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 January 29, 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 December 14, 2020.\(^\text{1}\)

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).

\(^\text{1}\)/ 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).
<table>
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<tr>
<th>Company Name</th>
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<td>280 SECURITIES LLC</td>
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<td>303 EQUITY TRADING GROUP II, LLC</td>
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<td>A. R. SCHMEIDLER &amp; CO., INC.</td>
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<td>ABEL NOSER, LLC.</td>
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<td>ABEL/NOSER CORP.</td>
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<td>ANZ SECURITIES, INC.</td>
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<td>APERTURE, LLC</td>
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<td>APEX CLEARING CORPORATION</td>
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<td>AQR INVESTMENTS, LLC</td>
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<td>ASCENSUS BROKER DEALER SERVICES, INC.</td>
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<td>BAKER TILLY CAPITAL, LLC</td>
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<td>BALANCE SHEET SOLUTIONS LLC</td>
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<td>BANC OF AMERICA SPECIALIST, INC.</td>
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<td>BANCROFT CAPITAL, LLC</td>
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<td>Brokers and Dealers With No Outstanding Past-Due Share as of January 29, 2021</td>
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Past-Due Share as of January 29, 2021
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.
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.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
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
FIFTH THIRD SECURITIES, INC.
FIG PARTNERS, LLC
FINANCIAL NORTHEASTERN SECURITIES, INC.
FIRST ANALYSIS SECURITIES CORPORATION
FIRST BALLANTYNE, LLC
FIRST BANKERS' BANC SECURITIES, INC
FIRST BROTHERS 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 SECURI"
Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 29, 2021

HANCOCK WHITNEY INVESTMENT SERVICES INC.
HANDELSBANKEN MARKETS SECURITIES, INC.
HANTZ FINANCIAL SERVICES, INC.
HAP TRADING, LLC
HAPOALIM SECURITIES USA, INC.
HARD EIGHT TRADING, LLC
HARDCASCADE 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.
IFC 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
INVESTEMED 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.
JANE STREET CAPITAL, LLC
JANE STREET EXECUTION SERVICES, LLC
JANE STREET MARKETS, LLC
JANNNEY 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.
KG5-ALPHA CAPITAL
MARKETS, L.P.
KIPPSDEASANTO & 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.
LAKE SHORE SECURITIES, L.P.
LASALLE INVESTMENT
MANAGEMENT
DISTRIBUTORS, LLC
LATOUR TRADING LLC
LAVA FLOW, INC.
LAZAR 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
LION TREE ADVISORS LLC
LIQUIDNET, INC.
LIQUIDPOINT, LLC
LLOYDS SECURITIES INC.
LOEB PARTNERS
CORPORATION
LOMBARD ODIER
TRANSATLANTIC LIMITED
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
MARS CO 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
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.
MIDDLEGATE SECURITIES
LTD.
MIDLAND SECURITIES, LTD
MILLCO ADVISORS, LP
MILLENIUM 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.
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 LLC
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.
NBFI 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
NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE SECURITIES LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK CORPORATION
OHIO BHF NEW YORK CORPORATION
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.
OPPENHEIMER FUNDS DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSPRESS, 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
PARIS SECURITIES CORPORATION
PARK AVENUE SECURITIES LLC
PARK HILL REAL ESTATE GROUP LLC
PAULSON INVESTMENT COMPANY LLC
PAVLION 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
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
REGENS SECURITIES LLC
RELATED FINANCIAL SERVICES, LLC
RENCAP SECURITIES, 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
ROSENTHAL GLOBAL SECURITIES LLC
ROSS, SINCLAIRE & ASSOCIATES, LLC
ROYAL ALLIANCE ASSOCIATES, INC.
RUANE, CUNNIF & GOLDFARB LLC
Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 29, 2021

RUSSELL INVESTMENTS
FINANCIAL SERVICES, LLC
RUSSELL INVESTMENTS
IMPLEMENTATION SERVICES, LLC
SAFRA SECURITIES LLC
SAGEPOINT FINANCIAL, INC.
SAL EQUITY TRADING, GP
SAMCO CAPITAL MARKETS, INC.
SAM 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 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 MANAGEMENT AND RESEARCH, INC.
SECURITY DISTRIBUTORS, LLC
SEI INVESTMENTS DISTRIBUTION CO.
SENTINEL FINANCIAL SERVICES COMPANY
SENVEST INTERNATIONAL LLC.
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 CREDIT SECURITIES INC.
STANDARD NEW YORK, INC.
STATE FARM VP MANAGEMENT CORP.
STATE STREET GLOBAL ADVISORS FUNDS
DISTRIBUTORS, LLC
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.
SUNRISE BROKERS LLC
SUNTRUST INVESTMENT SERVICES, INC.
SUSQUEHANNA FINANCIAL GROUP, LLP
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, LLC
TELEY 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.
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.
TRANSAMERICA CAPITAL, INC.
TRANSAMERICA FINANCIAL ADVISORS, INC.
TRANSAMERICA INVESTORS SECURITIES CORPORATION
TRANSMARKET GROUP L.L.C.
TRC MARKETS LLC
TRIPLETTREE, LLC
TRUUD SECTURITIES, INC.
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 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
<table>
<thead>
<tr>
<th>Company Name</th>
<th>Company Name</th>
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<tr>
<td>UVEST FINANCIAL SERVICES GROUP, INC.</td>
<td>WEDBUSH SECURITIES INC.</td>
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<td>VALIC FINANCIAL ADVISORS, INC.</td>
<td>WEDDEN &amp; CO.L.P.</td>
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<td>VALLEY FORGE ASSET MANAGEMENT, LLC</td>
<td>WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC</td>
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<td>VAN ECK SECURITIES CORPORATION</td>
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<td>VELOCITY CAPITAL, LLC</td>
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<td>VELOX CLEARING LLC</td>
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<td>VNING-SPARKS IBG, LIMITED PARTNERSHIP</td>
<td>WESTPAC CAPITAL MARKETS LLC</td>
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<td>VIRTU ALTERNET SECURITIES LLC</td>
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<td>WILLS SECURITIES, INC.</td>
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<td>VIRTU ITG LLC</td>
<td>WILMINGTON BROKERAGE SERVICES COMPANY</td>
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<td>VIRTUS CAPITAL MARKETS LLC</td>
<td>WILSON-DAVIS &amp; CO., INC.</td>
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<td>VISION FINANCIAL MARKETS LLC</td>
<td>WOLVERINE EXECUTION SERVICES, LLC</td>
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<td>VISTA POINT ADVISORS, LLC</td>
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<td>VOLANT LIQUIDITY, LLC</td>
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<td>VOYA FINANCIAL ADVISORS, INC.</td>
<td>WOODBURY FINANCIAL SERVICES, INC.</td>
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<td>VOYA FINANCIAL PARTNERS, LLC</td>
<td>WOODROCK SECURITIES, L.P.</td>
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<td>VOYA INVESTMENTS DISTRIBUTOR, LLC</td>
<td>WORLD GROUP SECURITIES, INC.</td>
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<td>VOYA RETIREMENT ADVISORS, LLC</td>
<td>WSA FIXED INCOME, LLC</td>
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<td>VP DISTRIBUTORS LLC</td>
<td>X-CHANGE FINANCIAL ACCESS, LLC</td>
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<td>VTB CAPITAL INC.</td>
<td>XAMBALA CAPITAL, LLC</td>
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<td>WACHTEL &amp; CO., INC.</td>
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<td>WADDELL &amp; REED, INC.</td>
<td>XR SECURITIES LLC</td>
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<td>WAKE USA LLC</td>
<td>ZEBED SECURITIES, LLC</td>
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<td>WALLEYE TRADING LLC</td>
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<td>WALNUT STREET SECURITIES, INC.</td>
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<td>WEALTHFRONT BROKERAGE LLC</td>
<td>ZIV INVESTMENT COMPANY</td>
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