
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 15, 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 November 15, 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 November 15, 2021

	*	*	*
280 SECURITIES LLC	AMERIPRISE FINANCIAL	ATHENE SECURITIES, LLC	
303 EQUITY TRADING GROUP	SERVICES, LLC	ATLAS ONE FINANCIAL	
II, LLC	AMERITAS INVESTMENT	GROUP, LLC	
A. R. SCHMEIDLER & CO.,	COMPANY, LLC	AUERBACH GRAYSON &	
INC.	AMERIVET SECURITIES, INC.	COMPANY LLC	
A.B. FINANCIAL L.L.C.	AMHERST PIERPONT	AURIGA USA, LLC	
A.G.P. / ALLIANCE GLOBAL	SECURITIES LLC	AUTOMATED TRADING DESK	
PARTNERS CORP.	AMHERST SECURITIES	BROKERAGE SERVICES, LLC	
AARDVARK SECURITIES LLC	GROUP, L.P.	AUTONOMOUS RESEARCH	
ABBEY NATIONAL SECURITIES	AMUNDI DISTRIBUTOR US,	LLP	
INC.	INC.	AVATAR CAPITAL GROUP LLC	
ABEL NOSER, LLC.	AMUNI FINANCIAL, INC.	AVATAR SECURITIES, LLC	
ABEL/NOSER CORP.	ANGEL ISLAND CAPITAL	AVM, L.P.	
ABG SUNDAL COLLIER INC.	SERVICES, LLC	AXOS CLEARING LLC	
ABN AMRO CLEARING	ANZ SECURITIES, INC.	B. C. ZIEGLER AND COMPANY	
CHICAGO LLC	AON SECURITIES LLC	B. RILEY WEALTH	
ACCESS SECURITIES, LLC	APERTURE, LLC	MANAGEMENT, INC.	
ADP BROKER-DEALER, INC.	APEX CLEARING	BAADER HELVEA INC.	
ADVISORS ASSET	CORPORATION	BAKER TILLY CAPITAL, LLC	
MANAGEMENT, INC.	APOLLO GLOBAL SECURITIES,	BALANCE SHEET SOLUTIONS	
AERIS PARTNERS LLC	LLC	LLC	
AIG CAPITAL SERVICES, INC.	AQR INVESTMENTS, LLC	BANC OF AMERICA	
AIG FINANCIAL SECURITIES	AQUILO PARTNERS, L.P.	SPECIALIST, INC.	
CORP.	ARBOR RESEARCH &	BANCO DO BRASIL	
AK CAPITAL LLC	TRADING, LLC	SECURITIES LLC	
ALADDIN CAPITAL LLC	ARCA CAPITAL	BANCO VOTORANTIM	
ALANTRA, LLC	INVESTMENTS, INC.	SECURITIES, INC.	
ALLEN & COMPANY LLC	ARCHIPELAGO SECURITIES	BANCROFT CAPITAL, LLC	
ALLIANCE BERNSTEIN	L.L.C.	BANCWEST INVESTMENT	
INVESTMENTS, INC.	ARCHIPELAGO TRADING	SERVICES, INC.	
ALLSTON TRADING LLC	SERVICES, INC.	BANORTE-IXE SECURITIES	
ALLY SECURITIES LLC	ARDEA PARTNERS LP	INTERNATIONAL, LTD.	
ALVAREZ & MARSAL	ARIEL DISTRIBUTORS, LLC	BARON CAPITAL, INC.	
SECURITIES, LLC	ARVEST INVESTMENTS, INC.	BB&T INVESTMENT	
AMERICA'S GROWTH	ARXIS SECURITIES LLC	SERVICES, INC.	
CAPITAL, LLC	ASCENSUS BROKER DEALER	BB&T SECURITIES, LLC	
AMERICAN CENTURY	SERVICES, INC.	BBVA COMPASS	
INVESTMENT SERVICES, INC.	ASHMORE INVESTMENT	INVESTMENT SOLUTIONS,	
AMERICAN ENTERPRISE	MANAGEMENT (US)	INC.	
INVESTMENT SERVICES INC.	CORPORATION	BBVA SECURITIES INC.	
AMERICAN PORTFOLIOS	ASL CAPITAL MARKETS INC.	BBVA SECURITIES OF PUERTO	
FINANCIAL SERVICES, INC.	ASPEN TRADING, L.L.C	RICO, INC.	
	ASSOCIATED OPTIONS, INC.	BCP SECURITIES, LLC	

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

BDT & COMPANY, LLC	BNP PARIBAS PRIME	C6 CAPITAL SECURITIES LLC
BEDROK SECURITIES LLC	BROKERAGE, INC.	CABRERA CAPITAL MARKETS,
BELLE HAVEN INVESTMENTS,	BNP PARIBAS SECURITIES	LLC
L.P.	CORP.	CAIN BROTHERS &
BELVEDERE TRADING LLC	BNY MELLON SECURITIES	COMPANY, LLC
BENCHMARK SECURITIES,	CORPORATION	CALAMOS FINANCIAL
LLC	BOENNING &	SERVICES LLC
BENGAL CAPITAL TRADING	SCATTERGOOD, INC.	CALVERT INVESTMENT
LLC	BOFA DISTRIBUTORS, INC.	DISTRIBUTORS, INC.
BENGAL CAPITAL, LLC	BOFA SECURITIES, INC.	CAMBRIDGE INTERNATIONAL
BENJAMIN F. EDWARDS &	BOK FINANCIAL SECURITIES,	SECURITIES, INC.
COMPANY, INC.	INC.	CAMBRIDGE INVESTMENT
BERENBERG CAPITAL	BONDS.COM, INC.	RESEARCH, INC.
MARKETS LLC	BOSTON PARTNERS	CAMPBELL LUTYENS & CO.
BERENSON & COMPANY, LLC	SECURITIES, L.L.C.	INC.
BERNARD HEROLD & CO.,	BRADESCO BAC FLORIDA	CANACCORD GENUITY LLC
INC.	INVESTMENTS CORP.	CANACCORD GENUITY
BETA CAPITAL SECURITIES	BRADESCO SECURITIES, INC.	SECURITIES LLC
LLC	BRANDT EQUITIES LLC	CANACCORD WEALTH
BETHESDA SECURITIES, LLC	BRAVER STERN SECURITIES	MANAGEMENT (USA) INC.
BEXIL SECURITIES LLC	LLC	CANTOR FITZGERALD & CO.
BLACKROCK CAPITAL	BREAN CAPITAL, LLC	CAPITAL BROKERAGE
MARKETS, LLC	BREX TREASURY LLC	CORPORATION
BLACKROCK EXECUTION	BRICKELL GLOBAL MARKETS,	CAPITAL ONE INVESTING, LLC
SERVICES	INC.	CAPITAL ONE SECURITIES,
BLACKROCK FUND	BRIGHT TRADING, LLC	INC.
DISTRIBUTION COMPANY	BROADHAVEN SECURITIES	CARDINAL CAPITAL
BLACKROCK INVESTMENTS,	LLC	MANAGEMENT LLC
LLC	BROADRIDGE BUSINESS	CARILLON FUND
BLAYLOCK VAN, LLC	PROCESS OUTSOURCING, LLC	DISTRIBUTORS, INC.
BLUE CAPITAL GROUP LLC	BROOKFIELD PRIVATE	CARNEGIE, INC.
BLUE FIRE CAPITAL, LLC	ADVISORS LLC	CARTY & COMPANY, INC.
BLUEFIN CAPITAL	BROWNSTONE INVESTMENT	CASCADIA CAPITAL, LLC
MANAGEMENT, LLC	GROUP, LLC	CASGRAIN & COMPANY
BMO CAPITAL MARKETS	BTG PACTUAL US CAPITAL,	(USA) LIMITED
CORP.	LLC	CBOE TRADING, INC.
BMO CAPITAL MARKETS	BTIG, LLC	CBRE CAPITAL ADVISORS,
GKST INC.	BUCKLER SECURITIES LLC	INC.
BMO HARRIS FINANCIAL	BURKE & QUICK PARTNERS	CCB INTERNATIONAL
ADVISORS, INC.	LLC	OVERSEAS (USA) INC.
BMO INVESTMENT	BYRD TRADING, LLC	CENTAURUS FINANCIAL, INC.
DISTRIBUTORS, LLC	C&C TRADING L.L.C.	CENTERVIEW PARTNERS LLC
BMO NESBITT BURNS	C. L. KING & ASSOCIATES,	CETERA FINANCIAL
TRADING CORP. S.A.	INC.	SPECIALISTS LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

CGIS SECURITIES LLC
CHARLES RIVER BROKERAGE,
LLC
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
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.

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.
COMHAR CAPITAL MARKETS,
LLC
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 TRADING, LLC

CORTVIEW CAPITAL
SECURITIES LLC
COUNTRY CLUB FINANCIAL
SERVICES, INC.
COWEN CAPITAL LLC
COWEN EQUITY FINANCE LP
COWEN EXECUTION
SERVICES LLC
CP COGENT SECURITIES LP
CRAIG-HALLUM CAPITAL
GROUP LLC
CREDIT AGRICOLE
CHEUVREUX NORTH
AMERICA, INC.
CREDIT SUISSE CAPITAL LLC
CREDIT SUISSE PRIME
SECURITIES SERVICES (USA)
LLC
CREDIT SUISSE PRIVATE
ADVISORS AG
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
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

DAIWA CORPORATE
ADVISORY LLC
DANSKE MARKETS INC.
DASH FINANCIAL
TECHNOLOGIES LLC
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DB SECURITIES SERVICES NJ
INC.
DBS VICKERS SECURITIES
(USA) INC.
DEALERWEB INC.
DELANEY EQUITY GROUP LLC
DELOITTE CORPORATE
FINANCE LLC
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIMENSION TRADING
GROUP, LLC
DIRECT EDGE ECN LLC
DIRECTED SERVICES LLC
DNB MARKETS, INC.
DOFT & CO., INC.
DOUGH LLC
DOWLING & PARTNERS
SECURITIES LLC
DREXEL HAMILTON, LLC
DRIEHAUS SECURITIES LLC
DRW SECURITIES, L.L.C.
DUFF & PHELPS SECURITIES
LLC
DUNCAN-WILLIAMS, INC.
DUNDEE SECURITIES INC.
DVB CAPITAL MARKETS LLC
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
ELECTRONIC TRANSACTION
CLEARING, INC.
EMPIRICAL RESEARCH
PARTNERS LLC
ENGLISH CONCEPTS, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUITABLE ADVISORS, LLC
EQUITEC PROPRIETARY
MARKETS, LLC
EQUITEC SPECIALISTS, 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 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 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 SOUTHWEST
COMPANY, LLC
FIRST TRUST PORTFOLIOS
L.P.
FIRST TRYON SECURITIES, LLC
FIRST WINSTON SECURITIES,
INC.
FIRSTRADE SECURITIES INC.
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

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.
FS INVESTMENT SOLUTIONS,
LLC
FSC SECURITIES
CORPORATION
FSP INVESTMENTS LLC
G-2 TRADING, LLC
G-BAR LIMITED
PARTNERSHIP
G-TRADE 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
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 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.
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

H.C. WAINWRIGHT & CO., 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.
HEALTHCARE COMMUNITY
SECURITIES CORPORATION
HEFREN-TILLOTSON, INC.
HERBERT J. SIMS & CO, INC.
HFF SECURITIES L.P.
HILLTOP SECURITIES INC.
HOLD BROTHERS CAPITAL
LLC
HOME FINANCIAL SERVICES,
INC.
HONEY BADGER
INVESTMENT SECURITIES,
LLC
HORNOR, TOWNSEND &
KENT, INC.
HOULIHAN LOKEY CAPITAL,
INC.
HOVDE GROUP, LLC
HOWARD WEIL
INCORPORATED
HRT EXECUTION SERVICES
LLC

Public Company Accounting Oversight Board
 Brokers and Dealers With No Outstanding
 Past-Due Share as of November 15, 2021

HUATAI SECURITIES (USA),
 INC.
 HUNT FINANCIAL
 SECURITIES, LLC
 HUNTINGTON SECURITIES,
 INC.
 IBERIA CAPITAL PARTNERS
 L.L.C.
 IBKR SECURITIES SERVICES
 LLC
 ICBC STANDARD SECURITIES
 INC.
 ICE BONDS SECURITIES
 CORPORATION
 ICE SECURITIES EXECUTION &
 CLEARING, LLC
 ICM SECURITIES, LLC
 ICR CAPITAL LLC
 IFC HOLDINGS, INC.
 IMPERIAL CAPITAL, LLC
 INCENTER SECURITIES
 GROUP 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.
 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 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 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.
 JVB FINANCIAL GROUP, LLC
 KBC SECURITIES USA LLC
 KBFG SECURITIES AMERICA
 INC.
 KEEFE, BRUYETTE & WOODS,
 INC.
 KEMPEN & CO U.S.A., INC.
 KEPLER CAPITAL MARKETS,
 INC.
 KESTRA INVESTMENT
 SERVICES, LLC
 KEYBANCCAPITAL MARKETS
 INC.
 KGS-ALPHA CAPITAL
 MARKETS, L.P.
 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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

LAZARD MIDDLE MARKET LLC
LEK SECURITIES
CORPORATION
LINCOLN FINANCIAL
DISTRIBUTORS, INC.
LINCOLN INTERNATIONAL
LLC
LINCOLN INVESTMENT
PLANNING, LLC
LIONTREE ADVISORS LLC
LIQUIDITYEDGE, LLC.
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
MARKETS NORTH AMERICA
LTD.
MACRO RISK ADVISORS LLC
MAPLE SECURITIES U.S.A.
INC.
MARATHON CAPITAL
MARKETS, LLC
MARIVA CAPITAL MARKETS,
LLC
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MBS CAPITAL MARKETS, LLC
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.
MID ATLANTIC CAPITAL
CORPORATION
MIDDLEGATE SECURITIES
INC.
MIDLAND SECURITIES, LTD
MILLBURN RIDGEFIELD
CORPORATION
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
MOORS & CABOT, INC.
MORGAN JOSEPH
TRIARTISAN LLC
MORGAN KEEGAN &
COMPANY, LLC
MORNINGSTAR INVESTMENT
SERVICES LLC
MOTIF INVESTING, INC.
MOUNTAINVIEW
SECURITIES, LLC
MPS GLOBAL SECURITIES, LLC
MS SECURITIES SERVICES
INC.
MSI FINANCIAL SERVICES,
INC.
MTS SECURITIES, LLC
MUFG AMERICAS
CORPORATE ADVISORY, INC.
MULTI-BANK SECURITIES,
INC.
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
NAB SECURITIES, LLC
NASDAQ OPTIONS SERVICES,
LLC
NATHAN HALE CAPITAL, LLC
NATIONAL PLANNING
CORPORATION

Public Company Accounting Oversight Board
 Brokers and Dealers With No Outstanding
 Past-Due Share as of November 15, 2021

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 SECURITIES 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
 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
 OPENDOOR SECURITIES LLC
 OPPENHEIMER & CO. INC.
 OPPENHEIMER FUNDS 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
 PACIFIC CREST SECURITIES LLC
 PACIFIC SELECT DISTRIBUTORS, LLC
 PARIS SECURITIES CORPORATION
 PARK AVENUE SECURITIES LLC
 PARK HILL REAL ESTATE GROUP LLC
 PARKLAND SECURITIES, 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
 PENSON FINANCIAL SERVICES, INC.
 PERSHING ADVISOR SOLUTIONS LLC
 PERSHING LLC
 PHILLIP CAPITAL INC.
 PHOENIX DERIVATIVES GROUP, LLC
 PICTET OVERSEAS INC.
 PIPELINE TRADING SYSTEMS LLC
 PJT PARTNERS LP
 POPULAR SECURITIES, LLC
 PORTIGON SECURITIES INC.
 POTAMUS TRADING, LLC
 PRAGMA LLC
 PRECISION SECURITIES, LLC
 PREFERRED CAPITAL SECURITIES, LLC
 PRICEWATERHOUSECOOPERS CORPORATE FINANCE LLC
 PROBITAS FUNDS GROUP, LLC
 PROSPERA FINANCIAL SERVICES, INC.
 PRUCO SECURITIES, LLC.
 PRUDENTIAL ANNUITIES DISTRIBUTORS, INC
 PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC
 PTR, INC.
 PULSE TRADING, INC.
 PUNDION LLC
 QATALYST PARTNERS LP
 QUAD CAPITAL, LLC
 QUAD SECURITIES LLC
 QUANTITATIVE BROKERS, LLC
 QUANTLAB SECURITIES LP

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

QUASAR DISTRIBUTORS, LLC	ROTH CAPITAL PARTNERS, LLC	SEARLE & CO.
QUESTAR CAPITAL CORPORATION	ROTHSCHILD & CO US INC.	SEATTLE-NORTHWEST SECURITIES CORPORATION
QUIET LIGHT SECURITIES, LLC	ROYAL ALLIANCE ASSOCIATES, INC.	SEB SECURITIES, INC.
R.W.PRESSPRICH & CO.	RUANE, CUNNIFF & GOLDFARB LLC	SECURITIES AMERICA, INC.
RABO SECURITIES USA, INC.	RUSSELL INVESTMENTS FINANCIAL SERVICES, LLC	SECURITIES MANAGEMENT AND RESEARCH, INC.
RAFFERTY CAPITAL MARKETS, LLC	SABADELL SECURITIES USA, INC.	SECURITIES SERVICE NETWORK, LLC
RAINE SECURITIES LLC	SAFRA SECURITIES LLC	SECURITY DISTRIBUTORS, LLC
RAINIER SECURITIES, LLC	SAGEPOINT FINANCIAL, INC.	SEI INVESTMENTS DISTRIBUTION CO.
RAMAT SECURITIES LTD.	SAMCO CAPITAL MARKETS, INC.	SENTINEL FINANCIAL SERVICES COMPANY
RAYMOND JAMES & ASSOCIATES, INC.	SAMI BROKERAGE LLC	SENVEST INTERNATIONAL L.L.C.
RAYMOND JAMES FINANCIAL SERVICES, INC.	SAMMONS FINANCIAL NETWORK, LLC	SETTER CAPITAL INC.
RAYMOND JAMES INSURANCE GROUP, INC.	SAMSUNG SECURITIES (AMERICA), INC.	SG AMERICAS SECURITIES, LLC
RB INTERNATIONAL MARKETS (USA) LLC	SAMUEL A. RAMIREZ & COMPANY, INC.	SHAY FINANCIAL SERVICES, INC.
RCI LIMITED PARTNERSHIP	SANDERS MORRIS HARRIS INC.	SHEA & COMPANY, LLC
REALCADRE LLC	SANDLER, O'NEILL & PARTNERS, L.P.	SHEARMAN, RALSTON INC.
RED CEDAR TRADING, LLC	SANFORD C. BERNSTEIN & CO., LLC	SHELBY CULLOM DAVIS & CO., L.P.
RELATED FINANCIAL SERVICES, LLC	SANTANDER INTERNATIONAL SECURITIES, INC.	SIEBERT WILLIAMS SHANK & CO., LLC
RENCAP SECURITIES, INC.	SANTANDER INVESTMENT SECURITIES INC.	SIERRA PACIFIC SECURITIES, LLC
REUTERS TRANSACTION SERVICES LLC	SANTANDER SECURITIES LLC	SIG BROKERAGE, LP
RGM SECURITIES, LLC	SAYBRUS EQUITY SERVICES, INC	SIGMA FINANCIAL CORPORATION
RIVERSOURCE DISTRIBUTORS, INC.	SBERBANK CIB USA, INC	SIGNAL HILL CAPITAL GROUP LLC
RIVERSTONE CAPITAL SERVICES LLC	SCORE PRIORITY CORP.	SIGNATOR INVESTORS, INC.
ROBERT W. BAIRD & CO. INCORPORATED	SCOTIA CAPITAL (USA) INC.	SIGNATURE SECURITIES GROUP CORPORATION
ROBINHOOD FINANCIAL, LLC	SCOTT & STRINGFELLOW, LLC	SII INVESTMENTS, INC.
ROBINHOOD SECURITIES, LLC	SCOTTRADE, INC.	SIMMONS & COMPANY INTERNATIONAL
RODMAN & RENSHAW, LLC	SCOUT TRADING, LLC	SIMMONS FIRST INVESTMENT GROUP, INC.
RONIN CAPITAL, LLC	SEAPORT GLOBAL SECURITIES LLC	SIMON MARKETS LLC
ROOSEVELT & CROSS, INCORPORATED	SEAPORT SECURITIES CORP.	SIMPLEX TRADING, LLC
ROSENTHAL GLOBAL SECURITIES LLC		
ROSS, SINCLAIRE & ASSOCIATES, LLC		

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of November 15, 2021

SMBC NIKKO SECURITIES
AMERICA, INC.
SMBC NIKKO SECURITIES
CANADA, LTD.
SOUTH STREET SECURITIES
LLC
SPHINX TRADING, LP
SPOT TRADING L.L.C.
SPROTT GLOBAL RESOURCE
INVESTMENTS LTD
SPURRIER CAPITAL
PARTNERS LLC
STANDARD CREDIT
SECURITIES INC.
STANDARD NEW YORK, INC.
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
STOUT CAPITAL, LLC
STRATEGAS SECURITIES, LLC

STUART FRANKEL & CO.,
INCORPORATED
STUDENT OPTIONS, LLC
SUMMIT BROKERAGE
SERVICES, INC.
SUMRIDGE PARTNERS, LLC
SUN LIFE FINANCIAL
DISTRIBUTORS, INC.
SUNGARD INSTITUTIONAL
BROKERAGE INC.
SUNRISE BROKERS LLC
SVB SECURITIES, A NON-
BANK AFFILIATE OF SILICON
VALLEY BANK
SWEDBANK SECURITIES US,
LLC
SWENEY CARTWRIGHT &
COMPANY
SYNOVUS SECURITIES, INC.
SYSTEMATIZED BENEFITS
ADMINISTRATORS, INC.
T. ROWE PRICE INVESTMENT
SERVICES, INC.
T3 TRADING GROUP, LLC
TALCOTT RESOLUTION
DISTRIBUTION COMPANY,
INC.
TASTYWORKS, INC.
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.
THINKEQUITY LLC
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.
TOURMALINE PARTNERS, LLC
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.
TRADEUP SECURITIES, INC.
TRADEWEB DIRECT LLC
TRADEWEB L.L.C

Public Company Accounting Oversight Board
 Brokers and Dealers With No Outstanding
 Past-Due Share as of November 15, 2021

TRADITION SECURITIES AND
 DERIVATIVES LLC
 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 SECURITIES, INC.
 TRUMID FINANCIAL LLC
 TUDOR PICKERING HOLT &
 CO ADVISORS LP
 TWEEDY, BROWNE
 COMPANY LLC
 TWO RIVER TRADING
 GROUP LLC
 TWO SIGMA SECURITIES, LLC
 UBS ASSET MANAGEMENT
 (US) INC.
 UBS FINANCIAL SERVICES
 INC.
 UBS FINANCIAL SERVICES
 INCORPORATED OF PUERTO
 RICO
 UBS SECURITIES LLC
 UMB FINANCIAL 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.

VALLEY FORGE ASSET
 MANAGEMENT, LLC
 VAN ECK SECURITIES
 CORPORATION
 VELOCITY CAPITAL, LLC
 VELOX CLEARING LLC
 VINING-SPARKS IBG, LIMITED
 PARTNERSHIP
 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
 WEBULL FINANCIAL LLC
 WEDBUSH SECURITIES INC.
 WEEDEN & CO. L.P.
 WELLINGTON SHIELDS & CO.,
 LLC

WELLS FARGO ADVISORS
 FINANCIAL NETWORK, LLC
 WELLS FARGO FUNDS
 DISTRIBUTOR, LLC
 WELLS FARGO
 INSTITUTIONAL SECURITIES,
 LLC
 WELLS FARGO PRIME
 SERVICES, LLC
 WELLS FARGO SECURITIES,
 LLC
 WESTMINSTER RESEARCH
 ASSOCIATES LLC
 WESTPAC CAPITAL MARKETS
 LLC
 WILLIAM BLAIR & COMPANY
 L.L.C.
 WILLIAMSTRADING LLC
 WILLIS SECURITIES, INC.
 WILMINGTON BROKERAGE
 SERVICES COMPANY
 WILSON-DAVIS & CO., INC.
 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
 XMS CAPITAL PARTNERS, LLC
 XR SECURITIES LLC
 XTX EXECUTION SERVICES
 LLC
 XTX MARKETS LLC
 ZEBED SECURITIES, LLC
 ZELMAN PARTNERS, LLC
 ZIONS DIRECT, INC.

ZIV INVESTMENT COMPANY