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

Determination of Payment under PCAOB Rule 7104(b)

As of March 1, 2021

The following is a list of brokers and dealers that have been assessed and have no outstanding past-due share of the broker-dealer accounting support fee of the Public Company Accounting Oversight Board ("PCAOB"), as of March 1, 2021.^{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 March 1, 2021

* * *

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 CORP.
 AARDVARK SECURITIES LLC
 ABBEY NATIONAL SECURITIES
 INC.
 ABEL NOSER, LLC.
 ABEL/NOSER CORP.
 ABG SUNDAL COLLIER INC.
 ABN AMRO CLEARING
 CHICAGO LLC
 ABN AMRO SECURITIES (USA)
 LLC
 ACADEMY SECURITIES, INC.
 ACCESS SECURITIES, LLC
 ADVISORS ASSET
 MANAGEMENT, INC.
 AERIS PARTNERS LLC
 AIG CAPITAL SERVICES, INC.
 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
 ALVAREZ & MARSAL
 SECURITIES, LLC
 AMERICA'S GROWTH
 CAPITAL, LLC

AMERICAN CENTURY
 INVESTMENT SERVICES, INC.
 AMERICAN ENTERPRISE
 INVESTMENT SERVICES INC.
 AMERICAN FUNDS
 DISTRIBUTORS, INC.
 AMERICAN PORTFOLIOS
 FINANCIAL SERVICES, INC.
 AMERIPRISE FINANCIAL
 SERVICES, LLC
 AMERITAS INVESTMENT
 COMPANY, LLC
 AMERIVET SECURITIES, INC.
 AMHERST PIERPONT
 SECURITIES LLC
 AMHERST SECURITIES
 GROUP, L.P.
 AMS DERIVATIVES B.V.
 AMUNDI PIONEER
 DISTRIBUTOR, INC.
 ANGEL ISLAND CAPITAL
 SERVICES, LLC
 ANZ SECURITIES, INC.
 AON SECURITIES LLC
 APERTURE, LLC
 APEX CLEARING
 CORPORATION
 APOLLO GLOBAL SECURITIES,
 LLC
 AQR INVESTMENTS, LLC
 AQUILLO PARTNERS, L.P.
 ARCA CAPITAL
 INVESTMENTS, INC.
 ARCHIPELAGO SECURITIES
 L.L.C.
 ARCHIPELAGO TRADING
 SERVICES, INC.
 ARCOLA SECURITIES, INC.
 ARDEA PARTNERS LP
 ARIEL DISTRIBUTORS, LLC
 ARVEST INVESTMENTS, INC.
 ARXIS SECURITIES LLC

ASCENSUS BROKER DEALER
 SERVICES, INC.
 ASHMORE INVESTMENT
 MANAGEMENT (US)
 CORPORATION
 ASL CAPITAL MARKETS INC.
 ASPEN TRADING, L.L.C
 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
 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.
 BAC FLORIDA INVESTMENTS
 CORP.
 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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

BANCWEST INVESTMENT SERVICES, INC.
BANORTE-IXE SECURITIES INTERNATIONAL, LTD.
BARCLAYS CAPITAL INC.
BARON CAPITAL, INC.
BB&T INVESTMENT SERVICES, INC.
BBVA COMPASS INVESTMENT SOLUTIONS, INC.
BBVA SECURITIES INC.
BBVA SECURITIES OF PUERTO RICO, INC.
BCP SECURITIES, LLC
BCS AMERICAS, INC.
BDT & COMPANY, LLC
BEDROK SECURITIES LLC
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
BERNARD HEROLD & CO., INC.
BETA CAPITAL 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 BEAL 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, INC.
BOK FINANCIAL SECURITIES, INC.
BONDS.COM, INC.
BOSTON PARTNERS SECURITIES, L.L.C.
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC
BRAVER STERN SECURITIES LLC
BREAN CAPITAL, LLC

BRICKELL GLOBAL MARKETS, INC.
BRIGHT TRADING, LLC
BRIGHTHOUSE SECURITIES, LLC
BROADHAVEN SECURITIES LLC
BROADRIDGE BUSINESS PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD PRIVATE ADVISORS LLC
BROWNSTONE INVESTMENT GROUP, LLC
BTG PACTUAL US CAPITAL, LLC
BTIG, LLC
BUCKLER SECURITIES LLC
BURKE & QUICK PARTNERS LLC
BYRD TRADING, LLC
C&C TRADING L.L.C.
C. L. KING & ASSOCIATES, INC.
CADARET, GRANT & CO., INC.
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 SECURITIES LLC
CANACCORD WEALTH MANAGEMENT (USA) INC.
CANTOR FITZGERALD & CO. CAPITAL BROKERAGE CORPORATION

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

CAPITAL INSTITUTIONAL SERVICES, INC.
CAPITAL ONE INVESTING, LLC
CAPITAL ONE SECURITIES, INC.
CARDINAL CAPITAL MANAGEMENT LLC
CARILLON FUND DISTRIBUTORS, INC.
CARNEGIE, INC.
CARTY & COMPANY, INC.
CASCADIA CAPITAL, LLC
CASGRAIN & COMPANY (USA) LIMITED
CBRE CAPITAL ADVISORS, INC.
CCB INTERNATIONAL OVERSEAS (USA) INC.
CENTAURUS FINANCIAL, INC.
CENTERVIEW PARTNERS LLC
CETERA ADVISOR NETWORKS LLC
CETERA ADVISORS LLC
CETERA FINANCIAL SPECIALISTS LLC
CETERA INVESTMENT SERVICES LLC
CF SECURED, LLC
CGIS SECURITIES 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.
CIT CAPITAL SECURITIES LLC
CITADEL CLEARING LLC
CITADEL SECURITIES INSTITUTIONAL LLC
CITADEL SECURITIES LLC
CITI INTERNATIONAL FINANCIAL SERVICES LLC
CITI ORDER ROUTING AND EXECUTION, LLC
CITI PRIVATE ADVISORY, LLC
CITIC SECURITIES INTERNATIONAL USA, LLC
CITICORP SECURITIES SERVICES, INC.
CITIGROUP GLOBAL MARKETS INC.
CITIZENS CAPITAL MARKETS, INC.
CITIZENS SECURITIES, INC.
CITY NATIONAL SECURITIES, INC.
CITY SECURITIES CORPORATION
CLARK SECURITIES, INC.
CLARKSON CAPITAL MARKETS LLC
CLEAR STREET LLC
CLEAR STREET MARKETS LLC
CLEARY GULL INC.
CLEVELAND RESEARCH COMPANY LLC
CLIFTONLARSONALLEN WEALTH ADVISORS, LLC
CLSA AMERICAS, LLC
CMCJL, LLC
CME BD SERVICES, INC.
CMT TRADING LLC
CMZ TRADING, LLC
COASTAL SECURITIES, INC.
CODE ADVISORS LLC
COGNITIVE CAPITAL, LLC
COHEN & COMPANY CAPITAL MARKETS, LLC

COHEN & COMPANY SECURITIES, LLC
COHEN & STEERS SECURITIES, LLC
COHNREZNICK CAPITAL MARKETS SECURITIES, LLC
COLLIERS SECURITIES LLC
COLLINS/BAY ISLAND SECURITIES, LLC
COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC.
COMERICA SECURITIES, INC.
COMMERCE BROKERAGE SERVICES, INC.
COMMERZ MARKETS LLC
COMMONFUND SECURITIES, INC.
COMMONWEALTH AUSTRALIA SECURITIES LLC
COMMONWEALTH EQUITY SERVICES, LLC
COMPASS POINT RESEARCH & TRADING, LLC
COMPASS PROFESSIONAL SERVICES, LLC
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 CAPITAL LLC
COWEN EQUITY FINANCE LP
COWEN EXECUTION SERVICES LLC
COWEN PRIME SERVICES LLC
CP COGENT SECURITIES LP

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

CRAIG-HALLUM CAPITAL
GROUP 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
CROWELL, WEEDON & CO.
CRT CAPITAL GROUP LLC
CSCA CAPITAL ADVISORS, LLC
CSS, LLC
CTC, LLC
CUNA BROKERAGE SERVICES,
INC.
CURIAN CLEARING, LLC
CURTISWOOD CAPITAL, LLC
CURVATURE SECURITIES LLC
CUSO FINANCIAL SERVICES,
L.P.
CUTLER GROUP, LP
CUTWATER ASSET
MANAGEMENT CORP.
D.A. DAVIDSON & CO.
D.M. KELLY & COMPANY
DAHLMAN ROSE &
COMPANY, LLC
DAIWA CAPITAL MARKETS
AMERICA INC.
DANSKE MARKETS INC.
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC

DAVY SECURITIES LIMITED
DB SECURITIES SERVICES NJ
INC.
DBS VICKERS SECURITIES
(USA) INC.
DEALERWEB INC.
DELANEY EQUITY GROUP LLC
DELOITTE CORPORATE
FINANCE LLC
DESJARDINS SECURITIES
INTERNATIONAL INC.
DEUTSCHE BANK SECURITIES
INC.
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIMENSION TRADING
GROUP, LLC
DIRECT EDGE ECN LLC
DIRECTED SERVICES LLC
DOFT & CO., INC.
DOUGH LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DST MARKET SERVICES, LLC
DUFF & PHELPS SECURITIES
LLC
DUNCAN-WILLIAMS, INC.
DUNDEE SECURITIES INC.
DVB CAPITAL MARKETS LLC
DWS DISTRIBUTORS, INC.
DZ FINANCIAL MARKETS LLC
E D & F MAN CAPITAL
MARKETS INC.
E*TRADE CLEARING LLC
E*TRADE SECURITIES LLC
E.J. DE LA ROSA & CO., INC.
EARLYBIRDCAPITAL, INC.
EATON PARTNERS, LLC
EATON VANCE
DISTRIBUTORS, INC.
EBX LLC

ECHOTRADE LLC
EDWARD D. JONES & CO.,
L.P.
EFG CAPITAL
INTERNATIONAL CORP.
EG MARKET TECHNOLOGIES
LLC
ELECTRONIC TRANSACTION
CLEARING, INC.
EMMET & CO, INC.
EMPIRICAL RESEARCH
PARTNERS LLC
ENGLISH CONCEPTS, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUILEND LLC
EQUITEC PROPRIETARY
MARKETS, LLC
EQUITEC SPECIALISTS, LLC
ERNST & YOUNG CAPITAL
ADVISORS, LLC
ESL INVESTMENT SERVICES,
LLC
ESTRADA HINOJOSA &
COMPANY, INC.
EVERCORE GROUP L.L.C.
EXANE, INC.
EXOTIX USA INC.
FACTSET DATA SYSTEMS,
INC.
FAGENSON & CO., INC.
FAIRMOUNT PARTNERS LP
FARMERS FINANCIAL
SOLUTIONS, LLC
FELTL & COMPANY
FHN FINANCIAL SECURITIES
CORP.
FIDELITY BROKERAGE
SERVICES LLC
FIDELITY DISTRIBUTORS
COMPANY LLC
FIDELITY DISTRIBUTORS
CORPORATION

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

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 INVESTOR
SERVICES, INC.
FIRST CITIZENS SECURITIES
CORPORATION
FIRST CLEARING, LLC
FIRST COMMAND FINANCIAL
PLANNING, INC.
FIRST DERIVATIVE TRADERS,
L.P.
FIRST EMPIRE SECURITIES,
INC.
FIRST HORIZON ADVISORS,
INC.
FIRST NEW YORK SECURITIES
L.L.C.
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
FLEXTRADE LLC
FLORIDA ATLANTIC
SECURITIES CORP.
FLOW TRADERS U.S.
INSTITUTIONAL TRADING LLC
FLOW TRADERS U.S. LLC
FM PARTNERS HOLDINGS LLC
FMI CAPITAL ADVISORS, INC.
FMSBONDS, INC.
FOCALPOINT SECURITIES, LLC
FOLGER NOLAN FLEMING
DOUGLAS INCORPORATED
FOLIO INVESTMENTS, INC.
FORESTERS FINANCIAL
SERVICES, INC.
FORETHOUGHT
DISTRIBUTORS, LLC
FOROS SECURITIES LLC
FOX RIVER EXECUTION
TECHNOLOGY, LLC
FRANKLIN/TEMPLETON
DISTRIBUTORS, INC.
FRED ALGER & COMPANY,
LLC
FREEDOM INVESTMENTS,
INC.
FROST BROKERAGE
SERVICES, INC.
FSC SECURITIES
CORPORATION
FSP INVESTMENTS LLC
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

GARGOYLE STRATEGIC
INVESTMENTS L.L.C.
GBM INTERNATIONAL, INC.
GCA ADVISORS, LLC
GDK, INC.
GE CAPITAL MARKETS, INC.
GELBER SECURITIES, LLC
GENESIS CAPITAL, LLC
GENESIS GLOBAL TRADING,
INC
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
GRAY WHALE CAPITAL, LLC
GREAT POINT CAPITAL LLC
GREEN STREET ADVISORS,
LLC
GREENHILL & CO., LLC
GREENSLEDGE CAPITAL
MARKETS LLC
GRIFFIN FINANCIAL GROUP,
LLC
GRIFFITHS MCBURNEY CORP.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

GROUP ONE TRADING, L.P.
GTS SECURITIES LLC
GUARDIAN INVESTOR
SERVICES LLC
GUGGENHEIM
DISTRIBUTORS, LLC
GUGGENHEIM FUNDS
DISTRIBUTORS, LLC
GUGGENHEIM INVESTOR
SERVICES, LLC
GUGGENHEIM SECURITIES,
LLC
GUZMAN & COMPANY
GX2 SPREAD MARKETS, LLC
H. BECK, INC.
HAITONG INTERNATIONAL
SECURITIES (USA) INC.
HAITONG SECURITIES USA
LLC
HANCOCK WHITNEY
INVESTMENT SERVICES INC.
HANDELSBANKEN MARKETS
SECURITIES, INC.
HANTZ FINANCIAL SERVICES,
INC.
HAP TRADING, LLC
HAPOALIM SECURITIES USA,
INC.
HARD EIGHT TRADING, LLC
HARDCASTLE TRADING USA
L.L.C.
HARRIS WILLIAMS LLC
HARTFORD FUNDS
DISTRIBUTORS, LLC
HBK GLOBAL SECURITIES L.P.
HEADLANDS TECH GLOBAL
MARKETS, LLC
HEFREN-TILLOTSON, INC.
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, INC.
HOULIHAN LOKEY CAPITAL,
INC.
HOVDE GROUP, LLC
HOWARD WEIL
INCORPORATED
HRT EXECUTION SERVICES
LLC
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUNTINGTON SECURITIES,
INC.
IBERIA CAPITAL PARTNERS
L.L.C.
ICAP CORPORATES LLC
ICBC STANDARD SECURITIES
INC.
ICE BONDS SECURITIES
CORPORATION
ICE SECURITIES EXECUTION &
CLEARING, LLC
ICM SECURITIES, LLC
IDB CAPITAL CORP.
IEX SERVICES LLC
IFC HOLDINGS, INC.
IMC-CHICAGO, LLC
IMPERIAL CAPITAL, LLC
INCAPITAL LLC
INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
INFINEX INVESTMENTS, INC.
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSTITUTIONAL CASH
DISTRIBUTORS, LLC
INTERACTIVE BROKERS
CORP.
INTERACTIVE BROKERS LLC

INTERCOASTAL CAPITAL
MARKETS, INC.
INTERNATIONAL STRATEGY &
INVESTMENT GROUP LLC
INTESA SANPAOLO IMI
SECURITIES CORP.
INTL FCSTONE FINANCIAL
INC.
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.V.B. FINANCIAL GROUP, LLC
JACKSON NATIONAL LIFE
DISTRIBUTORS LLC
JAG TRADING L.L.C.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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JANE STREET CAPITAL, LLC
JANE STREET EXECUTION
SERVICES, LLC
JANE STREET MARKETS, LLC
JANNEY MONTGOMERY
SCOTT LLC
JANUS DISTRIBUTORS LLC
JEFFERIES BACHE
SECURITIES, LLC
JEFFERIES EXECUTION
SERVICES, INC.
JEFFERIES HIGH YIELD
TRADING, LLC
JEFFERIES LLC
JMP SECURITIES 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 TRADING, LLC
JVB FINANCIAL GROUP, LLC
KBC SECURITIES USA LLC
KBFG SECURITIES AMERICA
INC.
KEEFE, BRUYETTE & WOODS,
INC.
KEMPEN & CO U.S.A., INC.
KESTRA INVESTMENT
SERVICES, LLC
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.
KOONCE SECURITIES, INC.
KOYOTE TRADING LLC
KPMG CORPORATE FINANCE
LLC
L.J. HART AND COMPANY
LADDER CAPITAL SECURITIES
LLC
LADENBURG THALMANN &
CO. INC.
LAKESHORE SECURITIES, L.P.
LASALLE INVESTMENT
MANAGEMENT
DISTRIBUTORS, LLC
LATOUR TRADING LLC
LAVAFLOW, INC.
LAZARD FRERES & CO. LLC
LAZARD MIDDLE MARKET LLC
LEK SECURITIES
CORPORATION
LEUMI INVESTMENT
SERVICES INC.
LIME BROKERAGE LLC
LINCOLN FINANCIAL
ADVISORS CORPORATION
LINCOLN FINANCIAL
DISTRIBUTORS, INC.
LINCOLN FINANCIAL
SECURITIES CORPORATION
LINCOLN INTERNATIONAL
LLC
LINCOLN INVESTMENT
PLANNING, LLC
LIONTREE ADVISORS LLC
LIQUIDNET, INC.
LIQUIDPOINT, LLC
LLOYDS SECURITIES INC.

LOEB PARTNERS
CORPORATION
LOMBARD ODIER
TRANSATLANTIC LIMITED
LOOP CAPITAL MARKETS LLC
LPL FINANCIAL LLC
LUMINEX TRADING &
ANALYTICS LLC
LUPO SECURITIES, LLC
M&I FINANCIAL ADVISORS,
INC.
M3 CAPITAL PARTNERS LLC
MACQUARIE CAPITAL (USA)
INC.
MACQUARIE CAPITAL
MARKETS NORTH AMERICA
LTD.
MACRO RISK ADVISORS LLC
MAN INVESTMENTS INC.
MAPLE SECURITIES U.S.A.
INC.
MARIVA CAPITAL MARKETS,
LLC
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MARSCO INVESTMENT
CORPORATION
MAXIM GROUP LLC
MBS CAPITAL MARKETS, LLC
MCADAMS WRIGHT RAGEN,
INC.
MCAP LLC
MCS CAPITAL MARKETS LLC
MDB CAPITAL GROUP LLC
MERCANTIL
COMMERCEBANK
INVESTMENT SERVICES
MERCER ALLIED COMPANY,
L.P.
MERCHANT CAPITAL, L.L.C.
MERIDIAN CAPITAL LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

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
MFR SECURITIES, INC.
MFS FUND DISTRIBUTORS,
INC.
MIDDLGATE SECURITIES
LTD.
MIDLAND SECURITIES, LTD
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 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.

MONEY CONCEPTS CAPITAL
CORP
MOORELAND PARTNERS LLC
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.
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., INC.
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 FINANCIAL
SERVICES LLC
NATIONAL PLANNING
CORPORATION

NATIONAL SECURITIES
CORPORATION
NATIONWIDE FUND
DISTRIBUTORS LLC
NATIONWIDE SECURITIES,
LLC
NATIXIS DERIVATIVES INC.
NATIXIS DISTRIBUTION, L.P.
NATIXIS SECURITIES
AMERICAS LLC
NATWEST MARKETS
SECURITIES INC.
NAVY FEDERAL BROKERAGE
SERVICES, LLC
NBC SECURITIES, INC.
NBF SECURITIES (USA) CORP.
NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE USA, LLC
NEXBANK SECURITIES INC
NOLITA CAPITAL, LLC
NOMURA GLOBAL FINANCIAL
PRODUCTS INC.
NOMURA GREENTECH
CAPITAL ADVISORS, LLC
NOMURA SECURITIES
INTERNATIONAL, INC.
NOMURA SECURITIES NORTH
AMERICA, LLC
NORDEA MARKETS LLC
NORTH BRIDGE CAPITAL, LLC
NORTH POINT ADVISORS,
INC.
NORTHERN TRUST
SECURITIES, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

NORTHWESTERN MUTUAL
INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK
CORPORATION
OHIO NATIONAL EQUITIES,
INC.
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.
OPPENHEIMERFUNDS
DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSXPRESS, INC.
OPTIVER US LLC
OREC SECURITIES, LLC
ORIENTAL FINANCIAL
SERVICES CORP.
OSCAR GRUSS & SON
INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE
CORPORATION
PACIFIC CREST SECURITIES
LLC
PACIFIC SELECT
DISTRIBUTORS, LLC
PALAFOX TRADING LLC
PARIS SECURITIES
CORPORATION
PARK AVENUE SECURITIES
LLC
PARK HILL REAL ESTATE
GROUP LLC
PAULSON INVESTMENT
COMPANY LLC

PAVILION GLOBAL MARKETS
LTD.
PAYCHEX SECURITIES
CORPORATION
PEAK6 CAPITAL
MANAGEMENT LLC
PEAK6 PERFORMANCE
MANAGEMENT LLC
PEAK6 VEGA MASTER FUND
LLC
PENSERRA SECURITIES, LLC
PENSON FINANCIAL
SERVICES, INC.
PEOPLE'S SECURITIES, INC.
PERELLA WEINBERG
PARTNERS LP
PERFORMANCE TRUST
CAPITAL PARTNERS, LLC
PERSHING ADVISOR
SOLUTIONS LLC
PERSHING LLC
PFS INVESTMENTS INC.
PHILLIP CAPITAL INC.
PHOENIX DERIVATIVES
GROUP, LLC
PICTET OVERSEAS INC.
PIMCO INVESTMENTS LLC
PIPELINE TRADING SYSTEMS
LLC
PIPER SANDLER & CO.
PLANMEMBER SECURITIES
CORPORATION
PNC CAPITAL MARKETS LLC
PNC INVESTMENTS LLC
POPULAR SECURITIES, LLC
PORTIGON SECURITIES INC.
POTAMUS TRADING, LLC
PRAGMA LLC
PRIME DEALER SERVICES
CORP.
PRINCIPAL FUNDS
DISTRIBUTOR, INC.
PRINCIPAL SECURITIES, INC.

PROBITAS FUNDS GROUP,
LLC
PROEQUITIES, INC.
PROSPERA FINANCIAL
SERVICES, INC.
PTR, INC.
PULSE TRADING, INC.
PUNDION LLC
PUTNAM RETAIL
MANAGEMENT LIMITED
PARTNERSHIP
QATALYST PARTNERS LP
QUAD CAPITAL, LLC
QUAD SECURITIES LLC
QUANTLAB SECURITIES LP
QUASAR DISTRIBUTORS, LLC
QUESTAR CAPITAL
CORPORATION
QUIET LIGHT SECURITIES, LLC
R.W.PRESSPRICH & CO.
RABO SECURITIES USA, INC.
RAFFERTY CAPITAL
MARKETS, LLC
RAINE SECURITIES LLC
RAINIER SECURITIES, LLC
RAMAT SECURITIES LTD.
RAYMOND JAMES &
ASSOCIATES, INC.
RAYMOND JAMES (USA) LTD.
RAYMOND JAMES FINANCIAL
SERVICES, INC.
RAYMOND JAMES
INSURANCE GROUP, INC.
RB INTERNATIONAL
MARKETS (USA) LLC
RBC CAPITAL MARKETS, LLC
RBC CMA LLC
RCI LIMITED PARTNERSHIP
REALCADRE LLC
RED CEDAR TRADING, LLC
REGIONS SECURITIES LLC
RELATED FINANCIAL
SERVICES, LLC
RENCAP SECURITIES, INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

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
ROSENTHAL GLOBAL SECURITIES LLC
ROSS, SINCLAIRE & ASSOCIATES, LLC
ROTHSCHILD & CO US INC.
ROYAL ALLIANCE ASSOCIATES, INC.
RUANE, CUNNIFF & GOLDFARB LLC
RUSSELL INVESTMENTS FINANCIAL SERVICES, LLC
RUSSELL INVESTMENTS IMPLEMENTATION SERVICES, LLC
SAFRA SECURITIES LLC
SAGEPOINT FINANCIAL, INC.
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.
SANFORD C. BERNSTEIN & CO., LLC
SANTANDER INTERNATIONAL SECURITIES, INC.
SANTANDER INVESTMENT SECURITIES INC.
SANTANDER SECURITIES LLC
SAYBRUS EQUITY SERVICES, INC
SBERBANK CIB USA, INC
SCORE PRIORITY CORP.
SCOTIA CAPITAL (USA) INC.
SCOTT & STRINGFELLOW, LLC
SCOTTRADE, INC.
SCOUT TRADING, 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.
SECURITY DISTRIBUTORS, LLC
SEI INVESTMENTS DISTRIBUTION CO.
SENTINEL FINANCIAL SERVICES COMPANY
SENVEST INTERNATIONAL L.L.C.
SETTER CAPITAL INC.
SG AMERICAS SECURITIES, LLC
SHAY FINANCIAL SERVICES, INC.
SHEA & COMPANY, LLC
SHEARMAN, RALSTON INC.

SHELBY CULLOM DAVIS & CO., L.P.
SIEBERT WILLIAMS SHANK & CO., LLC
SIG BROKERAGE, LP
SIGMA FINANCIAL CORPORATION
SIGNAL HILL CAPITAL GROUP LLC
SIGNATOR INVESTORS, INC.
SIGNATURE SECURITIES GROUP CORPORATION
SII INVESTMENTS, INC.
SIMMONS & COMPANY INTERNATIONAL
SIMMONS FIRST INVESTMENT GROUP, INC.
SIMON MARKETS LLC
SIMPLEX TRADING, LLC
SMBC NIKKO SECURITIES AMERICA, INC.
SMBC NIKKO SECURITIES CANADA, LTD.
SOFI SECURITIES LLC
SOLEBURY CAPITAL LLC
SOUTH STREET SECURITIES LLC
SPHINX TRADING, LP
SPOT TRADING L.L.C.
SPROTT GLOBAL RESOURCE INVESTMENTS LTD
STANDARD CHARTERED SECURITIES NORTH AMERICA LLC
STANDARD CREDIT SECURITIES INC.
STANDARD NEW YORK, INC.
STATE FARM VP MANAGEMENT CORP.
STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC
STATE STREET GLOBAL MARKETS, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING, GRACE
MUNICIPAL SECURITIES
CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STIFEL, NICOLAUS &
COMPANY, INCORPORATED
STOCKCROSS FINANCIAL
SERVICES, INC.
STOEVER, GLASS & COMPANY
INC.
STONE & YOUNGBERG LLC
STONE RIDGE SECURITIES LLC
STORMHARBOUR SECURITIES
LP
STRATEGAS SECURITIES, LLC
STUART FRANKEL & CO.,
INCORPORATED
STUDENT OPTIONS, LLC
SUMMIT BROKERAGE
SERVICES, INC.
SUMO CAPITAL, LLC
SUMRIDGE PARTNERS, LLC
SUN LIFE FINANCIAL
DISTRIBUTORS, INC.
SUNGARD INSTITUTIONAL
BROKERAGE INC.
SUNRISE BROKERS LLC
SUNTRUST INVESTMENT
SERVICES, INC.
SUSQUEHANNA FINANCIAL
GROUP, LLLP
SUSQUEHANNA SECURITIES,
LLC
SVB LEERINK LLC
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
SYNOVUS SECURITIES, INC.
SYSTEMATIZED BENEFITS
ADMINISTRATORS, INC.
T. ROWE PRICE INVESTMENT
SERVICES, INC.
TALCOTT RESOLUTION
DISTRIBUTION COMPANY,
INC.
TASTYWORKS, INC.
TD AMERITRADE CLEARING,
INC.
TD AMERITRADE, INC.
TD PRIME SERVICES LLC
TD SECURITIES (USA) LLC
TEACHERS PERSONAL
INVESTORS SERVICES, INC.
TELEMETRY SECURITIES,
L.L.C.
TELSEY ADVISORY GROUP
LLC
TFS DERIVATIVES LLC
THE BAKER GROUP, LP
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.
THOMAS WEISEL PARTNERS
LLC
THRIVENT DISTRIBUTORS,
LLC
THRIVENT INVESTMENT
MANAGEMENT INC.

TIAA-CREF INDIVIDUAL &
INSTITUTIONAL SERVICES,
LLC
TIBRA TRADING AMERICA
LLC
TICONDEROGA SECURITIES
LLC
TIGRESS FINANCIAL
PARTNERS, LLC
TIMBER HILL LLC
TM CAPITAL CORP.
TMC BONDS L.L.C.
TMT INVESTMENTS, LLC
TORO TRADING LLC
TOUCHSTONE SECURITIES,
INC.
TOWER SQUARE SECURITIES,
INC.
TOWERS WATSON CAPITAL
MARKETS INC.
TOYOTA FINANCIAL SERVICES
SECURITIES USA
CORPORATION
TPG CAPITAL BD, LLC
TRADE INFORMATICS LLC
TRADEBOT SYSTEMS, INC.
TRADELINK L.L.C.
TRADELINK SECURITIES, LLC
TRADESTATION SECURITIES,
INC.
TRADEWEB DIRECT LLC
TRADEWEB L.L.C
TRANSAMERICA CAPITAL,
INC.
TRANSAMERICA FINANCIAL
ADVISORS, INC
TRANSAMERICA INVESTORS
SECURITIES CORPORATION
TRANSMARKET GROUP L.L.C.
TRC MARKETS LLC
TRIPLETREE, LLC
TRUIST SECURITIES, INC.
TUDOR PICKERING HOLT &
CO ADVISORS LP

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Brokers and Dealers With No Outstanding
Past-Due Share as of March 1, 2021

TUDOR, PICKERING, HOLT &
CO. SECURITIES, LLC
TULLETT PREBON FINANCIAL
SERVICES LLC
TWEEDY, BROWNE
COMPANY LLC
TWO RIVERS TRADING
GROUP LLC
TWO SIGMA SECURITIES, 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
UMB FINANCIAL SERVICES,
INC.
UMPQUA INVESTMENTS,
INC.
UNICREDIT CAPITAL
MARKETS LLC
UNITED BROKERAGE
SERVICES, INC
UNITED CAPITAL MARKETS,
INC.
UNITED PLANNERS'
FINANCIAL SERVICES OF
AMERICA A LIMITED
PARTNER
USAA FINANCIAL ADVISORS,
INC.
USAA INVESTMENT SERVICES
COMPANY
UVEST FINANCIAL SERVICES
GROUP, INC.
VALIC FINANCIAL ADVISORS,
INC.
VALLEY FORGE ASSET
MANAGEMENT, LLC

VAN ECK SECURITIES
CORPORATION
VELOCITY CAPITAL, LLC
VELOCITY CLEARING, LLC
VELOX CLEARING LLC
VINING-SPARKS IBG, LIMITED
PARTNERSHIP
VIRTU ALTERNET SECURITIES
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
VTB CAPITAL INC.
WACHTEL & CO., INC.
WADDELL & REED, INC.
WAKE USA LLC
WALL STREET ACCESS
WALLEYE TRADING LLC
WALNUT STREET SECURITIES,
INC.
WEALTHFRONT BROKERAGE
LLC
WEDBUSH SECURITIES INC.
WEEDEN & CO.L.P.
WELLS FARGO ADVISORS
FINANCIAL NETWORK, LLC

WELLS FARGO CLEARING
SERVICES, LLC
WELLS FARGO FUNDS
DISTRIBUTOR, 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
WILLIS SECURITIES, INC.
WILMINGTON BROKERAGE
SERVICES COMPANY
WILSON-DAVIS & CO., INC.
WOLVERINE EXECUTION
SERVICES, LLC
WOLVERINE SECURITIES, LLC
WOLVERINE TRADING, LLC
WOODBURY FINANCIAL
SERVICES, INC.
WOODROCK SECURITIES, L.P.
WORLD GROUP SECURITIES,
INC.
WSA FIXED INCOME, LLC
X-CHANGE FINANCIAL
ACCESS, LLC
XAMBALA CAPITAL, LLC
XP INVESTMENTS US, LLC
XR SECURITIES LLC
XTX MARKETS LLC
ZEBED SECURITIES, LLC
ZELMAN PARTNERS, LLC
ZEUS FINANCIAL, LLC
ZIONS DIRECT, INC.
ZIV INVESTMENT COMPANY