
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 3, 2022

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 January 3, 2022.^{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 January 3, 2022

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

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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
BDT & COMPANY, LLC
BEDROK SECURITIES LLC
BELLE HAVEN INVESTMENTS, L.P.
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
BERKSHIRE GLOBAL ADVISORS LP
BERNARD HEROLD & CO., INC.
BETA CAPITAL SECURITIES LLC
BETHESDA SECURITIES, LLC
BEXIL SECURITIES LLC
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
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
BREX TREASURY 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.
C6 CAPITAL SECURITIES LLC
CABRERA CAPITAL MARKETS, LLC
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.

Public Company Accounting Oversight Board
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Past-Due Share as of January 3, 2022

CANACCORD GENUITY LLC
CANACCORD GENUITY
SECURITIES LLC
CANACCORD WEALTH
MANAGEMENT (USA) INC.
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
CBOE TRADING, INC.
CBRE CAPITAL ADVISORS,
INC.
CCB INTERNATIONAL
OVERSEAS (USA) INC.
CENTAURUS FINANCIAL, INC.
CENTERVIEW PARTNERS LLC
CETERA FINANCIAL
SPECIALISTS LLC
CETERA INVESTMENT
SERVICES LLC
CGIS SECURITIES LLC
CHARDAN CAPITAL MARKETS
LLC
CHARLES RIVER BROKERAGE,
LLC
CHARLES SCHWAB & CO.,
INC.
CHASE INVESTMENT
SERVICES CORP.

CHICAGO CAPITAL
MANAGEMENT, L.P.
CHIMERA SECURITIES, LLC
CHINA RENAISSANCE
SECURITIES (US) INC.
CHOPPER SECURITIES, LLC
CIBC WORLD MARKETS
CORP.
CICC US SECURITIES, INC.
CIMB SECURITIES (USA), INC.
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
CLEARPOOL EXECUTION
SERVICES, 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 MACRO LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 3, 2022

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
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
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.
DASH FINANCIAL
TECHNOLOGIES LLC
DAVENPORT & COMPANY
LLC
DAVID LERNER ASSOCIATES,
INC.
DAVIS DISTRIBUTORS, LLC
DAVY SECURITIES
DB SECURITIES SERVICES NJ
INC.
DBO PARTNERS LLC
DBS VICKERS SECURITIES
(USA) INC.
DEALERWEB INC.
DELANEY EQUITY GROUP LLC
DELAWARE DISTRIBUTORS,
L.P.
DELOITTE CORPORATE
FINANCE LLC
DESJARDINS SECURITIES
INTERNATIONAL INC.
DEUTSCHE BANK SECURITIES
INC.
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIMENSION TRADING
GROUP, LLC
DINOSAUR FINANCIAL
GROUP, L.L.C
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.
DV SECURITIES, LLC
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
ELECTRONIC TRANSACTION
CLEARING, INC.
EMPIRICAL RESEARCH
PARTNERS LLC
ENGLISH CONCEPTS, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUILEND LLC
EQUITABLE ADVISORS, LLC
EQUITEC PROPRIETARY
MARKETS, LLC
EQUITEC SPECIALISTS, LLC
ESL INVESTMENT SERVICES,
LLC

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ESTRADA HINOJOSA &
COMPANY, INC.
EVERCORE GROUP L.L.C.
EXANE, INC.
EXECUTION ACCESS, LLC
EXOTIX USA INC.
FACTSET DATA SYSTEMS,
INC.
FAGENSON & CO., INC.
FAIRMOUNT PARTNERS LP
FARMERS FINANCIAL
SOLUTIONS, LLC
FELTL & COMPANY
FHN FINANCIAL SECURITIES
CORP.
FIDELITY DISTRIBUTORS
CORPORATION
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.
FIRSTRAD 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.
FS INVESTMENT SOLUTIONS,
LLC
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.
GBS RETIREMENT SERVICES,
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.

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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.
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
GWFS EQUITIES, INC.
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.
HENNION & WALSH, 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
HRT FINANCIAL LP
HUATAI SECURITIES (USA),
INC.
HUNT FINANCIAL
SECURITIES, LLC

HUNTINGTON SECURITIES,
INC.
IBERIA CAPITAL PARTNERS
L.L.C.
IBKR SECURITIES SERVICES
LLC
IBS HOLDING CORPORATION
ICAP CORPORATES LLC
ICBC STANDARD SECURITIES
INC.
ICE BONDS SECURITIES
CORPORATION
ICE SECURITIES EXECUTION &
CLEARING, LLC
ICM SECURITIES, LLC
ICR CAPITAL LLC
IEX SERVICES LLC
IFC HOLDINGS, INC.
IMC-CHICAGO, LLC
IMPERIAL CAPITAL, LLC
INCENTER SECURITIES
GROUP LLC
INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
INFINEX INVESTMENTS, INC.
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSPEREX LLC
INSTINET, 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

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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.
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
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
LINCOLN FINANCIAL
DISTRIBUTORS, INC.
LINCOLN INTERNATIONAL
LLC
LINCOLN INVESTMENT
PLANNING, LLC
LIONTREE ADVISORS LLC
LIQUIDYEDGE, LLC.
LIQUIDPOINT, LLC
LLOYDS SECURITIES INC.
LOEB PARTNERS
CORPORATION
LOMBARD ODIER
TRANSATLANTIC LIMITED
LOOP CAPITAL MARKETS LLC
LORD ABBETT DISTRIBUTOR
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
MAN INVESTMENTS INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 3, 2022

MAPLE SECURITIES U.S.A.
INC.
MARATHON CAPITAL
MARKETS, LLC
MARIVA CAPITAL MARKETS,
LLC
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MATTHEWS SOUTH, LLC
MAXIM GROUP 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
MIDDLGATE 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.
MUFG SECURITIES AMERICAS
INC.
MULTI-BANK SECURITIES,
INC.
MUTUAL OF AMERICA LIFE
INSURANCE COMPANY
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
N.I.S. FINANCIAL SERVICES,
INC.
NABSECURITIES, LLC
NASDAQ EXECUTION
SERVICES, LLC
NASDAQ OPTIONS SERVICES,
LLC
NATALIANCE SECURITIES,
LLC
NATHAN HALE CAPITAL, LLC
NATIONAL BANK OF CANADA
FINANCIAL INC.
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 3, 2022

NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN
MANAGEMENT LLC
NEW ENGLAND SECURITIES
CORPORATION
NEWEDGE USA, LLC
NEXBANK SECURITIES INC
NFSTX, LLC
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
O'NEIL SECURITIES
INCORPORATED
OASIS PRO MARKETS LLC
OBD SECURITIES LLC
OCTEG, LLC
ODDO BHF NEW YORK
CORPORATION
ODEON CAPITAL GROUP LLC
OHIO NATIONAL EQUITIES,
INC.
OLD MISSION CAPITAL, LLC
OLD MISSION MARKETS LLC

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
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
PENSERRA SECURITIES, LLC
PENSON FINANCIAL
SERVICES, 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.
PJT PARTNERS LP
PLANMEMBER SECURITIES
CORPORATION
PNC CAPITAL MARKETS LLC
PNC INVESTMENTS LLC
POPULAR SECURITIES, LLC
PORTIGON SECURITIES INC.
POTAMUS TRADING, LLC
PRAGMA LLC
PRECISION SECURITIES, LLC
PREFERRED CAPITAL
SECURITIES, LLC
PRICEWATERHOUSECOOPE
RS CORPORATE FINANCE LLC
PRINCIPAL FUNDS
DISTRIBUTOR, INC.
PRINCIPAL SECURITIES, INC.
PROBITAS FUNDS GROUP,
LLC
PROSPERA FINANCIAL
SERVICES, INC.
PRUCO SECURITIES, LLC.
PRUDENTIAL ANNUITIES
DISTRIBUTORS, INC
PRUDENTIAL INVESTMENT
MANAGEMENT SERVICES LLC
PTR, INC.
PULSE TRADING, INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 3, 2022

PUNDION LLC
PUTNAM RETAIL
MANAGEMENT LIMITED
PARTNERSHIP
QATALYST PARTNERS LP
QUAD CAPITAL, LLC
QUAD SECURITIES LLC
QUANTITATIVE BROKERS, 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.
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
RODMAN & RENSHAW, LLC
RONIN CAPITAL, LLC
ROOSEVELT & CROSS,
INCORPORATED
ROSENTHAL GLOBAL
SECURITIES LLC
ROSS, SINCLAIRE &
ASSOCIATES, LLC
ROTH CAPITAL PARTNERS,
LLC
ROTHSCHILD & CO US INC.
ROYAL ALLIANCE
ASSOCIATES, INC.
RUANE, CUNNIFF &
GOLDFARB LLC
RUSSELL INVESTMENTS
FINANCIAL SERVICES, LLC
RUSSELL INVESTMENTS
IMPLEMENTATION SERVICES,
LLC
SABADELL SECURITIES USA,
INC.
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
SEA OTTER SECURITIES
GROUP 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.
SECURITIES SERVICE
NETWORK, LLC
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

Public Company Accounting Oversight Board
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Past-Due Share as of January 3, 2022

SHEARMAN, RALSTON INC.
SHELBY CULLOM DAVIS &
CO., L.P.
SIEBERT WILLIAMS SHANK &
CO., LLC
SIERRA PACIFIC SECURITIES,
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
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
STOUT CAPITAL, LLC
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
SVB WEALTH ADVISORY, INC.
SWBC INVESTMENT
SERVICES, LLC
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 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 BENCHMARK COMPANY,
LLC
THE BUCKINGHAM
RESEARCH GROUP
INCORPORATED
THE GMS GROUP, LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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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
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 INVESTMENT
SERVICES, INC.
TRUIST SECURITIES, INC.
TRUMID FINANCIAL LLC
TUDOR PICKERING HOLT &
CO ADVISORS LP
TUDOR, PICKERING, HOLT &
CO. SECURITIES, LLC
TULLETT PREBON FINANCIAL
SERVICES LLC
TWEEDY, BROWNE
COMPANY LLC
TWO RIVERS TRADING
GROUP LLC
TWO SIGMA 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
VANGUARD MARKETING
CORPORATION
VELOCITY CAPITAL, LLC
VELOCITY CLEARING, LLC
VELOX CLEARING LLC
VIEWTRADE SECURITIES, INC.
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

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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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
WALLACHBETH CAPITAL LLC
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.
WILLIAMS TRADING 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
XP INVESTMENTS US, LLC
XR SECURITIES LLC
XTX EXECUTION SERVICES
LLC
XTX MARKETS LLC
ZEBED SECURITIES, LLC
ZELMAN PARTNERS, LLC
ZIONS DIRECT, INC.
ZIV INVESTMENT COMPANY