
**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 15, 2024

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 15, 2024.^{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 15, 2024

	*	*	*
2021 CAPITAL, LLC	ALLSTATE FINANCIAL SERVICES, LLC	APOLLO GLOBAL SECURITIES, LLC	
280 SECURITIES LLC	ALLSTON TRADING LLC	APTO PARTNERS, LLC	
303 EQUITY TRADING GROUP II, LLC	ALLY INVEST SECURITIES LLC	AQR INVESTMENTS, LLC	
A. R. SCHMEIDLER & CO., INC.	ALLY SECURITIES LLC	AQUILO PARTNERS, L.P.	
A.B. FINANCIAL L.L.C.	ALPACA SECURITIES LLC	ARBOR RESEARCH & TRADING, LLC	
A.G.P. / ALLIANCE GLOBAL PARTNERS, LLC	ALPINE SECURITIES CORPORATION	ARCA CAPITAL INVESTMENTS, INC.	
AARDVARK SECURITIES LLC	ALTERNA SECURITIES, INC.	ARCHIPELAGO SECURITIES L.L.C.	
ABBEY NATIONAL SECURITIES INC.	ALTRUIST FINANCIAL LLC	ARCHIPELAGO TRADING SERVICES, INC.	
ABEL NOSER, LLC.	ALVAREZ & MARSAL SECURITIES, LLC	ARCOLA SECURITIES, INC.	
ABEL/NOSER CORP.	AMERANT INVESTMENTS, INC.	ARDEA PARTNERS LP	
ABG SUNDAL COLLIER INC.	AMERICA'S GROWTH CAPITAL, LLC	ARIEL DISTRIBUTORS, LLC	
ABN AMRO CLEARING USA LLC	AMERICAN CENTURY INVESTMENT SERVICES, INC.	ARTIST CAPITAL LLC	
ABN AMRO SECURITIES (USA) LLC	AMERICAN ENTERPRISE INVESTMENT SERVICES INC.	ARVEST INVESTMENTS, INC.	
ABSA SECURITIES U.S. INC.	AMERICAN FUNDS DISTRIBUTORS, INC.	ARXIS SECURITIES LLC	
ACADEMY SECURITIES, INC.	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	ASCENSUS BROKER DEALER SERVICES, LLC	
ACCESS SECURITIES, LLC	AMERIPRISE FINANCIAL SERVICES, LLC	ASHMORE INVESTMENT MANAGEMENT (US) CORPORATION	
ACORNS SECURITIES, LLC	AMERITAS INVESTMENT COMPANY, LLC	ASL CAPITAL MARKETS INC.	
ADP BROKER-DEALER, INC.	AMERIVET SECURITIES, INC.	ASPEN TRADING, L.L.C	
ADVISORS ASSET MANAGEMENT, INC.	AMHERST SECURITIES GROUP, L.P.	ASSOCIATED INVESTMENT SERVICES, INC.	
AEGIS CAPITAL CORP.	AMS DERIVATIVES B.V.	ASSOCIATED OPTIONS, INC.	
AERIS PARTNERS LLC	AMUNDI DISTRIBUTOR US, INC.	ATHENE SECURITIES, LLC	
AIG CAPITAL SERVICES, INC.	AMUNI FINANCIAL, INC.	ATLANTIC - PACIFIC CAPITAL, INC.	
AIG FINANCIAL SECURITIES CORP.	ANGEL ISLAND CAPITAL SERVICES, LLC	ATLAS ONE FINANCIAL GROUP, LLC	
AK CAPITAL LLC	ANZ SECURITIES, INC.	ATLAS TECHNOLOGY GROUP LLC	
AKUNA SECURITIES LLC	AON SECURITIES LLC	ATM EXECUTION LLC	
ALADDIN CAPITAL LLC	APERTURE, LLC	AUERBACH GRAYSON & COMPANY LLC	
ALANTRA, LLC	APEX CLEARING CORPORATION	AURIGA USA, LLC	
ALLEN & COMPANY LLC		AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC	
ALLIANCEBERNSTEIN INVESTMENTS, INC.			
ALLIANZ LIFE FINANCIAL SERVICES, LLC			
ALLSPRING FUNDS DISTRIBUTOR, LLC			

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Brokers and Dealers With No Outstanding
Past-Due Share as of January 15, 2024

AUTONOMOUS RESEARCH
LLP
AVANTAX INVESTMENT
SERVICES, INC.
AVATAR CAPITAL GROUP LLC
AVATAR SECURITIES, LLC
AVM, L.P.
AXIO FINANCIAL LLC
AXOS CLEARING LLC
B. C. ZIEGLER AND COMPANY
B. RILEY SECURITIES, INC.
B. RILEY WEALTH
MANAGEMENT, INC.
BAADER HELVEA INC.
BAKER TILLY CAPITAL, LLC
BALANCE SHEET SOLUTIONS
LLC
BANC OF AMERICA
SPECIALIST, INC.
BANCO DO BRASIL
SECURITIES LLC
BANCO VOTORANTIM
SECURITIES, INC.
BANCROFT CAPITAL, LLC
BANCWEST INVESTMENT
SERVICES, INC.
BANORTE-IXE SECURITIES
INTERNATIONAL, LTD.
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.
BC PARTNERS SECURITIES LLC
BCP SECURITIES, INC.
BCS AMERICAS, INC.
BDT & MSD PARTNERS, 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
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
SECURITIES LTD.
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 PRIME,
INC.
BOFA SECURITIES, INC.
BOK FINANCIAL SECURITIES,
INC.
BOLTON GLOBAL CAPITAL
BONDS.COM, INC.
BOSTON PARTNERS
SECURITIES, L.L.C.
BOUSTEAD SECURITIES, LLC
BRADESCO BAC FLORIDA
INVESTMENTS CORP.
BRADESCO SECURITIES, INC.
BRANDT EQUITIES LLC
BRASIL PLURAL SECURITIES
LLC
BRAVER STERN SECURITIES
LLC
BREAN CAPITAL, LLC
BREX TREASURY LLC
BRICKELL GLOBAL MARKETS,
INC.
BRIGHT TRADING, LLC

Public Company Accounting Oversight Board
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BROADHAVEN SECURITIES
LLC
BROADRIDGE BUSINESS
PROCESS OUTSOURCING, LLC
BROKERTEC AMERICAS LLC
BROOKFIELD OAKTREE
WEALTH SOLUTIONS LLC
BROOKFIELD PRIVATE
ADVISORS LLC
BROWN, GIBBONS, LANG &
COMPANY SECURITIES, LLC
BROWNSTONE INVESTMENT
GROUP, LLC
BTG PACTUAL US CAPITAL,
LLC
BTIG, LLC
BUCKLER SECURITIES LLC
BUILDER ADVISOR GROUP,
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
CAIS CAPITAL LLC
CALAMOS FINANCIAL
SERVICES LLC
CALVERT INVESTMENT
DISTRIBUTORS, INC.
CAMBRIDGE INTERNATIONAL
SECURITIES, INC.
CAMBRIDGE INVESTMENT
RESEARCH, INC.
CAMPBELL LUTYENS & CO.
INC.
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
CARNEGIE, INC.
CARTA CAPITAL MARKETS,
LLC
CARTY & COMPANY, INC.
CASCADIA CAPITAL, LLC
CASGRAIN & COMPANY
(USA) LIMITED
CASTLEOAK SECURITIES, LP
CBRE CAPITAL ADVISORS,
INC.
CC CAPITAL ADVISORS, INC.
CCB INTERNATIONAL
OVERSEAS (USA) INC.
CCS TRANSACTIONS, LLC
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
CHAMPLAIN ADVISORS, 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 ORDER ROUTING AND
EXECUTION, LLC
CITIC SECURITIES
INTERNATIONAL USA, LLC
CITICORP SECURITIES
SERVICES, INC.
CITIGROUP DERIVATIVES
MARKETS INC.
CITIGROUP GLOBAL
MARKETS INC.
CITIZENS CAPITAL MARKETS,
INC.
CITIZENS JMP SECURITIES,
LLC
CITIZENS SECURITIES, INC.
CITY NATIONAL SECURITIES,
INC.
CITY SECURITIES
CORPORATION
CLARK SECURITIES, INC.
CLARKSON CAPITAL
MARKETS LLC
CLARKSONS SECURITIES, INC.
CLEAR STREET LLC

Public Company Accounting Oversight Board
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Past-Due Share as of January 15, 2024

CLEARPOOL EXECUTION SERVICES, LLC
CLEARY GULL INC.
CLEVELAND RESEARCH COMPANY LLC
CLIFTONLARSONALLEN WEALTH ADVISORS, LLC
CLSA AMERICAS, LLC
CMCJL, LLC
CME BD SERVICES, INC.
CMG SECURITIES LLC
CMT TRADING LLC
CMZ TRADING, LLC
COASTAL SECURITIES, INC.
COBRA TRADING, 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
COWEN AND COMPANY, LLC
COWEN EQUITY FINANCE LP
COWEN EXECUTION SERVICES LLC
COWEN PRIME SERVICES LLC
CP COGENT SECURITIES LP
CRAIG-HALLUM CAPITAL GROUP LLC
CREDICORP CAPITAL 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
CRITICALPOINT PARTNERS 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
CURTIWOOD CAPITAL, LLC
CURVATURE SECURITIES LLC
CUSO FINANCIAL SERVICES, L.P.
CUTLER GROUP, LLC
CUTWATER ASSET MANAGEMENT CORP.
CVC FUNDING, LLC
CYNDX ADVISORS LLC
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
DAWSON JAMES SECURITIES, INC.
DB SECURITIES SERVICES NJ INC.
DBO PARTNERS LLC
DBS VICKERS SECURITIES (USA) INC.
DELANEY EQUITY GROUP LLC
DELAWARE DISTRIBUTORS, L.P.
DELOITTE CORPORATE FINANCE LLC
DESJARDINS SECURITIES INTERNATIONAL INC.

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DEUTSCHE BANK SECURITIES
INC.
DEVELOPMENT
CORPORATION FOR ISRAEL
DIFFUSION MARKETS, L.L.C.
DIGITAL BROKERAGE
SERVICES LLC
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
DRIVEWEALTH
INSTITUTIONAL LLC
DRW EXECUTION SERVICES,
LLC
DRW SECURITIES, L.L.C.
DUFF & PHELPS SECURITIES
LLC
DUNDEE SECURITIES INC.
DV EQUITIES, LLC
DV SECURITIES, LLC
DVB CAPITAL MARKETS LLC
DWS DISTRIBUTORS, INC.
DZ FINANCIAL MARKETS LLC
E*TRADE CLEARING LLC
E*TRADE SECURITIES LLC
E.J. DE LA ROSA & CO., INC.
EARLYBIRDCAPITAL, INC.
EASTDIL SECURED ADVISORS
LLC
EATON PARTNERS, LLC
EATON VANCE
DISTRIBUTORS, INC.
EBX LLC
ECHOTRADE LLC

EDGEMONT CAPITAL
PARTNERS, L.P.
EDWARD D. JONES & CO.,
L.P.
EFG CAPITAL
INTERNATIONAL CORP.
EG MARKET TECHNOLOGIES
LLC
ELECTRONIC TRANSACTION
CLEARING, INC.
ELEQUIN SECURITIES LLC
ELEVATION, LLC
EMBED CLEARING LLC
EMMET & CO, INC.
EMPIRICAL RESEARCH
PARTNERS LLC
EMPOWER FINANCIAL
SERVICES, INC.
EPOCH SECURITIES, INC.
EQUATEX US INC
EQUILEND LLC
EQUITABLE ADVISORS, LLC
EQUITABLE DISTRIBUTORS,
LLC
EQUITEC PROPRIETARY
MARKETS, LLC
EQUITEC SPECIALISTS, LLC
EQUITYZEN SECURITIES LLC
ERNST & YOUNG CAPITAL
ADVISORS, LLC
ESL INVESTMENT SERVICES,
LLC
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 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
BROKERAGE SERVICES, INC.
FIRST DERIVATIVE TRADERS,
L.P.
FIRST EMPIRE SECURITIES,
INC.
FIRST HORIZON ADVISORS,
INC.
FIRST MANHATTAN
SECURITIES LLC
FIRST NATIONAL CAPITAL
MARKETS, INC.
FIRST NEW YORK SECURITIES
L.L.C.

Public Company Accounting Oversight Board
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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
FLAGSTAR ADVISORS INC
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
FORGE SECURITIES LLC
FOX RIVER EXECUTION
TECHNOLOGY, LLC
FRANKLIN DISTRIBUTORS,
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
FT GLOBAL CAPITAL, INC.
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
GALAXY DIGITAL PARTNERS
LLC
GALLAGHER SECURITIES, INC
GARGOYLE STRATEGIC
INVESTMENTS L.L.C.
GBM INTERNATIONAL, INC.
GBS RETIREMENT SERVICES,
INC.
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 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
GP BULLHOUND INC.
GRAY WHALE CAPITAL, LLC
GREAT PACIFIC SECURITIES
GREAT POINT CAPITAL LLC
GREEN PIER FINTECH LLC
GREEN STREET ADVISORS,
LLC
GREENHILL & CO., LLC
GREENSLEDGE CAPITAL
MARKETS LLC
GRIFFIN CAPITAL SECURITIES,
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
GWN SECURITIES INC.
GX2 SPREAD MARKETS, LLC
H.C.WAINWRIGHT & CO., LLC

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H2C SECURITIES INC.
HAITONG INTERNATIONAL
SECURITIES (USA) INC.
HAITONG SECURITIES USA
LLC
HALES SECURITIES, 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
HAYWOOD SECURITIES (USA)
INC.
HBK GLOBAL SECURITIES L.P.
HEALTHCARE COMMUNITY
SECURITIES CORP.
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 ADVISORS,
LLC
HOULIHAN LOKEY CAPITAL,
INC.

HOVDE GROUP, LLC
HOWARD WEIL
INCORPORATED
HOWDEN TIGER CAPITAL
MARKETS & ADVISORY, LLC
HRT EXECUTION SERVICES
LLC
HRT FINANCIAL LP
HSBC SECURITIES (USA) INC.
HUATAI SECURITIES (USA),
INC.
HUB INTERNATIONAL
INVESTMENT SERVICES INC.
HUNT FINANCIAL
SECURITIES, LLC
HUNTINGTON SECURITIES,
INC.
IBERIA CAPITAL PARTNERS
L.L.C.
IBKR SECURITIES SERVICES
LLC
IBS HOLDING CORPORATION
ICBC STANDARD SECURITIES
INC.
ICE BONDS SECURITIES
CORPORATION
ICE SECURITIES EXECUTION &
CLEARING, LLC
ICM SECURITIES, LLC
ICR CAPITAL LLC
IDB CAPITAL CORP.
IEX SERVICES LLC
IFC HOLDINGS, INC.
IMA WEALTH, INC.
IMC EXECUTION SERVICES
LLC
IMC-CHICAGO, LLC
IMPERIAL CAPITAL, LLC
INCENTER SECURITIES
GROUP LLC
INCENTRUM SECURITIES, LLC
INDEPENDENT FINANCIAL
GROUP, LLC

INDUSTRIAL AND
COMMERCIAL BANK OF
CHINA FINANCIAL SERVICES
LLC
INFINEX INVESTMENTS, INC.
ING FINANCIAL MARKETS LLC
INGALLS & SNYDER, LLC
INSIGNEO INTERNATIONAL
FINANCIAL SERVICES LLC
INSIGNEO SECURITIES, LLC
INSPEREX LLC
INSTINET, LLC
INSTITUTIONAL CASH
DISTRIBUTORS, LLC
INTELLIGENT CROSS LLC
INTERACTIVE BROKERS
CORP.
INTERACTIVE BROKERS LLC
INTERCOASTAL CAPITAL
MARKETS, INC.
INTERNATIONAL STRATEGY &
INVESTMENT GROUP LLC
INTESA SANPAOLO IMI
SECURITIES CORP.
INTL FILLMORE ADVISORS
LLC
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.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 15, 2024

ITAU BBA USA SECURITIES,
INC.
ITAU INTERNATIONAL
SECURITIES INC.
IVY DISTRIBUTORS, INC.
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
J.W. COLE FINANCIAL, INC.
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 HENDERSON
DISTRIBUTORS US LLC
JEFFERIES BACHE
SECURITIES, LLC
JEFFERIES EXECUTION
SERVICES, INC.
JEFFERIES HIGH YIELD
TRADING, LLC
JEFFERIES 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 EXECUTION, LLC
JUMP TRADING, LLC
JVB FINANCIAL GROUP, LLC
JWTT INC.
KBC SECURITIES USA LLC
KBFG SECURITIES AMERICA
INC.
KEEFE, BRUYETTE & WOODS,
INC.
KEPLER CAPITAL MARKETS,
INC.
KESTRA INVESTMENT
SERVICES, LLC
KEY INVESTMENT SERVICES
LLC
KEYBANC CAPITAL MARKETS
INC.
KEZAR TRADING, LLC
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.
LAFISE SECURITIES
CORPORATION
LAKE STREET CAPITAL
MARKETS, LLC
LAKESHORE SECURITIES, L.P.

LASALLE INVESTMENT
MANAGEMENT
DISTRIBUTORS, LLC
LATOUR TRADING LLC
LAVAFLOW, INC.
LAZARD FRERES & CO. LLC
LAZARD MIDDLE MARKET LLC
LEERINK PARTNERS LLC
LEK SECURITIES
CORPORATION
LEONIS SECURITIES, LLC
LFT SECURITIES, LLC
LIFESCI CAPITAL, LLC
LIGHTSPEED FINANCIAL
SERVICES GROUP LLC
LIME TRADING CORP
LINCOLN FINANCIAL
ADVISORS CORPORATION
LINCOLN FINANCIAL
DISTRIBUTORS, INC.
LINCOLN FINANCIAL
SECURITIES CORPORATION
LINCOLN INTERNATIONAL
LLC
LINCOLN INVESTMENT
PLANNING, LLC
LIONTREE ADVISORS LLC
LIQUIDITYEDGE, LLC.
LIQUIDNET, INC.
LIQUIDPOINT, LLC
LLOYDS SECURITIES INC.
LOEB PARTNERS
CORPORATION
LOMBARD ODIER
TRANSATLANTIC LIMITED
LOOP CAPITAL MARKETS LLC
LORD ABBETT DISTRIBUTOR
LLC
LPL FINANCIAL LLC
LUMA SECURITIES LLC
LUMENT SECURITIES, LLC
LUPO SECURITIES, LLC
M&I FINANCIAL ADVISORS,
INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 15, 2024

M1 FINANCE LLC
M3 INVESTMENT GROUP LLC
MACQUARIE CAPITAL (USA)
INC.
MACQUARIE CAPITAL
MARKETS NORTH AMERICA
LTD.
MACRO RISK ADVISORS LLC
MAN INVESTMENTS INC.
MAPLE SECURITIES U.S.A.
INC.
MARATHON CAPITAL
MARKETS, LLC
MAREX CAPITAL MARKETS
INC.
MARIVA CAPITAL MARKETS,
LLC
MARKETAXESS
CORPORATION
MARKS BAUGHAN
SECURITIES LLC
MARSHBERRY CAPITAL, LLC.
MATRIX EXECUTIONS, LLC
MATTHEWS SOUTH, LLC
MAVEN GLOBAL MARKETS
TRADING LLP
MAXIM GROUP LLC
MBS CAPITAL MARKETS, LLC
MBX CLEARING LLC
MCADAMS WRIGHT RAGEN,
INC.
MCAP LLC
MCS CAPITAL MARKETS 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.
MICROVENTURE
MARKETPLACE INC.
MIDLEGATE 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
CANADA INC.
MIZUHO SECURITIES USA LLC
MKM PARTNERS LLC
MMA SECURITIES LLC
MMC SECURITIES LLC
MML INVESTORS SERVICES,
LLC
MND PARTNERS, INC.
MOCHO TRADING LLC
MOELIS & COMPANY LLC
MOG CAPITAL L.L.C.

MONEY CONCEPTS CAPITAL
CORP
MONTEC SECURITIES LLC
MOOMOO FINANCIAL INC.
MOORELAND PARTNERS LLC
MOORS & CABOT, INC.
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
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.
MUFG SECURITIES AMERICAS
INC.
MULTI-BANK SECURITIES,
INC.
MURIEL SIEBERT & CO., INC.
MUTUAL OF AMERICA LIFE
INSURANCE COMPANY
N. B. ZOULLAS SECURITIES,
INC.
N.A. INVESTCORP LLC
N.I.S. FINANCIAL SERVICES,
INC.
NABSECURITIES, LLC

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NASDAQ EXECUTION SERVICES, LLC
NASDAQ OPTIONS SERVICES, LLC
NATALIANCE SECURITIES, LLC
NATHAN HALE CAPITAL, LLC
NATIONAL BANK OF CANADA FINANCIAL INC.
NATIONAL FINANCIAL SERVICES LLC
NATIONAL PLANNING CORPORATION
NATIONAL SECURITIES CORPORATION
NATIONWIDE FUND DISTRIBUTORS LLC
NATIONWIDE SECURITIES, LLC
NATIXIS DERIVATIVES INC.
NATIXIS DISTRIBUTION, LLC
NATIXIS SECURITIES AMERICAS LLC
NATWEST MARKETS SECURITIES INC.
NAVY FEDERAL INVESTMENT SERVICES, LLC
NBC SECURITIES, INC.
NBF SECURITIES (USA) CORP.
NEEDHAM & COMPANY, LLC
NELNET CAPITAL LLC
NETWORK 1 FINANCIAL SECURITIES INC.
NEUBERGER BERMAN BD LLC
NEUBERGER BERMAN MANAGEMENT LLC
NEW ENGLAND SECURITIES CORPORATION
NEWEDGE USA, LLC
NEXBANK SECURITIES INC
NFSTX, LLC
NH INVESTMENT & SECURITIES AMERICA, 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
NORTHERN TRUST SECURITIES, INC.
NORTHLAND SECURITIES, INC.
NORTHSTAR SECURITIES, LLC
NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
NUMIS SECURITIES INC.
NUVEEN SECURITIES, 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
ONEAMERICA SECURITIES, INC.
OPEN TO THE PUBLIC INVESTING, INC.
OPENDOOR SECURITIES LLC
OPPENHEIMER & CO. INC.
OPPENHEIMERFUNDS DISTRIBUTOR, INC.
OPTIONSHOUSE, LLC
OPTIONSXPRESS, INC.
OPTIVER US LLC

ORIENTAL FINANCIAL SERVICES LLC
OSAIC WEALTH, INC.
OSCAR GRUSS & SON INCORPORATED
OTA LLC
OTC LINK LLC
P.J. ROBB VARIABLE, LLC
PACIFIC CREST SECURITIES LLC
PALAFOX TRADING LLC
PARADIGM EQUITIES, INC.
PARETO SECURITIES INC.
PARIS SECURITIES CORPORATION
PARK AVENUE SECURITIES LLC
PARK HILL REAL ESTATE GROUP LLC
PARK SUTTON SECURITIES, LLC
PARKLAND SECURITIES, LLC
PAULSON INVESTMENT COMPANY LLC
PAYCHEX SECURITIES CORPORATION
PEAK6 CAPITAL MANAGEMENT LLC
PEAK6 PERFORMANCE MANAGEMENT LLC
PEAK6 VEGA MASTER FUND LLC
PENSON FINANCIAL SERVICES, INC.
PEOPLE'S SECURITIES, INC.
PERELLA WEINBERG PARTNERS LP
PERFORMANCE TRUST CAPITAL PARTNERS, LLC
PFM FUND DISTRIBUTORS, INC.
PFS INVESTMENTS INC.
PGM GLOBAL INC.
PHILLIP CAPITAL INC.

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
Past-Due Share as of January 15, 2024

PHOENIX DERIVATIVES
GROUP, LLC
PHX FINANCIAL, INC.
PICTET OVERSEAS INC.
PIMCO INVESTMENTS LLC
PIPELINE TRADING SYSTEMS
LLC
PIPER SANDLER & CO.
PJT PARTNERS LP
PLANMEMBER SECURITIES
CORPORATION
PMA SECURITIES, LLC
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
PRIME CAPITAL MARKETS,
LLC
PRIME DEALER SERVICES
CORP.
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.
PUBLIC VENTURES, LLC
PULSE TRADING, INC.
PUNDION LLC
PURESTREAM, LLC

PUTNAM RETAIL
MANAGEMENT LIMITED
PARTNERSHIP
Q ADVISORS LLC
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. SEELAUS & CO., 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
REDBIRD BD, LLC
REDBURN (USA) LLC
REDI GLOBAL TECHNOLOGIES
LLC
REGAL SECURITIES, INC.
REGIONS SECURITIES LLC
RELATED FINANCIAL
SERVICES, LLC
RENCAP SECURITIES, INC.

REPUBLIC PARTNERS, LLC
RESOLUTE INVESTMENT
DISTRIBUTORS, 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
ROSENBLATT SECURITIES
INC.
ROSENTHAL GLOBAL
SECURITIES LLC
ROSS, SINCLAIRE &
ASSOCIATES, LLC
ROTH CAPITAL PARTNERS,
LLC
ROTHSCHILD & CO US INC.
RQD* CLEARING, LLC
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

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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
SANTANDER US CAPITAL MARKETS LLC
SAYBRUS EQUITY SERVICES, INC
SBERBANK CIB USA, INC
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.
SEVEN POINTS CAPITAL, LLC
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
SIERRA PACIFIC SECURITIES, LLC
SIG BROKERAGE, LP
SIGMA FINANCIAL CORPORATION
SIGNAL HILL CAPITAL GROUP LLC
SIGNATOR INVESTORS, INC.
SII INVESTMENTS, INC.
SIMMONS & COMPANY INTERNATIONAL
SIMMONS FIRST INVESTMENT GROUP, INC.
SIMON MARKETS LLC
SIMPLEX TRADING, LLC
SIXPOINT PARTNERS LLC
SMBC NIKKO SECURITIES AMERICA, INC.
SMBC NIKKO SECURITIES CANADA, LTD.
SOFI SECURITIES LLC
SOLEBURY CAPITAL LLC
SOLOMON PARTNERS SECURITIES, LLC
SOUTH STREET SECURITIES LLC

SOUTHSTATE|DUNCANWILLIAMS SECURITIES CORP.
SPARTAN CAPITAL SECURITIES, LLC
SPC CAPITAL MARKETS LLC
SPHINX TRADING, LP
SPIDERROCK EXS, LLC
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.
STASH CAPITAL LLC
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

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STONEPEAK SECURITIES 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 INVESTMENT SERVICES
 INC.
 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
 SYCAMORE FINANCIAL
 GROUP
 SYNOVUS SECURITIES, INC.
 SYSTEMATIZED BENEFITS
 ADMINISTRATORS, INC.
 T. ROWE PRICE INVESTMENT
 SERVICES, INC.
 T.R. WINSTON & COMPANY,
 LLC

T3 TRADING GROUP, LLC
 TALCOTT RESOLUTION
 DISTRIBUTION COMPANY,
 INC.
 TASTYTRADE, INC.
 TCBI SECURITIES, INC.
 TCG CAPITAL MARKETS L.L.C.
 TD AMERITRADE CLEARING,
 INC.
 TD AMERITRADE, INC.
 TD PRIME SERVICES LLC
 TD PRIVATE CLIENT WEALTH
 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 BANK STREET GROUP
 L.L.C.
 THE BENCHMARK COMPANY,
 LLC
 THE BUCKINGHAM
 RESEARCH GROUP
 INCORPORATED
 THE GMS GROUP, LLC
 THE HUNTINGTON
 INVESTMENT COMPANY
 THE KLEIN GROUP, LLC
 THE LEADERS GROUP, INC.
 THE VERTICAL TRADING
 GROUP, LLC
 THE WILLIAMS CAPITAL
 GROUP, L.P.
 THINKEQUITY LLC
 THOMA BRAVO CAPITAL
 MARKETS, LLC

THOMAS WEISEL PARTNERS
 LLC
 THREE BROTHERS TRADING,
 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
 TP ICAP GLOBAL MARKETS
 AMERICAS LLC
 TPG CAPITAL BD, LLC
 TRADE INFORMATICS LLC
 TRADE-PMR INC.
 TRADEBOT SYSTEMS, INC.
 TRADELINK L.L.C.
 TRADELINK SECURITIES, LLC
 TRADESTATION SECURITIES,
 INC.
 TRADEUP SECURITIES, INC.
 TRADITION SECURITIES AND
 DERIVATIVES LLC

Public Company Accounting Oversight Board
Brokers and Dealers With No Outstanding
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TRANSAMERICA CAPITAL, INC.	UNITED BROKERAGE SERVICES, INC	VISION FINANCIAL MARKETS LLC
TRANSAMERICA FINANCIAL ADVISORS, INC	UNITED CAPITAL MARKETS, INC.	VISTA POINT ADVISORS, LLC
TRANSAMERICA INVESTORS SECURITIES CORPORATION	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	VOLANT LIQUIDITY, LLC
TRANSMARKET GROUP L.L.C.	UNIVEST SECURITIES, LLC	VOYA FINANCIAL ADVISORS, INC.
TRC MARKETS LLC	US TIGER SECURITIES, INC.	VOYA FINANCIAL PARTNERS, LLC
TRIAD ADVISORS LLC	USAA FINANCIAL ADVISORS, INC.	VOYA INVESTMENTS DISTRIBUTOR, LLC
TRIBAL CAPITAL MARKETS, LLC	USAA INVESTMENT SERVICES COMPANY	VOYA RETIREMENT ADVISORS, LLC
TRIPLETREE, LLC	UVEST FINANCIAL SERVICES GROUP, INC.	VP DISTRIBUTORS LLC
TRUIST INVESTMENT SERVICES, INC.	VALIC FINANCIAL ADVISORS, INC.	VRA PARTNERS, LLC
TRUIST SECURITIES, INC.	VALLEY FINANCIAL MANAGEMENT, INC.	WACHTEL & CO., INC.
TRUMID FINANCIAL LLC	VALLEY FORGE ASSET MANAGEMENT, LLC	WADDELL & REED, INC.
TUDOR PICKERING HOLT & CO ADVISORS LP	VAN ECK SECURITIES CORPORATION	WAKE USA LLC
TUDOR, PICKERING, HOLT & CO. SECURITIES, LLC	VAN LANSCHOT KEMPEN (USA) INC.	WALL STREET ACCESS
TULLETT PREBON FINANCIAL SERVICES LLC	VANAHEIM SECURITIES, LLC	WALLACHBETH CAPITAL LLC
TWEEDY, BROWNE COMPANY LLC	VANGUARD MARKETING CORPORATION	WALLEYE TRADING LLC
TWO RIVERS TRADING GROUP LLC	VAQUERO CAPITAL LLC	WALNUT STREET SECURITIES, INC.
TWO SIGMA SECURITIES, LLC	VECTORGLOBAL WMG, INC.	WEALTHFRONT BROKERAGE LLC
U.S. BANCORP INVESTMENTS, INC.	VELOCITY CAPITAL, LLC	WEBULL FINANCIAL LLC
UBS ASSET MANAGEMENT (US) INC.	VELOCITY CLEARING, LLC	WEDBUSH SECURITIES INC.
UBS FINANCIAL SERVICES INC.	VELOX CLEARING LLC	WEEDEN & CO.L.P.
UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO	VIEWTRADE SECURITIES, INC.	WELLINGTON SHIELDS & CO., LLC
UBS SECURITIES LLC	VINING-SPARKS IBG, LLC	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
UMB FINANCIAL SERVICES, INC.	VIRTU AMERICAS LLC	WELLS FARGO CLEARING SERVICES, LLC
UNICREDIT CAPITAL MARKETS LLC	VIRTU FINANCIAL BD LLC	WELLS FARGO INSTITUTIONAL SECURITIES, LLC
UNIONBANC INVESTMENT SERVICES, LLC	VIRTU FINANCIAL CAPITAL MARKETS LLC	WELLS FARGO PRIME SERVICES, LLC
	VIRTU ITG LLC	WELLS FARGO SECURITIES, LLC
	VIRTUS CAPITAL MARKETS LLC	WESTMINSTER RESEARCH ASSOCIATES LLC
		WESTPAC CAPITAL MARKETS LLC

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WILLIAM BLAIR & COMPANY
L.L.C.
WILLIAMS TRADING LLC
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
X-CHANGE FINANCIAL
ACCESS, LLC
XAMBALA CAPITAL, LLC
XMS CAPITAL PARTNERS, LLC
XP INVESTMENTS US, LLC
XR SECURITIES LLC
XTELLUS CAPITAL PARTNERS,
INC.
XTX EXECUTION SERVICES
LLC
XTX MARKETS LLC
ZEBED SECURITIES, LLC
ZELMAN PARTNERS, LLC
ZEUS FINANCIAL, LLC
ZIONS DIRECT, INC.
ZIV INVESTMENT COMPANY