2 TRADING,LLC
GAGNON SECURITIES, LLC
GALLAGHER SECURITIES, INC
GAMMA SECURITIES, LLC
GARGOYLE STRATEGIC INVESTMENTS L.L.C.
G-BAR LIMITED PARTNERSHIP
GBM INTERNATIONAL, INC.
GBS RETIREMENT SERVICES, INC.
GDK, INC.
GE CAPITAL MARKETS, INC.
GELBER SECURITIES, LLC
GENESIS CAPITAL, LLC
GEORGE K. BAUM & COMPANY
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
GREEN PIER FINTECH LLC
GREEN STREET ADVISORS, LLC
GREENHILL & CO., LLC
GREENSLEDGE CAPITAL MARKETS LLC
GRIFFIN CAPITAL SECURITIES, LLC
GRIFFIN FINANCIAL GROUP, LLC
GRIFFINEST ASIA SECURITIES, LLC
GRIFFITHS MCBURNEY CORP.
GROUP ONE TRADING LLC
GROVE POINT INVESTMENTS, LLC
G-TRADE SERVICES LLC
GTS EXECUTION SERVICES LLC
GTS SECURITIES LLC
GUARDIAN INVESTOR SERVICES LLC
GUGGENHEIM DISTRIBUTORS, LLC
GUGGENHEIM SECURITIES, LLC
GUZMAN & COMPANY
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.
HEG SECURITIES, LLC
HENNION & WALSH, INC.
HERBERT J. SIMS & CO, INC.
HFF SECURITIES L.P.
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 EXECUTION SERVICES LLC
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
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
INSTINET, LLC
INSTITUTIONAL CASH DISTRIBUTORS, LLC
INTERACTIVE BROKERS CORP.
INTERACTIVE BROKERS LLC
INTERCHANGE CLEARING LLC
INTERCOASTAL CAPITAL MARKETS, INC.
INTERNATIONAL STRATEGY & INVESTMENT GROUP LLC
INTESA SANPAOLO IMI SECURITIES CORP.
INTL FILLMORE ADVISORS 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
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 MARKETS, LLC
JANNEY MONTGOMERY SCOTT 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
JPMORGAN DISTRIBUTION SERVICES, INC.
JUMP EXECUTION, LLC
JUMP TRADING, LLC
JVB FINANCIAL GROUP, LLC
JWTT INC.
KBC SECURITIES USA LLC

KBFG SECURITIES AMERICA INC.
KEEFE, BRUYETTE & WOODS, INC.
KEY INVESTMENT SERVICES LLC
KEYBANC CAPITAL MARKETS INC.
KGS-ALPHA CAPITAL MARKETS, L.P.
KIPPSDESANTO & COMPANY
KKR CAPITAL MARKETS LLC
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
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
LAZEAR CAPITAL SECURITIES, LLC
LEK SECURITIES CORPORATION
LEONIS SECURITIES, LLC
LEVEL MARKETS, LLC
LFT SECURITIES, LLC
LIFESCI CAPITAL, LLC
LIGHTSPEED FINANCIAL SERVICES GROUP LLC
LIME TRADING CORP
LINCOLN INTERNATIONAL LLC
LINCOLN INVESTMENT PLANNING, LLC
LIQUIDITYEDGE, LLC.
LIQUIDNET, INC.
LIQUIDPOINT, LLC
LOEB PARTNERS CORPORATION
LOMBARD ODIER TRANSATLANTIC LIMITED
LOOP CAPITAL MARKETS LLC
LORD ABBETT DISTRIBUTOR LLC
LPL ENTERPRISE, 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.
MANAGEMENT, 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
MARKETAXESS CORPORATION
MARKS BAUGHAN SECURITIES LLC
MARSHBERRY CAPITAL, LLC.
MAXIM GROUP 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.
MOMENTUM INDEPENDENT NETWORK INC.
MONEX SECURITIES, INC.
MONEY CONCEPTS CAPITAL CORP
MONTEC SECURITIES LLC
MONTMINY SECURITIES, LLC
MOOMOO FINANCIAL INC.
MOORELAND PARTNERS LLC
MOORS & CABOT, INC.
MORGAN JOSEPH TRIARTISAN LLC
MORGAN KEEGAN & COMPANY, LLC
MORGAN STANLEY & CO. LLC
MORGAN STANLEY DISTRIBUTION, INC.
MORGAN STANLEY SMITH BARNEY LLC
MORNINGSTAR INVESTMENT SERVICES LLC
MOTIF INVESTING, INC.
MOUNTAINSIDE SECURITIES LLC
MOUNTAINVIEW SECURITIES, LLC
MPS GLOBAL SECURITIES, LLC
MS SECURITIES SERVICES INC.
MSI FINANCIAL SERVICES, INC.
MTG, LLC
MTS SECURITIES, LLC
MUFG AMERICAS CORPORATE ADVISORY, 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 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
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
NH INVESTMENT & SECURITIES AMERICA, INC.
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL PRODUCTS INC.
NOMURA GREENTECH CAPITAL ADVISORS, LLC
NOMURA SECURITIES NORTH AMERICA, LLC
NORTH BRIDGE CAPITAL, LLC
NORTH POINT MERGERS AND ACQUISITIONS, INC.
NORTHLAND SECURITIES, INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
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.
ONECHRONOS MARKETS LLC
O'NEIL SECURITIES INCORPORATED
ONPEAK CAPITAL LLC
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 SERVICES, INC.
OSAIC WEALTH, INC.
OSCAR GRUSS & SON INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE, LLC
PACER FINANCIAL, INC.
PACIFIC CENTURY SECURITIES, LLC
PACIFIC CREST SECURITIES LLC
PACIFIC SELECT DISTRIBUTORS, LLC
PALAFOX TRADING LLC
PARADIGM EQUITIES, INC.
PARETO SECURITIES INC.
PARIS SECURITIES CORPORATION
PARK AVENUE SECURITIES LLC
PARK HILL REAL ESTATE GROUP LLC
PARK SUTTON SECURITIES, LLC
PARKLAND SECURITIES, LLC
PAULSON INVESTMENT COMPANY LLC
PEAK6 CAPITAL MANAGEMENT LLC
PEAK6 PERFORMANCE MANAGEMENT LLC
PEAK6 VEGA MASTER FUND LLC
PENSON FINANCIAL SERVICES, INC.
PEOPLE'S SECURITIES, INC.
PERELLA WEINBERG PARTNERS LP
PERFORMANCE TRUST CAPITAL PARTNERS, LLC
PERSHING ADVISOR SOLUTIONS LLC
PFM FUND DISTRIBUTORS, INC.
PFS INVESTMENTS INC.
PGM GLOBAL INC.
PHOENIX DERIVATIVES GROUP, LLC
PHX FINANCIAL, INC.
PICTET OVERSEAS INC.
PIPELINE TRADING SYSTEMS LLC
PIPER SANDLER & CO.
PLANMEMBER SECURITIES CORPORATION
PMA SECURITIES, LLC
POPULAR SECURITIES, LLC
PORTIGON SECURITIES INC.
POTAMUS TRADING, LLC
PRAGMA LLC
PRECISION SECURITIES, LLC
PREFERRED CAPITAL SECURITIES, LLC
PRICEWATERHOUSECOOOPERS CORPORATE FINANCE LLC
PRIME CAPITAL MARKETS, LLC
PRIME DEALER SERVICES CORP.
PRIMERICA BROKERAGE SERVICES, INC.
PRINCIPAL SECURITIES, INC.
PROBITAS FUNDS GROUP, LLC
PROSPERA FINANCIAL SERVICES, INC.
PRUCO SECURITIES, LLC.
PRUDENTIAL ANNUITIES DISTRIBUTORS, INC
PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC
PTR, INC.
PUBLIC VENTURES, LLC
PULSE TRADING, INC.
PUNDION LLC
PURESTREAM, LLC
PUTNAM RETAIL MANAGEMENT LIMITED PARTNERSHIP
Q ADVISORS LLC
QUAD CAPITAL, LLC
QUAD SECURITIES LLC
QUANTLAB SECURITIES LP
QUASAR DISTRIBUTORS, LLC
QUESTAR CAPITAL CORPORATION
QUIET LIGHT SECURITIES, LLC
R. F. LAFFERTY & CO., INC.
R. SEELAUS & CO., LLC
R.J. O'BRIEN SECURITIES, LLC
R.W.PRESSPRICH & CO.
RABO SECURITIES USA, INC.

RAFFERTY CAPITAL MARKETS, LLC
RAINIER SECURITIES, LLC
RAMAT SECURITIES LTD.
RAYMOND JAMES & ASSOCIATES, INC.
RAYMOND JAMES FINANCIAL SERVICES, INC.
RAYMOND JAMES INSURANCE GROUP, INC.
RB INTERNATIONAL MARKETS (USA) LLC
RBC CAPITAL MARKETS, LLC
RBC CMA LTD
RCI LIMITED PARTNERSHIP
REALCADRE LLC
RED CEDAR TRADING, LLC
REDBIRD BD, LLC
REDBURN (USA) LLC
REDI GLOBAL TECHNOLOGIES LLC
REGAL SECURITIES, INC.
REGIONS SECURITIES LLC
RELATED FINANCIAL SERVICES, LLC
RENCAP SECURITIES, INC.
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.
SAMUEL A. RAMIREZ & COMPANY, INC.
SANDERS MORRIS HARRIS INC.
SANDLER, O'NEILL & PARTNERS, L.P.
SANTANDER INTERNATIONAL SECURITIES, INC.
SANTANDER INVESTMENT SECURITIES INC.
SANTANDER US CAPITAL MARKETS LLC
SBERBANK CIB USA, INC
SCHRODER FUND ADVISORS LLC
SCOTT & STRINGFELLOW, LLC
SCOTTRADE, INC.
SCOUT TRADING, LLC
SEA OTTER SECURITIES GROUP LLC
SEAPORT GLOBAL SECURITIES LLC
SEAPORT SECURITIES CORP.
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
SIG BROKERAGE, LP

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
SIMPLEX TRADING, LLC
SIXPOINT PARTNERS LLC
SIXTH STREET BD, LLC
SMBC NIKKO SECURITIES CANADA, LTD.
SOFI SECURITIES LLC
SOLEBURY CAPITAL LLC
SOLOMON PARTNERS SECURITIES, LLC
SOUTH STREET SECURITIES LLC
SOUTHSTATE|DUNCANWILLIAMS 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 CREDIT SECURITIES INC.
STANDARD NEW YORK, INC.
STARK FINANCIAL INDUSTRIES LLC
STATE FARM VP MANAGEMENT CORP.
STATE STREET GLOBAL MARKETS, LLC
STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING SMITH CORPORATION
STERLING, GRACE MUNICIPAL SECURITIES CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
STIFEL INDEPENDENT ADVISORS, LLC
STIFEL, NICOLAUS & COMPANY, INCORPORATED
STOCKCROSS FINANCIAL SERVICES, INC.
STOEVER,GLASS & COMPANY INC.
STONE & YOUNGBERG LLC
STORMHARBOUR SECURITIES LP
STOUT CAPITAL, LLC
STRATEGAS SECURITIES, LLC
STUART FRANKEL & CO., INCORPORATED
STUDENT OPTIONS, LLC
SUMMIT BROKERAGE SERVICES, INC.
SUMMIT SECURITIES GROUP LLC
SUMO CAPITAL, LLC
SUMRIDGE PARTNERS, LLC
SUN LIFE FINANCIAL DISTRIBUTORS, INC.
SUNGARD INSTITUTIONAL BROKERAGE INC.
SUNRISE BROKERS LLC
SUSQUEHANNA FINANCIAL GROUP, LLLP
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
SYSTEMATIZED BENEFITS ADMINISTRATORS, INC.
T. ROWE PRICE INVESTMENT SERVICES, INC.
T.R. WINSTON & COMPANY, LLC
T3 TRADING GROUP, LLC
TALCOTT RESOLUTION DISTRIBUTION COMPANY, INC.
TASTYTRADE, 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 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 BUCKINGHAM RESEARCH GROUP INCORPORATED
THE GMS GROUP, LLC
THE HUNTINGTON INVESTMENT COMPANY
THE KLEIN GROUP, LLC

THE VERTICAL TRADING GROUP, LLC
THE WILLIAMS CAPITAL GROUP, L.P.
THINKEQUITY 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
TM CAPITAL CORP.
TMC BONDS L.L.C.
TMT INVESTMENTS, LLC
TORO TRADING LLC
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
TRADEBOT SYSTEMS, INC.
TRADELINK L.L.C.
TRADELINK SECURITIES, LLC
TRADEMAS INC.
TRADE-PMR INC.
TRADESTATION SECURITIES, INC.
TRADEUP SECURITIES, INC.
TRADEWEB DIRECT LLC
TRADEWEB L.L.C
TRADIER BROKERAGE, INC.
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
U.S. BANCORP INVESTMENTS, INC.
UBS ASSET MANAGEMENT (US) INC.
UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO
ULLICO INVESTMENT COMPANY, LLC
UMB FINANCIAL SERVICES, INC.
UNICREDIT CAPITAL MARKETS LLC
UNITED BROKERAGE SERVICES, INC
UNITED CAPITAL MARKETS, INC.
UNIVEST SECURITIES, LLC
US TIGER SECURITIES, INC.
USAA FINANCIAL ADVISORS, INC.
USAA INVESTMENT SERVICES COMPANY
UVEST FINANCIAL SERVICES GROUP, INC.
VALIC FINANCIAL ADVISORS, INC.
VALLEY FINANCIAL MANAGEMENT, INC.
VALLEY FORGE ASSET MANAGEMENT, LLC
VAN ECK SECURITIES CORPORATION
VAN LANSCHOT KEMPEN (USA) INC.
VANAHEIM SECURITIES, LLC
VAQUERO CAPITAL LLC
VECTORGLOBAL WMG, INC.
VELOCITY CAPITAL, LLC
VELOCITY CLEARING, 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 EQUITY PARTNERS CAPITAL MARKETS, 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
WALLEYE TRADING LLC
WALNUT STREET SECURITIES, INC.
WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC
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 SECURITIES, LLC
WESTMINSTER RESEARCH ASSOCIATES LLC
WESTPAC CAPITAL MARKETS LLC
WILLIAM BLAIR & COMPANY L.L.C.
WILLIAMS TRADING LLC
WILMINGTON BROKERAGE SERVICES COMPANY
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
XAMBALA CAPITAL, LLC
X-CHANGE FINANCIAL ACCESS, LLC
XMS CAPITAL PARTNERS, LLC
XR SECURITIES LLC
XTELLUS CAPITAL PARTNERS, INC.
XTX EXECUTION SERVICES LLC
XTX MARKETS LLC
YORKVILLE IVES & CO., LLC
ZEBED SECURITIES, LLC
ZELMAN PARTNERS, LLC
ZEUS FINANCIAL, LLC
ZIV INVESTMENT COMPANY