

---

---

**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 May 16, 2012**

---

---

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 May 16, 2012.<sup>1/</sup>

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 1-866-606-3982 (9:00 a.m. to 5:00 p.m. ET) or by email at [confirm@pcaobus.org](mailto: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 1-866-606-3982 (9:00 a.m. to 5:00 p.m. ET) or by email at [confirm@pcaobus.org](mailto:confirm@pcaobus.org).

---

<sup>1/</sup> 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. The prohibitions in PCAOB Rule 7104(b)(1) do not apply with respect to audit opinions for brokers and dealers with petitions for correction pending under Rule 7103(c).

## ACCOUNTING SUPPORT FEE

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/Ops/Pages/BDSupportFeeFAQ.aspx>).

\* \* \*

303 EQUITY TRADING GROUP II, LLC  
A.B. FINANCIAL L.L.C.  
ABBEY NATIONAL SECURITIES INC.  
ABEL/NOSER CORP.  
ABG SUNDAL COLLIER INC.  
ABN AMRO CLEARING CHICAGO LLC  
ABN AMRO SECURITIES (USA) LLC  
ACCESS SECURITIES, LLC  
ADVISORS ASSET MANAGEMENT, INC.  
AIG FINANCIAL SECURITIES CORP.  
ALADDIN CAPITAL LLC  
ALBERT FRIED & COMPANY, LLC  
ALLEN & COMPANY LLC  
ALLIANCEBERNSTEIN INVESTMENTS, INC.  
ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC  
ALLSTATE FINANCIAL SERVICES, LLC  
ALLSTON TRADING LLC  
ALLY SECURITIES LLC  
ALTERNATIVE STRATEGIES BROKERAGE SERVICES, INC.  
ALTERNET SECURITIES INC.  
ALVAREZ & MARSAL SECURITIES, LLC  
AMERICAN CENTURY INVESTMENT SERVICES, INC.

AMERICAN ENTERPRISE INVESTMENT SERVICES INC.  
AMERICAN FUNDS DISTRIBUTORS, INC.  
AMERIPRISE FINANCIAL SERVICES, INC.  
AMERITAS INVESTMENT CORP  
AMHERST SECURITIES GROUP, L.P.  
ANZ SECURITIES, INC.  
AON BENFIELD SECURITIES, INC.  
ARCHIPELAGO SECURITIES L.L.C.  
ARIEL DISTRIBUTORS, LLC  
ASPEN TRADING, L.L.C  
ATLANTIC - PACIFIC CAPITAL, INC.  
AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC  
AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC  
AVIVA SECURITIES, LLC  
AVM, L.P.  
AXA ADVISORS, LLC  
AXA DISTRIBUTORS, LLC  
B. C. ZIEGLER AND COMPANY  
BALANCE SHEET SOLUTIONS LLC  
BANC OF AMERICA SPECIALIST, INC.  
BANCA IMI SECURITIES CORP.  
BANCO DO BRASIL SECURITIES LLC

BARCLAYS CAPITAL INC.  
BARON CAPITAL, INC.  
BATS TRADING, INC.  
BB&T INVESTMENT SERVICES, INC.  
BBVA COMPASS INVESTMENT SOLUTIONS, INC.  
BBVA SECURITIES INC.  
BBVA SECURITIES OF PUERTO RICO, INC.  
BCP SECURITIES, LLC  
BEDROK SECURITIES LLC  
BELVEDERE TRADING LLC  
BENGAL CAPITAL, LLC  
BERENSON & COMPANY, LLC  
BERNARD HEROLD & CO., INC.  
BGC FINANCIAL, L.P.  
BLACKROCK EXECUTION SERVICES  
BLACKROCK FUND DISTRIBUTION COMPANY  
BLACKROCK INVESTMENTS, LLC  
BLACKSTONE ADVISORY PARTNERS L.P.  
BLOOMBERG TRADEBOOK LLC  
BLUE CAPITAL GROUP LLC  
BLUE FIRE CAPITAL, LLC  
BLUEFIN TRADING, LLC  
BMO CAPITAL MARKETS CORP.  
BMO CAPITAL MARKETS GKST INC.  
BMO NESBITT BURNS TRADING CORP. S.A.

## ACCOUNTING SUPPORT FEE

BNP PARIBAS PRIME  
BROKERAGE, INC.  
BNP PARIBAS SECURITIES  
CORP.  
BNY CONVERGEX  
EXECUTION SOLUTIONS  
LLC  
BOFA DISTRIBUTORS, INC.  
BRANDT EQUITIES LLC  
BRAVER STERN  
SECURITIES LLC  
BRIGHT TRADING, LLC  
BROCKHOUSE & COOPER  
INC.  
BROWNSTONE  
INVESTMENT GROUP, LLC  
BTG PACTUAL US CAPITAL  
CORP.  
BTIG, LLC  
BURKE & QUICK  
PARTNERS LLC  
BYRD TRADING, LLC  
C&C TRADING L.L.C.  
C. L. KING & ASSOCIATES,  
INC.  
CADARET, GRANT & CO.,  
INC.  
CAIN BROTHERS &  
COMPANY, LLC  
CALAMOS FINANCIAL  
SERVICES LLC  
CALVERT INVESTMENT  
DISTRIBUTORS, INC.  
CAMBRIDGE  
INTERNATIONAL  
SECURITIES, INC.  
CAMBRIDGE INVESTMENT  
RESEARCH, INC.  
CANACCORD GENUITY  
INC.  
CANTOR FITZGERALD &  
CO.  
CAPITAL BROKERAGE  
CORPORATION  
CAPITAL INSTITUTIONAL  
SERVICES, INC.

CAPITAL ONE  
INVESTMENT SERVICES  
LLC  
CAPITAL ONE  
SOUTHCOAST, INC  
CARTY & COMPANY, INC.  
CASGRAIN & COMPANY  
(USA) LIMITED  
CASSANDRA TRADING  
GROUP, LLC  
CCO INVESTMENT  
SERVICES CORP.  
CENTERVIEW PARTNERS  
LLC  
CHARLES RIVER  
BROKERAGE, LLC  
CHARLES SCHWAB & CO.,  
INC.  
CHASE INVESTMENT  
SERVICES CORP.  
CHICAGO CAPITAL  
MANAGEMENT, L.P.  
CHIMERA SECURITIES,  
LLC  
CIBC WORLD MARKETS  
CORP.  
CICC US SECURITIES, INC.  
CIT CAPITAL SECURITIES  
LLC  
CITADEL SECURITIES LLC  
CITI INTERNATIONAL  
FINANCIAL SERVICES LLC  
CITICORP SECURITIES  
SERVICES, INC.  
CITIGROUP GLOBAL  
MARKETS INC.  
CITY NATIONAL  
SECURITIES, INC.  
CITY SECURITIES  
CORPORATION  
CLARK SECURITIES, INC.  
CLEARVIEW  
CORRESPONDENT  
SERVICES, LLC  
CLEVELAND RESEARCH  
COMPANY LLC  
CMCJL, LLC  
CME BD SERVICES, INC.

CMZ TRADING, LLC  
COASTAL SECURITIES,  
INC.  
COGNITIVE CAPITAL, LLC  
COHEN & COMPANY  
CAPITAL MARKETS, LLC  
COHEN & COMPANY  
SECURITIES, LLC  
COHEN & STEERS  
SECURITIES, LLC  
COLLINS STEWART LLC  
COLUMBIA MANAGEMENT  
INVESTMENT  
DISTRIBUTORS, INC.  
COMERICA  
SECURITIES, INC.  
COMMERCE BROKERAGE  
SERVICES, INC.  
COMMERZ MARKETS LLC  
COMMONWEALTH EQUITY  
SERVICES, INC.  
CONTINUITY PARTNERS  
GROUP, LLC  
COWEN AND COMPANY,  
LLC  
COWEN CAPITAL LLC  
CREDIT AGRICOLE  
CHEUVREUX NORTH  
AMERICA, INC.  
CREDIT AGRICOLE  
SECURITIES (USA) INC.  
CREDIT SUISSE CAPITAL  
LLC  
CREDIT SUISSE PRIVATE  
ADVISORS AG  
CREDIT SUISSE  
SECURITIES (USA) LLC  
CREWS & ASSOCIATES,  
INC.  
CROWELL, WEEDON & CO.  
CRT CAPITAL GROUP LLC  
CSCA CAPITAL ADVISORS,  
LLC  
CSS, LLC  
CUNA BROKERAGE  
SERVICES, INC.  
CURIAN CLEARING, LLC

**ACCOUNTING SUPPORT FEE**

CURTISWOOD CAPITAL,  
LLC  
CUSO FINANCIAL  
SERVICES, L.P.  
CUTLER GROUP, LP  
CUTWATER ASSET  
MANAGEMENT CORP.  
D.A. DAVIDSON & CO.  
DAEWOO SECURITIES  
(AMERICA) INC.  
DAHLMAN ROSE &  
COMPANY, LLC  
DAIWA CAPITAL MARKETS  
AMERICA INC.  
DAVENPORT & COMPANY  
LLC  
DAVID LERNER  
ASSOCIATES, INC.  
DAVIS DISTRIBUTORS, LLC  
DB SECURITIES SERVICES  
NJ INC.  
DBS VICKERS SECURITIES  
(USA) INC.  
DEALERWEB INC.  
DELAWARE  
DISTRIBUTORS, L.P.  
DEUTSCHE BANK  
SECURITIES INC.  
DEVELOPMENT  
CORPORATION FOR  
ISRAEL  
DIRECT EDGE ECN LLC  
DNB NOR MARKETS, INC.  
DOFT & CO., INC.  
DOUGHERTY & COMPANY  
LLC  
DOWLING & PARTNERS  
SECURITIES LLC  
DRIEHAUS SECURITIES  
LLC  
DRW SECURITIES, L.L.C.  
DUNCAN-WILLIAMS, INC.  
DVB CAPITAL MARKETS  
LLC  
DWS INVESTMENTS  
DISTRIBUTORS, INC  
DZ FINANCIAL MARKETS  
LLC

E\*TRADE CAPITAL  
MARKETS LLC  
E\*TRADE CLEARING LLC  
E\*TRADE SECURITIES LLC  
E.J. DE LA ROSA & CO.,  
INC.  
E.S. FINANCIAL SERVICES,  
INC.  
EARLYBIRDCAPITAL, INC.  
EATON VANCE  
DISTRIBUTORS, INC.  
EBX LLC  
ECHOTRADE LLC  
EDWARD D. JONES & CO.,  
L.P.  
EFG CAPITAL  
INTERNATIONAL CORP.  
ELECTRONIC BROKERAGE  
SYSTEMS, LLC  
EMMET & CO, INC.  
EMPIRICAL RESEARCH  
PARTNERS LLC  
EPOCH SECURITIES, INC.  
EQUITEC PROPRIETARY  
MARKETS, LLC  
EQUITEC SPECIALISTS,  
LLC  
EVERCORE GROUP L.L.C.  
EXANE, INC.  
FACTSET DATA SYSTEMS,  
INC.  
FAGENSON & CO., INC.  
FARMERS FINANCIAL  
SOLUTIONS, LLC  
FBR CAPITAL MARKETS &  
CO.  
FELTL & COMPANY  
FIDELITY BROKERAGE  
SERVICES LLC  
FIDELITY DISTRIBUTORS  
CORPORATION  
FIDELITY INVESTMENTS  
INSTITUTIONAL SERVICES  
COMPANY, INC.  
FIFTH THIRD SECURITIES,  
INC.

FINANCIAL NETWORK  
INVESTMENT  
CORPORATION  
FINANCIAL  
NORTHEASTERN  
SECURITIES, INC.  
FIRST ALLIED SECURITIES,  
INC.  
FIRST ANALYSIS  
SECURITIES  
CORPORATION  
FIRST BALLANTYNE, LLC  
FIRST BROKERS  
SECURITIES LLC  
FIRST CLEARING, LLC  
FIRST COMMAND  
FINANCIAL PLANNING, INC.  
FIRST DERIVATIVE  
TRADERS, L.P.  
FIRST INVESTORS  
CORPORATION  
FIRST MANHATTAN CO  
FIRST NEW YORK  
SECURITIES L.L.C.  
FIRST REPUBLIC  
SECURITIES COMPANY,  
LLC  
FIRST SOUTHWEST  
COMPANY  
FIRST TENNESSEE  
BROKERAGE, INC.  
FIRST TRUST  
PORTFOLIOS L.P.  
FIRST TRYON  
SECURITIES, LLC  
FIXED INCOME CAPITAL  
PARTNERS, LLC  
FLOW TRADERS U.S. LLC  
FMSBONDS, INC.  
FOLGER NOLAN FLEMING  
DOUGLAS  
INCORPORATED  
FOLIOFN INVESTMENTS,  
INC.  
FOX RIVER EXECUTION  
TECHNOLOGY, LLC  
FRANKLIN/TEMPLETON  
DISTRIBUTORS, INC.

## ACCOUNTING SUPPORT FEE

FRED ALGER & COMPANY,  
INCORPORATED  
FROST BROKERAGE  
SERVICES, INC.  
FSC SECURITIES  
CORPORATION  
FTN FINANCIAL  
SECURITIES CORP  
G-2 TRADING,LLC  
G-TRADE SERVICES LLC  
GABELLI & COMPANY, INC.  
GARGOYLE STRATEGIC  
INVESTMENTS L.L.C.  
GCA SAVVIAN ADVISORS,  
LLC  
GDK, INC.  
GE CAPITAL MARKETS,  
INC.  
GELBER SECURITIES, LLC  
GENWORTH FINANCIAL  
SECURITIES  
CORPORATION  
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 RESOURCE  
INVESTMENTS, LTD.  
GOLDMAN SACHS  
EXECUTION & CLEARING,  
L.P.  
GOLDMAN SACHS  
FINANCIAL MARKETS, L.P.  
GOLDMAN, SACHS & CO.  
GRAY WHALE CAPITAL,  
LLC  
GREAT POINT CAPITAL  
LLC  
GREEN STREET  
ADVISORS, INC.  
GREENHILL & CO., LLC

GRIFFITHS MCBURNEY  
CORP.  
GUGGENHEIM  
SECURITIES, LLC  
GUZMAN & COMPANY  
GWFS EQUITIES, INC.  
H.C. WAINWRIGHT & CO.,  
INC.  
H.D. VEST INVESTMENT  
SECURITIES, INC.  
HANCOCK INVESTMENT  
SERVICES, INC.  
HAP TRADING, LLC  
HAPOALIM SECURITIES  
USA, INC.  
HARD EIGHT TRADING,  
LLC  
HARDCASTLE TRADING  
USA L.L.C.  
HARRIS INVESTOR  
SERVICES, INC.  
HARTFORD INVESTMENT  
FINANCIAL SERVICES, LLC  
HARTFORD LIFE  
DISTRIBUTORS, LLC  
HARTFORD SECURITIES  
DISTRIBUTION COMPANY,  
INC.  
HBK GLOBAL SECURITIES  
L.P.  
HEFREN-TILLOTSON, INC.  
HELVEA INC.  
HERBERT J. SIMS & CO.  
INC.  
HOLD BROTHERS ON-LINE  
INVESTMENT SERVICES  
L.L.C.  
HOME FINANCIAL  
SERVICES, INC.  
HORNOR, TOWNSEND &  
KENT, INC.  
HOULIHAN LOKEY  
CAPITAL, INC.  
HOWARD WEIL  
INCORPORATED  
HRT FINANCIAL LLC  
HUTCHINSON, SHOCKEY,  
ERLEY & CO.

HYUNDAI SECURITIES  
(AMERICA) INC.  
IBERIA CAPITAL  
PARTNERS L.L.C.  
ICM SECURITIES, LLC  
IDB CAPITAL CORP.  
IFC HOLDINGS, INC.  
IMC-CHICAGO, LLC  
INCAPITAL LLC  
INDUSTRIAL AND  
COMMERCIAL BANK OF  
CHINA FINANCIAL  
SERVICES LLC  
ING DIRECT INVESTING,  
INC.  
ING FINANCIAL ADVISERS,  
LLC  
ING FINANCIAL MARKETS  
LLC  
ING FINANCIAL  
PARTNERS, INC.  
ING INVESTMENT  
ADVISORS, LLC  
ING INVESTMENTS  
DISTRIBUTOR, LLC  
INGALLS & SNYDER, LLC  
INSTINET, LLC  
INTERACTIVE BROKERS  
LLC  
INTERNATIONAL  
STRATEGY & INVESTMENT  
GROUP INC.  
INTL TRADING, INC.  
INVEMED ASSOCIATES  
LLC  
INVESCO DISTRIBUTORS,  
INC.  
INVESTMENT CENTERS OF  
AMERICA, INC.  
INVEX, INC.  
ITAU BBA USA  
SECURITIES, INC.  
ITAU EUROPA SECURITIES  
INC.  
ITG INC.  
IVY FUNDS DISTRIBUTOR,  
INC.

## ACCOUNTING SUPPORT FEE

J.J.B HILLIARD, W.L.  
LYONS, LLC  
J.P. MORGAN CLEARING  
CORP.  
J.P. MORGAN  
INSTITUTIONAL  
INVESTMENTS INC.  
J.P. MORGAN SECURITIES  
LLC  
JAG TRADING L.L.C.  
JANE STREET CAPITAL,  
LLC  
JANE STREET MARKETS,  
LLC  
JANNEY MONTGOMERY  
SCOTT LLC  
JEFFERIES & COMPANY,  
INC.  
JEFFERIES BACHE  
SECURITIES, LLC  
JEFFERIES EXECUTION  
SERVICES, INC.  
JEFFERIES HIGH YIELD  
TRADING, LLC  
JMP SECURITIES LLC  
JOE JOLLY & CO., INC.  
JOHN HANCOCK  
DISTRIBUTORS LLC  
JOHN HANCOCK FUNDS,  
LLC  
JOHNSON RICE &  
COMPANY L.L.C.  
JONESTRADING  
INSTITUTIONAL SERVICES  
LLC  
JPMORGAN DISTRIBUTION  
SERVICES, INC.  
JUMP TRADING, LLC  
JVB FINANCIAL GROUP,  
LLC  
KDC SECURITIES, LP  
KEEFE, BRUYETTE &  
WOODS, INC.  
KEY INVESTMENT  
SERVICES LLC  
KEYBANC CAPITAL  
MARKETS INC.

KGS-ALPHA CAPITAL  
MARKETS, L.P.  
KKR CAPITAL MARKETS  
LLC  
KNIGHT CAPITAL  
AMERICAS, L.P.  
KNIGHT EXECUTION &  
CLEARING SERVICES LLC  
KOONCE SECURITIES, INC.  
KOYOTE TRADING LLC  
LAKESHORE SECURITIES,  
L.P.  
LATOUR TRADING LLC  
LAZARD CAPITAL  
MARKETS LLC  
LAZARD FRERES & CO.  
LLC  
LAZARD MIDDLE MARKET  
LLC  
LEERINK SWANN LLC  
LEGENT CLEARING LLC  
LEGG MASON INVESTOR  
SERVICES, LLC  
LEK SECURITIES  
CORPORATION  
LEUMI INVESTMENT  
SERVICES INC.  
LIME BROKERAGE LLC  
LINCOLN FINANCIAL  
ADVISORS CORPORATION  
LINCOLN FINANCIAL  
DISTRIBUTORS, INC.  
LINCOLN FINANCIAL  
SECURITIES  
CORPORATION  
LINCOLN INTERNATIONAL  
L.L.C.  
LINCOLN INVESTMENT  
PLANNING, INC.  
LIQUIDNET, INC.  
LOEB PARTNERS  
CORPORATION  
LOOP CAPITAL MARKETS  
LLC  
LORD ABBETT  
DISTRIBUTOR LLC  
LPL FINANCIAL LLC

M&I FINANCIAL ADVISORS,  
INC.  
M&T SECURITIES, INC.  
M3 CAPITAL PARTNERS  
LLC  
MACQUARIE CAPITAL  
(USA) INC.  
MACRO RISK ADVISORS  
LLC  
MAN INVESTMENTS INC.  
MAPLE SECURITIES U.S.A.  
INC.  
MARKETAXESS  
CORPORATION  
MAXIM GROUP LLC  
MCADAMS WRIGHT  
RAGEN, INC.  
MERCANTIL  
COMMERCEBANK  
INVESTMENT SERVICES  
MERCHANT CAPITAL,  
L.L.C.  
MERLIN SECURITIES, LLC  
MERRILL LYNCH  
FINANCIAL MARKETS, INC.  
MERRILL LYNCH  
PROFESSIONAL CLEARING  
CORP.  
MERRILL LYNCH, PIERCE,  
FENNER & SMITH  
INCORPORATED  
MESIROW FINANCIAL, INC.  
METLIFE INVESTORS  
DISTRIBUTION COMPANY  
METLIFE SECURITIES INC.  
MFS FUND DISTRIBUTORS,  
INC.  
MILLENNIUM ADVISORS,  
LLC  
MILLER BUCKFIRE & CO.,  
LLC  
MILLER TABAK ROBERTS  
SECURITIES, LLC  
MIRAE ASSET SECURITIES  
(USA) INC.  
MITSUBISHI UFJ  
SECURITIES (USA), INC.

## ACCOUNTING SUPPORT FEE

MIZUHO SECURITIES USA  
INC.  
MKM PARTNERS LLC  
MMC SECURITIES CORP.  
MML INVESTORS  
SERVICES, LLC  
MOELIS & COMPANY LLC  
MOG CAPITAL L.L.C.  
MORGAN JOSEPH  
TRIARTISAN LLC  
MORGAN KEEGAN &  
COMPANY, INC.  
MORGAN STANLEY & CO.  
LLC  
MORGAN STANLEY  
DISTRIBUTION, INC.  
MORGAN STANLEY SMITH  
BARNEY LLC  
MORNINGSTAR  
INVESTMENT SERVICES,  
INC.  
MOUNTAINVIEW  
SECURITIES, LLC  
MS SECURITIES SERVICES  
INC.  
MULTI-BANK SECURITIES,  
INC.  
MULTI-FINANCIAL  
SECURITIES  
CORPORATION  
MURIEL SIEBERT & CO.,  
INC.  
N.I.S. FINANCIAL  
SERVICES, INC.  
NASDAQ EXECUTION  
SERVICES, LLC  
NASDAQ OPTIONS  
SERVICES, LLC  
NATIONAL ALLIANCE  
SECURITIES  
CORPORATION  
NATIONAL BANK OF  
CANADA FINANCIAL INC.  
NATIONAL FINANCIAL  
SERVICES LLC  
NATIONAL PLANNING  
CORPORATION

NATIONWIDE FUND  
DISTRIBUTORS LLC  
NATIXIS DERIVATIVES INC.  
NATIXIS DISTRIBUTORS,  
L.P.  
NATIXIS SECURITIES  
AMERICAS LLC  
NBC SECURITIES, INC.  
NEEDHAM & COMPANY,  
LLC  
NEUBERGER BERMAN LLC  
NEUBERGER BERMAN  
MANAGEMENT LLC  
NEW ENGLAND  
SECURITIES  
CORPORATION  
NEWEDGE USA, LLC  
NFP SECURITIES, INC.  
NOMURA SECURITIES  
INTERNATIONAL, INC.  
NORTHERN TRUST  
SECURITIES, INC.  
NORTHLAND SECURITIES,  
INC.  
NORTHWESTERN MUTUAL  
INVESTMENT SERVICES,  
LLC  
NUVEEN SECURITIES, LLC  
NYLIFE DISTRIBUTORS  
LLC  
NYLIFE SECURITIES LLC  
OCTEG, LLC  
ODDO SECURITIES  
CORPORATION  
OLD MISSION CAPITAL,  
LLC  
OPPENHEIMER & CO. INC.  
OPPENHEIMERFUNDS  
DISTRIBUTOR, INC.  
OPTIONSXPRESS, INC.  
OPTIVER US, LLC  
OTA LLC  
PACIFIC CREST  
SECURITIES LLC  
PALAFOX TRADING LLC  
PARK AVENUE  
SECURITIES LLC  
PARK HILL GROUP LLC

PARK HILL REAL ESTATE  
GROUP LLC  
PAULSON INVESTMENT  
COMPANY, INC.  
PAYCHEX SECURITIES  
CORPORATION  
PEAK6 CAPITAL  
MANAGEMENT LLC  
PEAK6 PERFORMANCE  
MANAGEMENT LLC  
PENSON FINANCIAL  
SERVICES, INC.  
PEOPLE'S SECURITIES,  
INC.  
PERELLA WEINBERG  
PARTNERS LP  
PERFORMANCE TRUST  
CAPITAL PARTNERS, LLC  
PERSHING ADVISOR  
SOLUTIONS LLC  
PERSHING LLC  
PFS INVESTMENTS INC.  
PICTET OVERSEAS INC.  
PIERPONT SECURITIES  
LLC  
PIONEER FUNDS  
DISTRIBUTOR, INC.  
PIPELINE TRADING  
SYSTEMS LLC  
PIPER JAFFRAY & CO.  
PNC CAPITAL MARKETS  
LLC  
PNC INVESTMENTS LLC  
POPULAR SECURITIES,  
INC.  
PRIME DEALER SERVICES  
CORP.  
PRIMEVEST FINANCIAL  
SERVICES, INC.  
PRINCIPAL FUNDS  
DISTRIBUTOR, INC.  
PRINCOR FINANCIAL  
SERVICES CORPORATION  
PROEQUITIES, INC.  
PRUDENTIAL INVESTMENT  
MANAGEMENT SERVICES  
LLC

## ACCOUNTING SUPPORT FEE

PUTNAM RETAIL  
MANAGEMENT LIMITED  
PARTNERSHIP  
QATALYST PARTNERS LP  
QUAD CAPITAL, LLC  
QUANTEX CLEARING, LLC  
QUIET LIGHT SECURITIES,  
LLC  
R.W.PRESSPRICH & CO.  
RABO SECURITIES USA,  
INC.  
RAFFERTY CAPITAL  
MARKETS, LLC  
RAINIER SECURITIES, LLC  
RAMAT SECURITIES LTD.  
RAYMOND JAMES &  
ASSOCIATES, INC.  
RAYMOND JAMES (USA)  
LTD.  
RAYMOND JAMES  
FINANCIAL SERVICES, INC.  
RBC CAPITAL MARKETS  
ARBITRAGE, S.A.  
RBC CAPITAL MARKETS,  
LLC  
RBS SECURITIES INC.  
RCAP SECURITIES, INC.  
RCI LIMITED  
PARTNERSHIP  
RED CAPITAL MARKETS,  
LLC  
RENCAP SECURITIES, INC.  
RGM SECURITIES, LLC  
RIDGE CLEARING &  
OUTSOURCING  
SOLUTIONS, INC.  
RIVER CROSS SECURITES,  
LLLP  
RIVERSOURCE  
DISTRIBUTORS, INC.  
ROBERT W. BAIRD & CO.  
INCORPORATED  
RODMAN & RENSHAW, LLC  
RONIN CAPITAL, LLC  
ROOSEVELT & CROSS,  
INCORPORATED  
ROSENTHAL GLOBAL  
SECURITIES LLC

ROSS, SINCLAIRE &  
ASSOCIATES, LLC  
ROTH CAPITAL  
PARTNERS, LLC  
ROTHSCHILD INC.  
ROYAL ALLIANCE  
ASSOCIATES, INC.  
RUSSELL FINANCIAL  
SERVICES, INC.  
RUSSELL  
IMPLEMENTATION  
SERVICES INC.  
S.J. LEVINSON & SONS  
LLC  
SAFRA SECURITIES LLC  
SAGENT ADVISORS INC.  
SAGEPOINT FINANCIAL,  
INC.  
SALLERSON-TROOB 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 INVESTMENT  
SECURITIES INC.  
SANTANDER SECURITIES  
CORPORATION  
SCOTIA CAPITAL (USA)  
INC.  
SCOTT & STRINGFELLOW,  
LLC  
SCOTTRADE, INC.  
SCOUT TRADING, LLC  
SEA PORT GROUP  
SECURITIES, LLC  
SEAPORT SECURITIES  
CORP.  
SEATTLE-NORTHWEST  
SECURITIES  
CORPORATION  
SEB ENSKILDA, INC.  
SECONDMARKET, INC.

SECURITIES AMERICA,  
INC.  
SECURITIES  
MANAGEMENT AND  
RESEARCH, INC.  
SECURITY DISTRIBUTORS,  
INC.  
SEI INVESTMENTS  
DISTRIBUTION CO.  
SEMINOLE FINANCIAL  
SENVEST INTERNATIONAL  
L.L.C.  
SG AMERICAS  
SECURITIES, LLC  
SHAY FINANCIAL  
SERVICES, INC.  
SHELBY CULLOM DAVIS &  
CO., L.P.  
SIEBERT, BRANDFORD,  
SHANK & CO., L.L.C.  
SIG BROKERAGE, LP  
SIGNAL HILL CAPITAL  
GROUP LLC  
SIGNATOR INVESTORS,  
INC.  
SII INVESTMENTS, INC.  
SIMMONS & COMPANY  
INTERNATIONAL  
SIMMONS FIRST  
INVESTMENT GROUP, INC.  
SMBC NIKKO SECURITIES  
AMERICA, INC.  
SOUTH STREET  
SECURITIES LLC  
SOUTHWEST SECURITIES,  
INC.  
SPOT TRADING, L.L.C.  
STANDARD CREDIT  
SECURITIES INC.  
STANDARD NEW YORK  
SECURITIES, INC.  
STATE FARM VP  
MANAGEMENT CORP.  
STEPHENS INC.  
STERLING, GRACE  
MUNICIPAL SECURITIES  
CORPORATION

## ACCOUNTING SUPPORT FEE

STERNE, AGEE & LEACH,  
INC.  
STIFEL, NICOLAUS &  
COMPANY,  
INCORPORATED  
STOCKCROSS FINANCIAL  
SERVICES, INC.  
STOEVER, GLASS &  
COMPANY INC.  
STONE & YOUNGBERG  
LLC  
STORMHARBOUR  
SECURITIES LP  
STUART FRANKEL & CO.,  
INCORPORATED  
SUMRIDGE PARTNERS,  
LLC  
SUN LIFE FINANCIAL  
DISTRIBUTORS, INC.  
SUN TRADING LLC  
SUNAMERICA CAPITAL  
SERVICES, INC.  
SUNGARD INSTITUTIONAL  
BROKERAGE INC.  
SUNTRUST INVESTMENT  
SERVICES, INC.  
SUNTRUST ROBINSON  
HUMPHREY, INC.  
SUSQUEHANNA CAPITAL  
GROUP  
SUSQUEHANNA  
FINANCIAL GROUP, LLLP  
SWENEY CARTWRIGHT &  
COMPANY  
SWISS RE CAPITAL  
MARKETS CORPORATION  
SYNOVUS SECURITIES,  
INC.  
T. ROWE PRICE  
INVESTMENT SERVICES,  
INC.  
TAHOE FIXED INCOME,  
LLC  
TD AMERITRADE  
CLEARING, INC.  
TD AMERITRADE, INC.  
TD SECURITIES (USA) LLC

TEACHERS PERSONAL  
INVESTORS SERVICES,  
INC.  
TELEMETRY SECURITIES,  
L.L.C.  
TFS DERIVATIVES  
CORPORATION  
THE BAKER GROUP, LP  
THE BUCKINGHAM  
RESEARCH GROUP  
INCORPORATED  
THE GMS GROUP, LLC  
THE HUNTINGTON  
INVESTMENT COMPANY  
THE PRINCERIDGE GROUP  
LLC  
THE WILLIAMS CAPITAL  
GROUP, L.P.  
THRIVENT INVESTMENT  
MANAGEMENT INC.  
TIAA-CREF INDIVIDUAL &  
INSTITUTIONAL SERVICES,  
LLC  
TICONDEROGA  
SECURITIES LLC  
TIMBER HILL LLC  
TMC BONDS L.L.C.  
TMT INVESTMENTS, LLC  
TORO TRADING LLC  
TOWER SQUARE  
SECURITIES, INC.  
TRADEBOT SYSTEMS, INC.  
TRADEKING LLC  
TRADELINK L.L.C.  
TRADELINK SECURITIES,  
LLC  
TRADESTATION  
SECURITIES, INC.  
TRADEWEB L.L.C.  
TRADITION ASIEL  
SECURITIES INC.  
TRANSAMERICA CAPITAL,  
INC.  
TRANSAMERICA  
FINANCIAL ADVISORS, INC  
TRANSMARKET GROUP  
L.L.C.  
TROIKA DIALOG USA, INC.

TUDOR, PICKERING, HOLT  
& CO. SECURITIES, INC.  
TULLETT PREBON  
FINANCIAL SERVICES LLC  
TWEEDY, BROWNE  
COMPANY LLC  
U.S. BANCORP  
INVESTMENTS, INC.  
UBS FINANCIAL SERVICES  
INC.  
UBS FINANCIAL SERVICES  
INCORPORATED OF  
PUERTO RICO  
UBS GLOBAL ASSET  
MANAGEMENT (US) INC.  
UBS SECURITIES LLC  
UNICREDIT CAPITAL  
MARKETS LLC  
UNIONBANC INVESTMENT  
SERVICES, LLC  
UNITED CAPITAL  
MARKETS, INC.  
UPROMISE INVESTMENTS,  
INC.  
USAA INVESTMENT  
MANAGEMENT COMPANY  
UVEST FINANCIAL  
SERVICES GROUP, INC.  
VALIC FINANCIAL  
ADVISORS, INC.  
VAN KAMPEN FUNDS INC.  
VANGUARD MARKETING  
CORPORATION  
VINING-SPARKS IBG,  
LIMITED PARTNERSHIP  
VIRTU FINANCIAL BD LLC  
VIRTU FINANCIAL CAPITAL  
MARKETS LLC  
VISION FINANCIAL  
MARKETS LLC  
VP DISTRIBUTORS LLC  
VTRADER PRO, LLC  
WADDELL & REED, INC.  
WALL STREET ACCESS  
WALLEYE TRADING LLC  
WALNUT STREET  
SECURITIES, INC.

## ACCOUNTING SUPPORT FEE

WAYNE HUMMER  
INVESTMENTS L.L.C.  
WEEDEN & CO.L.P.  
WELLS FARGO ADVISORS  
FINANCIAL NETWORK, LLC  
WELLS FARGO ADVISORS,  
LLC  
WELLS FARGO FUNDS  
DISTRIBUTOR, LLC  
WELLS FARGO  
INSTITUTIONAL  
SECURITIES, LLC  
WELLS FARGO  
SECURITIES, LLC  
WESTLB SECURITIES INC.  
WESTMINSTER  
RESEARCH ASSOCIATES  
LLC  
WILLIAM BLAIR &  
COMPANY L.L.C.  
WILLIAMS TRADING LLC  
WILLIS SECURITIES, INC.  
WILMINGTON BROKERAGE  
SERVICES COMPANY  
WOLVERINE EXECUTION  
SERVICES, LLC  
WOLVERINE TRADING, LLC  
WOODBURY FINANCIAL  
SERVICES, INC.  
WORLD GROUP  
SECURITIES, INC.  
WUNDERLICH  
SECURITIES, INC.  
X-CHANGE FINANCIAL  
ACCESS, LLC  
ZIONS DIRECT, INC.