
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 14, 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 October 14, 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 October 14, 2021

	*	*	*
280 SECURITIES LLC	AMERANT INVESTMENTS,		ARIEL DISTRIBUTORS, LLC
303 EQUITY TRADING GROUP	INC.		ARVEST INVESTMENTS, INC.
II, LLC	AMERICA'S GROWTH		ARXIS SECURITIES LLC
A. R. SCHMEIDLER & CO.,	CAPITAL, LLC		ASCENSUS BROKER DEALER
INC.	AMERICAN CENTURY		SERVICES, INC.
A.B. FINANCIAL L.L.C.	INVESTMENT SERVICES, INC.		ASHMORE INVESTMENT
A.G.P. / ALLIANCE GLOBAL	AMERICAN ENTERPRISE		MANAGEMENT (US)
PARTNERS CORP.	INVESTMENT SERVICES INC.		CORPORATION
AARDVARK SECURITIES LLC	AMERICAN FUNDS		ASL CAPITAL MARKETS INC.
ABBEY NATIONAL SECURITIES	DISTRIBUTORS, INC.		ASPEN TRADING, L.L.C
INC.	AMERICAN PORTFOLIOS		ASSOCIATED OPTIONS, INC.
ABEL NOSER, LLC.	FINANCIAL SERVICES, INC.		ATHENE SECURITIES, LLC
ABEL/NOSER CORP.	AMERIPRISE FINANCIAL		ATLANTIC - PACIFIC CAPITAL,
ABG SUNDAL COLLIER INC.	SERVICES, LLC		INC.
ABN AMRO CLEARING	AMERITAS INVESTMENT		ATLAS ONE FINANCIAL
CHICAGO LLC	COMPANY, LLC		GROUP, LLC
ABN AMRO SECURITIES (USA)	AMERIVET SECURITIES, INC.		AUERBACH GRAYSON &
LLC	AMHERST PIERPONT		COMPANY LLC
ACADEMY SECURITIES, INC.	SECURITIES LLC		AURIGA USA, LLC
ACCESS SECURITIES, LLC	AMHERST SECURITIES		AUTOMATED TRADING DESK
ADVISORS ASSET	GROUP, L.P.		BROKERAGE SERVICES, LLC
MANAGEMENT, INC.	AMS DERIVATIVES B.V.		AUTONOMOUS RESEARCH
AERIS PARTNERS LLC	AMUNDI DISTRIBUTOR US,		LLP
AIG CAPITAL SERVICES, INC.	INC.		AVANTAX INVESTMENT
AIG FINANCIAL SECURITIES	ANGEL ISLAND CAPITAL		SERVICES, INC.
CORP.	SERVICES, LLC		AVATAR CAPITAL GROUP LLC
AK CAPITAL LLC	ANZ SECURITIES, INC.		AVATAR SECURITIES, LLC
AKUNA SECURITIES LLC	AON SECURITIES LLC		AVM, L.P.
ALADDIN CAPITAL LLC	APERTURE, LLC		AXOS CLEARING LLC
ALANTRA, LLC	APEX CLEARING		B. C. ZIEGLER AND COMPANY
ALLEN & COMPANY LLC	CORPORATION		B. RILEY SECURITIES, INC.
ALLIANCEBERNSTEIN	APOLLO GLOBAL SECURITIES,		B. RILEY WEALTH
INVESTMENTS, INC.	LLC		MANAGEMENT, INC.
ALLIANZ GLOBAL INVESTORS	AQR INVESTMENTS, LLC		BAADER HELVEA INC.
DISTRIBUTORS LLC	AQUILO PARTNERS, L.P.		BAKER TILLY CAPITAL, LLC
ALLIANZ LIFE FINANCIAL	ARCA CAPITAL		BALANCE SHEET SOLUTIONS
SERVICES, LLC	INVESTMENTS, INC.		LLC
ALLSTATE FINANCIAL	ARCHIPELAGO SECURITIES		BANC OF AMERICA
SERVICES, LLC	L.L.C.		SPECIALIST, INC.
ALLSTON TRADING LLC	ARCHIPELAGO TRADING		BANCO DO BRASIL
ALLY SECURITIES LLC	SERVICES, INC.		SECURITIES LLC
ALVAREZ & MARSAL	ARCOLA SECURITIES, INC.		BANCO VOTORANTIM
SECURITIES, LLC	ARDEA PARTNERS LP		SECURITIES, INC.

Public Company Accounting Oversight Board
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BANCROFT CAPITAL, LLC
BANCWEST INVESTMENT
SERVICES, INC.
BANORTE-IXE SECURITIES
INTERNATIONAL, LTD.
BARCLAYS CAPITAL INC.
BARON CAPITAL, INC.
BB&T INVESTMENT
SERVICES, INC.
BB&T SECURITIES, LLC
BBVA COMPASS
INVESTMENT SOLUTIONS,
INC.
BBVA SECURITIES INC.
BBVA SECURITIES OF PUERTO
RICO, INC.
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
BETHESDA SECURITIES, LLC
BEXIL SECURITIES LLC
BGC FINANCIAL, L.P.
BIDS TRADING L.P.
BLACKARCH SECURITIES LLC
BLACKROCK CAPITAL
MARKETS, LLC
BLACKROCK EXECUTION
SERVICES

BLACKROCK FUND
DISTRIBUTION COMPANY
BLACKROCK INVESTMENTS,
LLC
BLACKSTONE SECURITIES
PARTNERS L.P.
BLAYLOCK VAN, LLC
BLOOMBERG TRADEBOOK
LLC
BLUE CAPITAL GROUP LLC
BLUE FIRE CAPITAL, LLC
BLUEFIN CAPITAL
MANAGEMENT, LLC
BMO CAPITAL MARKETS
CORP.
BMO CAPITAL MARKETS
GKST INC.
BMO HARRIS FINANCIAL
ADVISORS, INC.
BMO INVESTMENT
DISTRIBUTORS, LLC
BMO NESBITT BURNS
TRADING CORP. S.A.
BNP PARIBAS PRIME
BROKERAGE, INC.
BNP PARIBAS SECURITIES
CORP.
BNY MELLON CAPITAL
MARKETS, LLC
BNY MELLON SECURITIES
CORPORATION
BOENNING &
SCATTERGOOD, INC.
BOFA DISTRIBUTORS, INC.
BOFA SECURITIES, INC.
BOK FINANCIAL SECURITIES,
INC.
BONDS.COM, INC.
BOSTON PARTNERS
SECURITIES, L.L.C.
BRADESCO BAC FLORIDA
INVESTMENTS CORP.
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC

BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC
BRIGHOUSE 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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of October 14, 2021

CANTOR FITZGERALD & CO.
CAPITAL BROKERAGE
CORPORATION
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
CASTLEOAK SECURITIES, LP
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 DERIVATIVES
MARKETS 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
CLARKSONS PLATOU
SECURITIES, INC.
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
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of October 14, 2021

COWEN AND COMPANY, LLC
COWEN CAPITAL LLC
COWEN EQUITY FINANCE LP
COWEN EXECUTION
SERVICES LLC
COWEN PRIME SERVICES LLC
CP COGENT SECURITIES LP
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
CT COLLATERAL FUNDING,
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.
DAIWA CORPORATE
ADVISORY LLC
DANSKE MARKETS INC.
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DAVY SECURITIES
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
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

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FARMERS FINANCIAL SOLUTIONS, LLC
FELTL & COMPANY
FHN FINANCIAL SECURITIES CORP.
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 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 MANHATTAN CO
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.
FLOURISH FINANCIAL LLC
FLOW TRADERS U.S.
INSTITUTIONAL TRADING LLC
FLOW TRADERS U.S. LLC
FM PARTNERS HOLDINGS LLC
FMI CAPITAL ADVISORS, INC.
FMSBONDS, INC.
FOCALPOINT SECURITIES, LLC
FOLGER NOLAN FLEMING DOUGLAS INCORPORATED
FOLIO INVESTMENTS, INC.
FORESTERS FINANCIAL SERVICES, INC.
FORETHOUGHT DISTRIBUTORS, LLC
FORGE MARKETS 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.

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Brokers and Dealers With No Outstanding
Past-Due Share as of October 14, 2021

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.
GROUP ONE TRADING, L.P.
GROVE POINT INVESTMENTS,
LLC
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
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.
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
HRT FINANCIAL LP
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUNTINGTON SECURITIES,
INC.
IBERIA CAPITAL PARTNERS
L.L.C.
IBKR SECURITIES SERVICES
LLC
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
INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
INFINEX INVESTMENTS, INC.
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSPEREX 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.
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of October 14, 2021

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
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.
LIGHTSPEED FINANCIAL
SERVICES GROUP 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.
M&T SECURITIES, 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
MAXIM GROUP LLC
MBS CAPITAL MARKETS, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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MCADAMS WRIGHT RAGEN,
INC.
MCAP LLC
MCS CAPITAL MARKETS LLC
MDB CAPITAL GROUP 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
MFR SECURITIES, INC.
MFS FUND DISTRIBUTORS,
INC.
MIDDLGATE SECURITIES
INC.
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

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Brokers and Dealers With No Outstanding
Past-Due Share as of October 14, 2021

NORDEA SECURITIES LLC
NORTH BRIDGE CAPITAL, LLC
NORTH POINT MERGERS
AND ACQUISITIONS, INC.
NORTHERN TRUST
SECURITIES, INC.
NORTHLAND SECURITIES,
INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL
INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, LLC
NYLIFE DISTRIBUTORS LLC
NYLIFE SECURITIES LLC
O'NEIL SECURITIES
INCORPORATED
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 LLC
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
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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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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.
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
SPURRIER CAPITAL
PARTNERS LLC
SS&C MARKET SERVICES, LLC

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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
STEBEN & COMPANY, LLC
STEPHENS INC.
STERLING, GRACE
MUNICIPAL SECURITIES
CORPORATION
STERN BROTHERS & CO.
STERNE, AGEE & LEACH, INC.
STEWART PARTNERS
INVESTMENT SOLUTIONS,
LLC
STIFEL, NICOLAUS &
COMPANY, INCORPORATED
STOCKCROSS FINANCIAL
SERVICES, INC.
STOEVER, GLASS & COMPANY
INC.
STONE & YOUNGBERG LLC
STONEX FINANCIAL INC.
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
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
TD SECURITIES AUTOMATED
TRADING 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
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

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TRADESTATION SECURITIES,
INC.
TRADEUP 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
TRIAD ADVISORS LLC
TRIPLETREE, LLC
TRUIST INVESTMENT
SERVICES, INC.
TRUIST SECURITIES, 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.
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 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
VOLANT SECURITIES, 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.

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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