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BLACKROCK FUNDS III

FORM N-CEN/A

(Amendment to Annual Report for Registered Investment Companies)

Filed 03/17/26 for the Period Ending 10/31/25

Address	400 HOWARD STREET
	SAN FRANCISCO, CA, 94105
Telephone	8006439691
CIK	0000893818
Symbol	BCYXX
Industry	Investment Trusts
Sector	Financials
Fiscal Year	12/31

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Form N-CEN/A Filer Information	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 FORM N-CEN ANNUAL REPORT FOR REGISTERED INVESTMENT COMPANIES	OMB APPROVAL
Form N-CEN/A		OMB Number: 3235-0729
		Estimated average burden hours per response: 19.04

N-CEN/A:Series/Class (Contract) Information

Series ID Record	Series ID	Class ID
#1	S000069122	1. C000220930 2. C000220929 3. C000220931
#2	S000069123	1. C000220934 2. C000220932 3. C000220933
#3	S000069125	1. C000220938 2. C000220940 3. C000220939
#4	S000069126	1. C000220943 2. C000220941 3. C000220942
#5	S000069127	1. C000220944 2. C000220946 3. C000220945
#6	S000069128	1. C000220947 2. C000220948 3. C000220949
#7	S000069129	1. C000220951 2. C000220950 3. C000220952
#8	S000069130	1. C000220955 2. C000220954 3. C000220953
#9	S000069131	1. C000220957 2. C000220956

		3. C000220958
#10	S000079204	1. C000244506 2. C000244507
#11	S000086332	1. C000251818 2. C000251819 3. C000251817

N-CEN/A:Part A: General Information

Item A.1. Reporting period covered.

a. Report for period ending:	2025-10-31
b. Does this report cover a period of less than 12 months?	☐ Yes ☒ No

N-CEN/A:Part B: Information About the Registrant

Item B.1. Background information.

a. Full name of Registrant	BlackRock Funds III
b. Investment Company Act file number (*e.g., 811-*)	811-07332
c. CIK	0000893818
d. LEI	5493008LW2651I1QB503

Item B.2. Address and telephone number of Registrant.

a. Street 1	100 Bellevue Parkway
Street 2	
b. City	Wilmington
c. State, if applicable	DELAWARE
d. Foreign country, if applicable	UNITED STATES OF AMERICA
e. Zip code and zip code extension, or foreign postal code	19809
f. Telephone number (including country code if foreign)	800-441-7762
g. Public Website, if any	www.blackrock.com

Item B.3. Location of books and records.

Instruction. Provide the requested information for each person maintaining physical possession of each account, book, or other document required to be maintained by section 31(a) of the Act (15 U.S.C. 80a-30(a)) and the rules under that section.

Location Books Record	Name of person (e.g., a custodian of records)	Telephone	Address	Briefly describe books and records kept at this location

#1	BNY Mellon Investment Servicing (US) Inc.	302-791-1700	103 Bellevue Parkway Wilmington, DELAWARE 19809 UNITED STATES OF AMERICA	Records related to its functions as transfer agent
#2	BlackRock Advisors, LLC	302-797-2000	100 Bellevue Parkway Wilmington, DELAWARE 19809 UNITED STATES OF AMERICA	Records related to its functions as administrator
#3	BlackRock Fund Advisors	415-670-2000	400 Howard Street San Francisco, CALIFORNIA 94105 UNITED STATES OF AMERICA	Records related to its functions as advisor
#4	BlackRock International Limited	44 131 472 7200	1 Semple Street Edinburgh, EH3 8BL UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	Records related to its functions as sub-advisor
#5	BlackRock Investments, LLC	609-282-3046	50 Hudson Yards New York, NEW YORK 10001 UNITED STATES OF AMERICA	Records related to its functions as distributor
#6	State Street Bank and Trust Company	617-786-3000	One Congress Street Suite 1 Boston, MASSACHUSETTS 02114 UNITED STATES OF AMERICA	Records related to its functions as custodian, sub-administrator and accounting agent

Item B.4. Initial of final filings.

Instruction. Respond "yes" to Item B.4.b only if the Registrant has filed an application to deregister or will file an application to deregister before its next required filing on this form.

a. Is this the first filing on this form by the Registrant?	☐ Yes ☒ No
b. Is this the last filing on this form by the Registrant?	☐ Yes ☒ No

Item B.5. Family of investment companies.

Instruction. "Family of investment companies" means, except for insurance company separate accounts, any two or more registered investment companies that (i) share the same investment adviser or principal underwriter; and (ii) hold themselves out to investors as related companies for purposes of investment and investor services. In responding to this item, all Registrants in the family of investment companies should report the name of the family of investment companies identically.

Insurance company separate accounts that may not hold themselves out to investors as related companies (products) for purposes of investment and investor services should consider themselves part of the same family if the operational or accounting or control systems under which these entities function are substantially similar.

a. Is the Registrant part of a family of investment companies?	☒ Yes ☐ No
i. Full name of family of investment companies	BlackRock-advised Funds

Item B.6. Organization.

Instruction. For Item B.6.a.i., the Registrant should include all Series that have been established by the Registrant and have shares outstanding (other than shares issued in connection with an initial investment to satisfy section 14(a) of the Act).

a. Indicate the classification of the Registrant by checking the applicable item	☒ a. Open-end management investment company registered under the Act on Form N-1A ☐ b. Closed-end management investment company registered under the Act on Form N-2 ☐ c. Separate account offering variable annuity contracts which is registered under the Act as a management investment company on Form N-3 ☐ d. Separate account offering variable annuity contracts which is registered under the Act as a unit investment trust on Form N-4 ☐ e. Small business investment company registered under the Act on Form N-5 ☐ f. Separate account offering variable insurance contracts which is registered under the Act as a unit investment trust on Form N-6 ☐ g. Unit investment trust registered under the Act on Form N-8B-2
i. Total number of Series of the Registrant	38
ii. If a Series of the Registrant with a fiscal year end covered by the report was terminated during the reporting period, provide the following information:	

Terminated Organization Record	Name of the Series	Series identification number	Date of termination (month/year)
—	—	—	—

Item B.7. Securities Act registration.

a. Is the Registrant the issuer of a class of securities registered under the Securities Act of 1933 ("Securities Act")?	☒ Yes ☐ No

Item B.8. Directors.

a. Provide the information requested below about each person serving as director of the Registrant (management investment companies only):

Director Record	Full Name	CRD number, if any	Is the person an "interested person" of the Registrant as that term is defined in section 2(a)(19) of the Act (15 U.S.C. 80a-2(a)(19))?	Investment Company Act file number of any other registered investment company for which the person also serves as a director (e.g., 811-):
				811-02354 811-02405 811-02661 811-02739 811-02809 811-03091 811-03189 811-03290 811-04282 811-04612

				811-05178
				811-05576
				811-05723
#1	Christopher J. Ailman	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
				811-21763
				811-22061
				811-23402

				811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
#2	Claire A. Walton	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
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				811-22061
				811-23402

				811-02354
				811-02405
				811-02661

				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
#3	Collette Chilton	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
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				811-22061
				811-23402

				811-02354
				811-02405
				811-02661
				811-02739
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				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
#4	Cynthia A. Montgomery	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759

				811-21763
				811-22061
				811-23402
#5	Donald C. Opatrny	N/A	No	811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
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				811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
				811-21763
				811-22061
				811-23402
#6	Henry R. Keizer	N/A	No	811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
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				811-05742
				811-06669
				811-07171
				811-07177

811-07885

811-07899

811-08162

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811-23402

811-02354

811-02405

811-02661

811-02688

811-02739

811-02809

811-02857

811-03091

811-03189

811-03290

811-04264

811-04282

811-04375

811-04612

811-04802

811-05178

811-05542

811-05576

811-05603

811-05611

811-05723

811-05742

811-06414

811-06500

811-06540

811-06660

811-06669

811-06728

811-07080

811-07136

811-07171

811-07177

811-07354

811-07478

811-07642

811-07885

811-07899

811-08081

				811-08162
				811-08217
				811-08573
				811-08603
				811-08621
				811-08797
				811-09191
				811-09637
				811-09651
#7	John M. Perlowski	N/A	Yes	811-10331
				811-10337
				811-10339
				811-10543
				811-21053
				811-21126
				811-21178
				811-21318
				811-21348
				811-21349
				811-21413
				811-21457
				811-21506
				811-21566
				811-21656
				811-21702
				811-21729
				811-21759
				811-21763
				811-21784
				811-21835
				811-21972
				811-22032
				811-22061
				811-22426
				811-22501
				811-22603
				811-22606
				811-22774
				811-22991
				811-23339
				811-23340
				811-23341
				811-23343
				811-23344
				811-23345
				811-23346
				811-23380
				811-23402
				811-23428

				811-23466
				811-23511
				811-23564
				811-23584
				811-23621
				811-23625
				811-23626
				811-23701
#8	Kenneth L. Urish	005352005	No	811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
				811-05742
				811-06669
				811-07171
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				811-07885
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				811-09637
				811-09651
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				811-22061
				811-23402
				811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576

				811-05723
#9	Lori Richards	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
				811-21763
				811-22061
				811-23402

				811-02354
				811-02405
				811-02661
				811-02739
				811-02809
				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
#10	Mark Stalnecker	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
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				811-02354
				811-02405
				811-02661
				811-02739
				811-02809

				811-03091
				811-03189
				811-03290
				811-04282
				811-04612
				811-05178
				811-05576
				811-05723
#11	Neil A. Cotty	N/A	No	811-05742
				811-06669
				811-07171
				811-07177
				811-07885
				811-07899
				811-08162
				811-08797
				811-09637
				811-09651
				811-21759
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				811-02354
				811-02405
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				811-02739
				811-02809
				811-02857
				811-03091
				811-03189
				811-03290
				811-04264
				811-04282
				811-04375
				811-04612
				811-04802
				811-05178
				811-05542
				811-05576
				811-05603
				811-05611
				811-05723
				811-05742
				811-06414
				811-06500
				811-06540
				811-06660

				811-06669
				811-06728
				811-07080
				811-07136
				811-07171
				811-07177
				811-07354
				811-07478
				811-07642
				811-07885
				811-07899
				811-08081
				811-08162
				811-08217
				811-08573
				811-08603
				811-08621
				811-08797
				811-09191
				811-09637
#12	Robert Fairbairn	004992372	Yes	811-09651
				811-10331
				811-10337
				811-10339
				811-10543
				811-21053
				811-21126
				811-21178
				811-21318
				811-21348
				811-21349
				811-21413
				811-21457
				811-21506
				811-21566
				811-21656
				811-21702
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				811-21784
				811-21835
				811-21972
				811-22032
				811-22061
				811-22426
				811-22501
				811-22603
				811-22606

				811-22774 811-22991 811-23339 811-23340 811-23341 811-23343 811-23344 811-23345 811-23346 811-23402 811-23428 811-23466 811-23511 811-23564 811-23621 811-23625 811-23626 811-23701
#13	Susan J. Carter	N/A	No	811-02354 811-02405 811-02661 811-02739 811-02809 811-03091 811-03189 811-03290 811-04282 811-04612 811-05178 811-05576 811-05723 811-05742 811-06669 811-07171 811-07177 811-07885 811-07899 811-08162 811-08797 811-09637 811-09651 811-21759 811-21763 811-22061 811-23402

Item B.9. Chief compliance officer.

a. Provide the information requested below about each person serving as chief compliance officer (CCO) of the Registrant for purposes of rule 38a-1 (17 CFR 270.38a- 1):

Chief Compliance Officer Record	Full Name	CRD Number, if any	Telephone	Address	Has the CCO changed since the last filing?	If the chief compliance officer is compensated or employed by any person other than the Registrant, or an affiliated person of the Registrant, for providing chief compliance officer services, provide:
#1	Aaron Wasserman	N/A	XXXXXX	50 Hudson Yards New York, NEW YORK 10001 UNITED STATES OF AMERICA	No	1. ***Name of the person:*** N/A ***IRS Employer Identification Number:*** N/A

Item B.10. Matters for security holder vote.

Instruction. Registrants registered on Forms N-3, N-4 or N-6, should respond "yes" to this Item only if security holder votes were solicited on contract-level matters.

a. Were any matters submitted by the Registrant for its security holders' vote during the reporting period? ☐ Yes ☒ No

Item B.11. Legal proceeding.

Instruction. For purposes of this Item, the following proceedings should be described: (1) any bankruptcy, receivership or similar proceeding with respect to the Registrant or any of its significant subsidiaries; (2) any proceeding to which any director, officer or other affiliated person of the Registrant is a party adverse to the Registrant or any of its subsidiaries; and (3) any proceeding involving the revocation or suspension of the right of the Registrant to sell securities.

a. Have there been any material legal proceedings, other than routine litigation incidental to the business, to which the Registrant or any of its subsidiaries was a party or of which any of their property was the subject during the reporting period? ☐ Yes ☒ No

b. Has any proceeding previously reported been terminated? ☐ Yes ☒ No

Item B.12. Fidelity bond and insurance (management investment companies only).

a. Were any claims with respect to the Registrant filed under a fidelity bond (including, but not limited to, the fidelity insuring agreement of the bond) during the reporting period? ☐ Yes ☒ No

Item B.13. Directors and officers/errors and omissions insurance (management investment companies only).

a. Are the Registrant's officers or directors covered in their capacities as officers or directors under any directors and officers/errors and omissions insurance policy owned by the Registrant or anyone else? ☒ Yes ☐ No

i. If yes, were any claims filed under the policy during the reporting period with respect to the Registrant?	☐ Yes ☒ No

Item B.14. Provision of financial support.

Instruction. For purposes of this Item, a provision of financial support includes any (1) capital contribution, (2) purchase of a security from a Money Market Fund in reliance on rule 17a-9 under the Act (17 CFR 270.17a-9), (3) purchase of any defaulted or devalued security at fair value reasonably intended to increase or stabilize the value or liquidity of the Registrant's portfolio, (4) execution of letter of credit or letter of indemnity, (5) capital support agreement (whether or not the Registrant ultimately received support), (6) performance guarantee, or (7) other similar action reasonably intended to increase or stabilize the value or liquidity of the Registrant's portfolio. Provision of financial support does not include any (1) routine waiver of fees or reimbursement of Registrant's expenses, (2) routine inter-fund lending, (3) routine inter-fund purchases of Registrant's shares, or (4) action that would qualify as financial support as defined above, that the board of directors has otherwise determined not to be reasonably intended to increase or stabilize the value or liquidity of the Registrant's portfolio.

a. Did an affiliated person, promoter, or principal underwriter of the Registrant, or an affiliated person of such a person, provide any form of financial support to the Registrant during the reporting period?	☐ Yes ☒ No

Item B.15. Exemptive orders.

a. During the reporting period, did the Registrant rely on any orders from the Commission granting an exemption from one or more provisions of the Act, Securities Act or Exchange Act?	☒ Yes ☐ No
i. If yes, provide the release number for each order:	1. IC-25878 2. IC-32252

Item B.16. Principal underwriters.

a. Provide the information requested below about each principal underwriter:

Principal Underwriter Record	Full Name	SEC file number (e.g., 8-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the principal underwriter an affiliated person of the Registrant, or its investment adviser(s) or depositor?
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	Yes

b. Have any principal underwriters been hired or terminated during the reporting period?	☐ Yes ☒ No

Item B.17. Independent public accountant.

a. Provide the following information about each independent public accountant:

Public Accountant Record	Full Name	PCAOB Number	Identifying number(s)	State, if applicable	Foreign country, if applicable

#1	PricewaterhouseCoopers LLP	238	**LEI:** 5493002GVO7EO8RNNS37	PENNSYLVANIA	UNITED STATES OF AMERICA

b. Has the independent public accountant changed since the last filing?	☐ Yes ☒ No

Item B.18. Report on internal control (management investment companies only).

Instruction. Small business investment companies are not required to respond to this item.

a. For the reporting period, did an independent public accountant's report on internal control note any material weaknesses?	☐ Yes ☒ No

Item B.19. Audit opinion.

a. For the reporting period, did an independent public accountant issue an opinion other than an unqualified opinion with respect to its audit of the Registrant's financial statements?	☐ Yes ☒ No

Item B.20. Change in valuation methods.

Instruction. Responses to this item need not include changes to valuation techniques used for individual securities (e.g., changing from market approach to income approach for a private equity security). In responding to Item B.20.c., provide the applicable "asset type" category specified in Item C.4.a. of Form N-PORT. In responding to Item B.20.d., provide a brief description of the type of investments involved. If the change in valuation methods applies only to certain sub-asset types included in the response to Item B.20.c., please provide the sub-asset types in the response to Item B.20.d. The responses to Item B.20.c. and Item B.20.d. should be identical only if the change in valuation methods applies to all assets within that category.

a. Have there been material changes in the method of valuation (e.g., change from use of bid price to mid price for fixed income securities or change in trigger threshold for use of fair value factors on international equity securities) of the Registrant's assets during the reporting period?	☐ Yes ☒ No

Item B.21. Change in accounting principles and practices.

a. Have there been any changes in accounting principles or practices, or any change in the method of applying any such accounting principles or practices, which will materially affect the financial statements filed or to be filed for the current year with the Commission and which has not been previously reported?	☐ Yes ☒ No

Item B.22. Net asset value error corrections (open-end management investment companies only).

a. During the reporting period, were any payments made to shareholders or shareholder accounts reprocessed as a result of an error in calculating the Registrant's net asset value (or net asset value per share)?	☐ Yes ☒ No

Item B.23. Rule 19a-1 notice (management investment companies only).

a. During the reporting period, did the Registrant pay any dividend or make any distribution in the nature of a dividend	

payment, required to be accompanied by a written statement pursuant to section 19(a) of the Act (15 U.S.C. 80a-19(a)) and rule 19a-1 thereunder (17 CFR 270.19a-1)? i. If yes, and to the extent the response relates only to certain series of the Registrant, indicate the series involved:	☒ Yes ☐ No

Payment dividend series info Record	Series name	Series identification number
#1	BlackRock Diversified Fixed Income Fund	S000079204
#2	BlackRock LifePath ESG Index 2030 Fund	S000069125
#3	BlackRock LifePath ESG Index 2035 Fund	S000069126
#4	BlackRock LifePath ESG Index 2040 Fund	S000069127
#5	BlackRock LifePath ESG Index 2045 Fund	S000069128
#6	BlackRock LifePath ESG Index 2050 Fund	S000069129
#7	BlackRock LifePath ESG Index 2055 Fund	S000069130
#8	BlackRock LifePath ESG Index 2060 Fund	S000069131
#9	BlackRock LifePath ESG Index 2065 Fund	S000069123
#10	BlackRock LifePath ESG Index 2070 Fund	S000086332
#11	BlackRock LifePath ESG Index Retirement Fund	S000069122

N-CEN/A:Part C: Additional Questions for Management Investment Companies

General Instruction.

Management investment companies that offer multiple series must complete Part C as to each series separately, even if some information is the same for two or more series. To begin this section or add an additional series(s), click on the bar labeled "Add a New Series" below.

Management Investment Record: 1

Item C.1. Background information.

a. Full Name of the Fund	BlackRock Diversified Fixed Income Fund
b. Series identication number, if any	S000079204
c. LEI	549300SEQK2DPV0R7O94
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	2

b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K Shares	C000244507	BDVFX
#2	Institutional Shares	C000244506	BDVIX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☐ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☐ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☒ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:	

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):	☒ i. Revenue sharing split ☐ ii. Non-revenue sharing split (other than administrative fee) ☐ iii. Administrative fee ☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the reporting period	19,653,389.50000000
g. Provide the net income from securities lending activities	60,215.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☒ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☐ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)

(ii))?

☒ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?

☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?

☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
#1	BlackRock International Limited	801-51087	000106843	**LEI:** 5493008YUGP5E01IBD70		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	Yes	No
#2	BlackRock (Singapore) Limited	801-76926	000164594	**LEI:** 549300UZGBQ6FHD2X729		SINGAPORE	Yes	Yes

If the sub-adviser was hired during the period indicate the sub-adviser's start date: 2025-02-28

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?

#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	BANCO CITI MEXICO S.A. INSTITUCION DE BANCA MULTIPLE, GRUPO FINANCIERO CITI MEXICO	**LEI:** 529900H31AYI6WA1J534		MEXICO	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#2	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	Yes	Futures commission merchants and commodity clearing organizations - rule 17f-6 (17 CFR 270.17f-6)
#3	Banco de Chile	**LEI:** 8B4EZFY8IHJC44TT2K84		CHILE	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#4	Bank Handlowy w Warszawie Spolka Akcyjna	**LEI:** XLEZHWWOI4HFQDGL4793		POLAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#5	Bank Hapoalim B.M.	**LEI:** B6ARUI4946ST4S7WOU88		ISRAEL	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#6	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	Yes	Futures commission merchants and commodity clearing organizations - rule 17f-6 (17 CFR 270.17f-6)
							Futures commission

#7	BofA Securities, Inc.	**LEI:** 549300HN4UKV 1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	No	Yes	merchants and commodity clearing organizations - rule 17f-6 (17 CFR 270.17f-6)
#8	Citibank Europe Public Limited Company	**LEI:** N1FBEDJ5J41V KZLO2475		IRELAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#9	Citibank Europe Public Limited Company (Bucharest, Bucharest, RO, Branch)	**LEI:** N1FBEDJ5J41V KZLO2475		ROMANIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#10	Citibank del Peru S.A.	**LEI:** MYTK5NHHP1G 8TVFGT193		PERU	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#11	Citibank, Anonim Sirketi	**LEI:** CWZ8NZDH5SK Y12Q4US31		TURKEY	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#12	Citibank, National Association (Ciudad Autonoma de Buenos Aires, Ciudad Autonoma de Buenos Aires, AR, Branch)	**LEI:** 579100KKDGKC FFKKF005		ARGENTINA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#13	Citibank, National Association (Mumbai, Maharashtra, IN, Branch)	**LEI:** E57ODZWZ7FF3 2TWEFA76		INDIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#14	Citibank, National Association (Sao Paulo, Sao Paulo, BR, Branch)	**LEI:** E57ODZWZ7FF3 2TWEFA76		BRAZIL	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#15	Citibank, National Association (Singapore, SG, Branch)	**LEI:** E57ODZWZ7FF3 2TWEFA76		SINGAPORE	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#16	Cititrust Colombia S A Sociedad Fiduciaria	**LEI:** 549300242J3IJC OSGI49		COLOMBIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#17	Deutsche Bank (Malaysia) Berhad	**LEI:** 529900DLWFR8 HK7DR278		MALAYSIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#18	Deutsche Bank Aktiengesellschaft (Amsterdam, Noord Holland, NL, Branch)	**LEI:** 7LTWFZYICNS X8D621K86		NETHERLAND S	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#19	Deutsche Bank Aktiengesellschaft (Jakarta, Jakarta, ID, Branch)	**LEI:** 7LTWFZYICNS X8D621K86		INDONESIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#20	Deutsche Bank Aktiengesellschaft (Makati City, Metro Manila, PH, Branch)	**LEI:** 7LTWFZYICNS X8D621K86		PHILIPPINES	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#21	Deutsche Bank Aktiengesellschaft (Taipei City, TW, Branch)	**LEI:** 25490016G0WR6 0ANOK04		TAIWAN	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)

#22	Euroclear Bank	**LEI:** 549300OZ46BRLZ8Y6F65		BELGIUM	No	Yes	Foreign securities depository - rule 17f-7 (17 CFR 270.17f-7)
#23	First Abu Dhabi Bank MISR S.A.E.	**LEI:** 549300FRMQH3ELEXQI94		EGYPT	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#24	First Abu Dhabi Bank P.J.S.C.	**LEI:** 2138002Y3WMK6RZS8H90		UNITED ARAB EMIRATES	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#25	FirstRand Bank Limited	**LEI:** ZAYQDKTCATIXF9OQY690		SOUTH AFRICA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#26	Intesa Sanpaolo S.p.A.	**LEI:** 2W8N8UU78PMDQKZENC08		ITALY	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#27	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	Yes	Futures commission merchants and commodity clearing organizations - rule 17f-6 (17 CFR 270.17f-6)
#28	Mizuho Bank, Ltd. (Minato ku, Tokyo, JP, Branch)	**LEI:** RB0PEZSDGCO3JS6CEU02		JAPAN	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#29	Privredna Banka Zagreb - Dionicko Drustvo	**LEI:** 549300ZHFZ4CSK7VS460		CROATIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#30	Royal Bank of Canada	**LEI:** ES7IP3U3RHIGC71XBU11		CANADA (FEDERAL LEVEL)	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#31	Skandinaviska Enskilda Banken AB	**LEI:** F3JS33DEI6XQ4ZBPTN86		SWEDEN	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#32	Skandinaviska Enskilda Banken AB (Copenhagen, Hovedstaden, DK, Branch)	**LEI:** F3JS33DEI6XQ4ZBPTN86		DENMARK	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#33	Skandinaviska Enskilda Banken AB (Helsinki, Uusimaa, FI, Branch)	**LEI:** F3JS33DEI6XQ4ZBPTN86		FINLAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#34	Skandinaviska Enskilda Banken AB (Oslo, Oslo, NO, Branch)	**LEI:** F3JS33DEI6XQ4ZBPTN86		NORWAY	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#35	Stanbic IBTC Bank Ltd	**LEI:** 549300NIVXF92ZIOVW61		NIGERIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#36	Standard Chartered Bank (Hong Kong) Limited	**LEI:** X5AV1MBDXGRPX5UGMX13		HONG KONG	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#37	Standard Chartered Bank (Thai) Public Company Limited	**LEI:** 549300O1LQYCQ7G1IM57		THAILAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)

#38	State Street Bank International GmbH	**LEI:** ZMHGNT7ZPKZ3UFZ8EO46		GERMANY	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#39	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))
#40	State Street Bank and Trust Company (Edinburgh, GB, Branch)	**LEI:** 571474TGEMMWANRLN572		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#41	State Street Trust Company Canada	**LEI:** 549300L71XG2CTQ2V827		CANADA (FEDERAL LEVEL)	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#42	The Hongkong and Shanghai Banking Corporation Limited	**LEI:** 2HI3YI5320L3RW6NJ957		HONG KONG	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#43	The Hongkong and Shanghai Banking Corporation Limited (Auckland, Auckland, NZ, Branch)	**LEI:** 2HI3YI5320L3RW6NJ957		NEW ZEALAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#44	The Hongkong and Shanghai Banking Corporation Limited (Colombo, Western, LK, Branch)	**LEI:** 2HI3YI5320L3RW6NJ957		SRI LANKA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#45	The Hongkong and Shanghai Banking Corporation Limited (Jung-gu, Seoul, KR, Branch)	**LEI:** 2HI3YI5320L3RW6NJ957		KOREA (THE REPUBLIC OF)	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#46	The Hongkong and Shanghai Banking Corporation Limited (Sydney, NSW, AU, Branch)	**LEI:** 2HI3YI5320L3RW6NJ957		AUSTRALIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#47	UBS Switzerland AG	**LEI:** 549300WOIFUSNYH0FL22		SWITZERLAND	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#48	UniCredit Bank Austria AG	**LEI:** D1HEB8VEU6D9M8ZUXG17		AUSTRIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#49	UniCredit Bank Czech Republic and Slovakia, a.s.	**LEI:** KR6LSKV3BTSJRD41IF75		CZECHIA	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)
#50	UniCredit Bank Hungary Zrt.	**LEI:** Y28RT6GGYJ696PMW8T44		HUNGARY	No	Yes	Foreign custodian - rule 17f-5 (17 CFR 270.17f-5)

b. Has a custodian been hired or terminated during the reporting period?* ☒ Yes ☐ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about

each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes

#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No

#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No

#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No

#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No

#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No

#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No

#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes

#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No

#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No

#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ92 9I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66O XFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJ G7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0 SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9 R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI 4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JO KOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No

#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No

#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No

#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No

#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No

#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No

#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes

#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No

#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No

#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No

#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No

#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No

#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No

#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No

#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.

2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	75,219.09000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	1,844.40000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	1,105.74000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	14,603.89000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	660.59000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	1,685.66000000
#7	BNP Paribas Securities Corp.	8-32682	000015794	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	27,653.14000000
#8	Mizuho Securities USA LLC	8-37710	000019647	**LEI:** 7TK5RJIZDFROZCA6XF66	NEW YORK	UNITED STATES OF AMERICA	683.01000000
#9	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	1,172.05000000

#10	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV 1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	70,846.02000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	196,658.38000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZ RVTWT807	NEW YORK	UNITED STATES OF AMERICA	2,033,691,073.25000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTH YVLBNG30	NEW YORK	UNITED STATES OF AMERICA	1,904,489,138.35000000
#3	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBD O7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	1,861,687,713.33000000
#4	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3 UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	2,455,687,078.00000000
#5	BNP Paribas Securities Corp.	8-32682	000015794	**LEI:** RCNB6OTYUA MMP879YW96	NEW YORK	UNITED STATES OF AMERICA	135,278,274.69000000
#6	BMO Capital Markets Corp.	8-34344	000016686	**LEI:** RUC0QBLBRPR CU4W1NE59	NEW YORK	UNITED STATES OF AMERICA	127,584,623.46000000
#7	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WI BK2824319	NEW YORK	UNITED STATES OF AMERICA	974,583,790.27000000
#8	Wells Fargo Securities, LLC	8-65876	000126292	**LEI:** VYVVCKR63DV ZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	952,771,510.47000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV 1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	2,305,737,250.85000000
#10	BlackRock Liquidity Funds - T-Fund	N/A	N/A	**LEI:** 5493002L9DNZ8 3RX7V61	DELAWARE	UNITED STATES OF AMERICA	1,697,354,923.54000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	14,862,960,834.76000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☒ Yes ☐ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	1,154,323,436.71384615

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds? 1. If shared, list the names of other funds that	☐ Sole ☒ Shared

may use the line of credit.

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669

#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Dynamic High Income Portfolio	811-22061
#41	BlackRock Emerging Markets Fund, Inc.	811-05723
#42	BlackRock Emerging Markets ex-China Fund	811-05742
#43	BlackRock Energy Opportunities Fund	811-05742
#44	BlackRock Equity Dividend Fund	811-05178
#45	BlackRock Equity Dividend V.I. Fund	811-03290
#46	BlackRock Event Driven Equity Fund	811-09637
#47	BlackRock Exchange Portfolio	811-05742
#48	BlackRock Floating Rate Income Portfolio	811-23339
#49	BlackRock Global Allocation Fund, Inc.	811-05576
#50	BlackRock Global Allocation Portfolio	811-03091
#51	BlackRock Global Allocation V.I. Fund	811-03290
#52	BlackRock Global Dividend Portfolio	811-22061
#53	BlackRock Global Equity Market Neutral Fund	811-05742
#54	BlackRock Health Sciences Opportunities Portfolio	811-05742
#55	BlackRock High Equity Income Fund	811-05742
#56	BlackRock High Yield Portfolio	811-23339
#57	BlackRock High Yield Portfolio	811-23345
#58	BlackRock High Yield V.I. Fund	811-23346
#59	BlackRock Income Fund	811-23339
#60	BlackRock Inflation Protected Bond Portfolio	811-23339
#61	BlackRock International Fund	811-08797
#62	BlackRock International Index V.I. Fund	811-03290
#63	BlackRock International Select Equity Fund	811-04612
#64	BlackRock International V.I. Fund	811-03290
#65	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#66	BlackRock Large Cap Focus Growth V.I. Fund	811-03290

#67	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#68	BlackRock LifePath Dynamic 2030 Fund	811-07332
#69	BlackRock LifePath Dynamic 2035 Fund	811-07332
#70	BlackRock LifePath Dynamic 2040 Fund	811-07332
#71	BlackRock LifePath Dynamic 2045 Fund	811-07332
#72	BlackRock LifePath Dynamic 2050 Fund	811-07332
#73	BlackRock LifePath Dynamic 2055 Fund	811-07332
#74	BlackRock LifePath Dynamic 2060 Fund	811-07332
#75	BlackRock LifePath Dynamic 2065 Fund	811-07332
#76	BlackRock LifePath Dynamic 2070 Fund	811-07332
#77	BlackRock LifePath Dynamic Retirement Fund	811-07332
#78	BlackRock LifePath ESG Index 2030 Fund	811-07332
#79	BlackRock LifePath ESG Index 2035 Fund	811-07332
#80	BlackRock LifePath ESG Index 2040 Fund	811-07332
#81	BlackRock LifePath ESG Index 2045 Fund	811-07332
#82	BlackRock LifePath ESG Index 2050 Fund	811-07332
#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290

#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162

#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742

#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	ABS-collateralized bond/debt obligation

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 2

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2030 Fund
b. Series identication number, if any	S000069125
c. LEI	549300QPL8GP2Y9YY381
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220940	LENKX
#2	Institutional	C000220938	LENIX
#3	Investor A	C000220939	LENAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund

	☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?

#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

☒ i. Revenue sharing split
☐ ii. Non-revenue sharing split (other than administrative fee)
☐ iii. Administrative fee
☒ iv. Cash collateral reinvestment fee
☐ v. Indemnification fee
☒ vi. Other
☐ N/A

If other, describe: Rebates paid to borrowers

f. Provide the monthly average of the value of portfolio securities on loan during the reporting period: 1,334,485.32000000

g. Provide the net income from securities lending activities: 3,890.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)

☐ a. Rule 10f-3 (17 CFR 270.10f-3)
☒ b. Rule 12d1-1 (17 CFR 270.12d1-1)
☐ c. Rule 15a-4 (17 CFR 270.15a-4)
☐ d. Rule 17a-6 (17 CFR 270.17a-6)
☐ e. Rule 17a-7 (17 CFR 270.17a-7)
☐ f. Rule 17a-8 (17 CFR 270.17a-8)
☐ g. Rule 17e-1 (17 CFR 270.17e-1)

☒ h. Rule 22d-1 (17 CFR 270.22d-1)
☐ i. Rule 23c-1 (17 CFR 270.23c-1)
☒ j. Rule 32a-4 (17 CFR 270.32a-4)
☐ k. Rule 6c-11 (17 CFR 270.6c-11)
☒ l. Rule 12d1-4 (17 CFR 270.12d1-4)
☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G))
☒ n. Rule 18f-4 (17 CFR 270.18f-4)

- ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))?
- ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))?
- ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))?
- ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))?
- ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?
- ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?

☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?

#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No

#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGF MCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC F ile Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI 4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITR F5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNF PEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73 QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIA SQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A570 7C4I40	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09H HDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC F ile Number)	MASSACHUSETT S	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS 0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OP BHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6 EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALX C0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91D HXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No

#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes

#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No

#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPB GCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6 877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC F ile Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWU DZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC F ile Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL 3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS 169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW 2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160 A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTX Y09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGE WBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7 LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC F ile Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SE C File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5 G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEK U7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1 YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13 M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8U J29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EV S53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77 GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes

#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No

#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No

#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No

#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No

#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No

#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No

#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No

#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No

#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No

#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No

#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No

#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes

#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period?	☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date

should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	271.58000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	32.81000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	143.53000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	43.25000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	50.03000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	94.36000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	191.52000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	128.33000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	998.35000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	1,953.76000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	18,846,646.68000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	18,846,646.68000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	8,675,737.05923076

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd.

13. Morgan Stanley Bank, N.A.
14. Royal Bank of Canada
15. Soci???t??? G???n???rale
16. Standard Chartered Bank
17. State Street Bank and Trust Co.
18. The Bank of New York Mellon
19. The Northern Trust Co.
20. The Toronto-Dominion Bank, New York Branch
21. Wells Fargo Bank, N.A.

iv. Is the line of credit just for the Fund, or is it shared among multiple funds?

☐ Sole ☒ Shared

1. If shared, list the names of other funds that may use the line of credit.

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809

#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345

#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2035 Fund	811-07332
#80	BlackRock LifePath ESG Index 2040 Fund	811-07332
#81	BlackRock LifePath ESG Index 2045 Fund	811-07332
#82	BlackRock LifePath ESG Index 2050 Fund	811-07332
#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332

#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742

#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402

#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the	

reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 3

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2035 Fund
b. Series identication number, if any	S000069126
c. LEI	549300MH5Q0BWPGS5R66
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220943	LEJKX
#2	Institutional	C000220941	LEJIX
#3	Investor A	C000220942	LEJAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified

index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	

1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No

c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period?	☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):	☒ i. Revenue sharing split ☐ ii. Non-revenue sharing split (other than administrative fee) ☐ iii. Administrative fee ☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the	1,290,415.09000000

reporting period g. Provide the net income from securities lending activities	5,214.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)

- ☐ a. Rule 10f-3 (17 CFR 270.10f-3)
- ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1)
- ☐ c. Rule 15a-4 (17 CFR 270.15a-4)
- ☐ d. Rule 17a-6 (17 CFR 270.17a-6)
- ☐ e. Rule 17a-7 (17 CFR 270.17a-7)
- ☐ f. Rule 17a-8 (17 CFR 270.17a-8)
- ☐ g. Rule 17e-1 (17 CFR 270.17e-1)
- ☒ h. Rule 22d-1 (17 CFR 270.22d-1)
- ☐ i. Rule 23c-1 (17 CFR 270.23c-1)
- ☒ j. Rule 32a-4 (17 CFR 270.32a-4)
- ☐ k. Rule 6c-11 (17 CFR 270.6c-11)
- ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4)
- ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G))
- ☒ n. Rule 18f-4 (17 CFR 270.18f-4)
  - ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))?
  - ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))?
  - ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))?
  - ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))?
  - ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?
  - ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?
- ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No

c. Are the fees waived subject to recoupment? ☐ Yes ☒ No

d. Were any expenses previously waived recouped during the period? ☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services

to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes

#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No

#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No

#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No

#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No

#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No

#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No

#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No

#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No

#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No

#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No

#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No

#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No

#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No

#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes

#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No

#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No

#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX 7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9A B579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU 9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7 UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BX A28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC F ile Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0 MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L 0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC F ile Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC F ile Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYI KCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQ NF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGR G3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC F ile Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422V U8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQC H0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4H QGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No

#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No

#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:

1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	96.31000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	32.63000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	61.90000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	16.86000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	92.81000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	133.92000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	159.34000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	0.12000000

#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	945.48000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	1,539.37000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	18,040,171.38000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	18,040,171.38000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	7,795,140.88769230

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds?	☐ Sole ☒ Shared
1. If shared, list the names of other funds that may use the line of credit.	

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061

#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742

#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2040 Fund	811-07332
#81	BlackRock LifePath ESG Index 2045 Fund	811-07332
#82	BlackRock LifePath ESG Index 2050 Fund	811-07332

#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290

#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402

#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No

c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 4

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2040 Fund
b. Series identication number, if any	S000069127
c. LEI	549300OU3S4UOWG85954
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220945	LEKKX
#2	Institutional	C000220944	LEKIX
#3	Investor A	C000220946	LEKAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.

a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund
- ☐ i. Exchange-Traded Fund
- ☐ ii. Exchange-Traded Managed Fund

☐ b. Index Fund

☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark

☐ d. Interval Fund

☒ e. Fund of Funds

☐ f. Master-Feeder Fund

☐ g. Money Market Fund

☒ h. Target Date Fund

☐ i. Underlying fund to a variable annuity or variable life insurance contract

☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?

☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?

☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period?	☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?

#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):	☒ i. Revenue sharing split ☐ ii. Non-revenue sharing split (other than administrative fee) ☐ iii. Administrative fee ☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the reporting period	2,981,476.05000000
g. Provide the net income from securities lending activities	9,685.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))? ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))? ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule

	18f-4(f) (17 CFR 270.18f-4(f))? ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about

each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No

#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No

#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No

#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No

#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No

#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No

#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No

#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No

#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No

#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI 4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JO KOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC F ile Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTH YVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Ta x ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG9 8K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC F ile Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI 8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC F ile Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO 53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC 5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJC TV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDR RISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Ta x ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC F ile Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHM HPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SE C File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#303	Halliday Financial, LLC	**LEI:** 254900YKEGBD ZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKY PK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8 CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7O VJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR 2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC F ile Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LO UAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWY ZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706 F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUS X9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQ BS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M 4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3 UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SE C File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKW DZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No

#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No

#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No

#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No

#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No

#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No

#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No

#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No

#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No

#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No

#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No

#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No

#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes

#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No

#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No

#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No

#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJW TV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7 KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF 8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5D Q81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Ta x ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A 31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P 433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF 3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period?

☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM 6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMW ANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period?

☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCK XL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000

#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	297.23000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	126.04000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	109.08000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	40.66000000

#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	131.05000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	385.87000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	187.40000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	5.36000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	1,365.63000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	2,648.32000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BNY Capital Markets, LLC	8-35255	000017454	**LEI:** VJW2DOOHGDT6PR0ZRO63	NEW YORK	UNITED STATES OF AMERICA	824.23000000
#2	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	28,695,246.02000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	28,696,070.25000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period	15,802,976.37846153

b. Provide the money market fund's daily average net assets during the reporting period	

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds? 1. If shared, list the names of other funds that may use the line of credit.	☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457

#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742

#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332

#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2045 Fund	811-07332
#82	BlackRock LifePath ESG Index 2050 Fund	811-07332
#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375

#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511

#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742

#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 5

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2045 Fund
b. Series identication number, if any	S000069128
c. LEI	549300YKZ3O68TTJNQ09

d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220949	LEHKX
#2	Institutional	C000220948	LEHIX
#3	Investor A	C000220947	LEHAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

- ☒ i. Revenue sharing split
- ☐ ii. Non-revenue sharing split (other than administrative fee)
- ☐ iii. Administrative fee
- ☒ iv. Cash collateral reinvestment fee
- ☐ v. Indemnification fee
- ☒ vi. Other
- ☐ N/A

If other, describe: Rebates paid to borrowers

f. Provide the monthly average of the value of portfolio securities on loan during the reporting period: 2,004,476.49000000

g. Provide the net income from securities lending activities: 8,209.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)

- ☐ a. Rule 10f-3 (17 CFR 270.10f-3)
- ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1)
- ☐ c. Rule 15a-4 (17 CFR 270.15a-4)
- ☐ d. Rule 17a-6 (17 CFR 270.17a-6)
- ☐ e. Rule 17a-7 (17 CFR 270.17a-7)
- ☐ f. Rule 17a-8 (17 CFR 270.17a-8)
- ☐ g. Rule 17e-1 (17 CFR 270.17e-1)
- ☒ h. Rule 22d-1 (17 CFR 270.22d-1)
- ☐ i. Rule 23c-1 (17 CFR 270.23c-1)
- ☒ j. Rule 32a-4 (17 CFR 270.32a-4)
- ☐ k. Rule 6c-11 (17 CFR 270.6c-11)
- ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4)
- ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G))
- ☒ n. Rule 18f-4 (17 CFR 270.18f-4)
  - ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))?
  - ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17

CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))?

☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))?

☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))?

☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?

☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?

☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?

#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#6	ACP Securities, LLC	**LEI:** 254900GHLAGD 9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD84 81O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7 A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC F ile Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC F ile Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC F ile Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC F ile Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS 9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE 6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TR WDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC F ile Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Ta x ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQ Z1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SE C File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64I QE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes

#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No

#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No

#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No

#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No

#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJC TV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDR RISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Ta x ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC F ile Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHM HPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SE C File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBD ZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKY PK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8 CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7O VJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR 2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC F ile Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LO UAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWY ZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706 F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUS X9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No

#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No

#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No

#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No

#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No

#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No

#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No

#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes

#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No

#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No

#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1X BNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y 45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC F ile Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKP DX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8 OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0 QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83C D0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC F ile Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SE C File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5 DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1D NI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306P OWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC F ile Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC F ile Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC F ile Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03 392KX12	OHIO	UNITED STATES OF AMERICA	No	No

#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No

#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	255.53000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	43.86000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	79.09000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	19.54000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	116.94000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	293.33000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	282.37000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	31.15000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	1,025.71000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	2,147.52000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	23,140,890.52000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting	23,140,890.52000000

period:	

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	12,241,960.89846153

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.

iv. Is the line of credit just for the Fund, or is it shared among multiple funds?

1. If shared, list the names of other funds that may use the line of credit.

☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290

#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612

#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2050 Fund	811-07332
#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339

#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402

#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511

#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 6

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2050 Fund
b. Series identication number, if any	S000069129
c. LEI	549300EBDPTDY49FRC03
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220952	LEPKX
#2	Institutional	C000220951	LEGIX
#3	Investor A	C000220950	LEBAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class

listed. Check all that apply.	that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

☒ i. Revenue sharing split
☐ ii. Non-revenue sharing split (other than administrative fee)
☐ iii. Administrative fee
☒ iv. Cash collateral reinvestment fee
☐ v. Indemnification fee
☒ vi. Other
☐ N/A

If other, describe: Rebates paid to borrowers

f. Provide the monthly average of the value of portfolio securities on loan during the reporting period: 2,017,782.86000000

g. Provide the net income from securities lending activities: 7,502.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))? ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))? ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))? ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment	Is the transfer agent a sub-transfer agent?

						adviser(s)?	
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No

#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No

#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No

#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No

#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes

#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No

#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No

#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No

#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ92 9I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC F ile Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC F ile Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66O XFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SE C File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJ G7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0 SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9 R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI 4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JO KOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC F ile Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTH YVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Ta x ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No

#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No

#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No

#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No

#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No

#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes

#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes

#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No

#625	Standard Insurance Company	**LEI:** 549300KVA8DB YKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC F ile Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMM WANRLN572	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XD YZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7 JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KD P8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG 4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SE C File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICV OPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO98 43ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SE C File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SE C File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6 AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC F ile Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS 1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC F ile Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808T LT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No

#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No

#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK 7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV57 6E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6 D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10E S0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1 QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB 5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9N GQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC F ile Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1X BNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y 45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC F ile Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKP DX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8 OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0 QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83C D0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC F ile Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SE C File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5 DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No

#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No

#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are

receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	147.20000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	34.94000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	93.42000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	19.82000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	102.73000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	236.48000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	339.73000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	23.93000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	1,304.96000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	2,303.21000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:	

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	26,080,233.10000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	26,080,233.10000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	13,089,418.52000000

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal

5. Barclays Bank PLC
6. Brown Brothers Harriman & Co.
7. Citibank, N.A.
8. Deutsche Bank AG New York Branch
9. Goldman Sachs Bank USA
10. JPMorgan Chase Bank, N.A.
11. MUFG Bank, Ltd.
12. Mizuho Bank, Ltd.
13. Morgan Stanley Bank, N.A.
14. Royal Bank of Canada
15. Soci???t??? G???n???rale
16. Standard Chartered Bank
17. State Street Bank and Trust Co.
18. The Bank of New York Mellon
19. The Northern Trust Co.
20. The Toronto-Dominion Bank, New York Branch
21. Wells Fargo Bank, N.A.

iv. Is the line of credit just for the Fund, or is it shared among multiple funds?

☐ Sole ☒ Shared

1. If shared, list the names of other funds that may use the line of credit.

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091

#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061

#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2055 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332

#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742

#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402

#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 7

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2055 Fund
b. Series identication number, if any	S000069130
c. LEI	5493009HLFXU3BRVKF27
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220954	LEVKX
#2	Institutional	C000220955	LEEIX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?

☒ Yes ☐ No

b. Did the Fund lend any of its securities during the reporting period?

☒ Yes ☐ No

i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:

1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?

☐ Yes ☒ No

2. The Fund was otherwise adversely impacted?

☐ Yes ☒ No

c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

☒ i. Revenue sharing split
☐ ii. Non-revenue sharing split (other than administrative fee)
☐ iii. Administrative fee

	☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the reporting period	1,421,265.30000000
g. Provide the net income from securities lending activities	6,128.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))? ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))? ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))? ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser

agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

							Is the custodian

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No

#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No

#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No

#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No

#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No

#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No

#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No

#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No

#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No

#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No

#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No

#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No

#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No

#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No

#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No

#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No

#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No

#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No

#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JR N36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJ NM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6 YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ 3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC F ile Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC Fil e Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1X NXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV 2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFH TB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SE C File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC F ile Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBG C41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO95 6KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4 DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#575	S.G. Long & Company	**LEI:** 254900JXF44O2Y OTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KT XBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK 1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0 ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0B OM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC F ile Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC F ile Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWAB ADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82 ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNW WT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSF S0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8 OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC F ile Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZ L2 (Bloomberg Global I D)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7 O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 25490079436TZN 10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z 578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV46 5D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G 0YUS842	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC F ile Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No

#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No

#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No

#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes

#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No

#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No

#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No

#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	99.45000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	25.60000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	49.10000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	25.61000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	84.98000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	286.98000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	168.38000000

#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	0.71000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	1,063.55000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	1,804.36000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	62.56000000
#2	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	19,561,619.27000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	19,561,681.83000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	9,287,278.83461538

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the	☒ Yes ☐ No

information requested below:

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds?	☐ Sole ☒ Shared
1. If shared, list the names of other funds that may use the line of credit.	

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061

#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178

#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332

#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2050 Fund	811-07332
#84	BlackRock LifePath ESG Index 2060 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340

#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402

#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 8

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2060 Fund
b. Series identication number, if any	S000069131
c. LEI	5493007V8Z1J8SV57P42
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0

c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220957	LEZKX
#2	Institutional	C000220956	LEZIX
#3	Investor A	C000220958	LEZAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.

a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund
- ☐ i. Exchange-Traded Fund
- ☐ ii. Exchange-Traded Managed Fund

☐ b. Index Fund

☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark

☐ d. Interval Fund

☒ e. Fund of Funds

☐ f. Master-Feeder Fund

☐ g. Money Market Fund

☒ h. Target Date Fund

☐ i. Underlying fund to a variable annuity or variable life insurance contract

☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?

☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No

c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period?	☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:	

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):	☒ i. Revenue sharing split ☐ ii. Non-revenue sharing split (other than administrative fee) ☐ iii. Administrative fee ☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the reporting period	1,434,408.08000000
g. Provide the net income from securities lending activities	5,147.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)

(ii))?

☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?

☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?

☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No

#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No

#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No

#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No

#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SE C File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SE C File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV7 4B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SE C File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SE C File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLH YPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY 7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZ OR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6 GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58 NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1 AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC F ile Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC F ile Number)	ARIZONA	UNITED STATES OF AMERICA	No	No

#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No

#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes

#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No

#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHM HPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SE C File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBD ZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKY PK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8 CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7O VJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR 2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC F ile Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LO UAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWY ZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706 F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUS X9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQ BS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M 4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3 UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SE C File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No

#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No

#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No

#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No

#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No

#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No

#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No

#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No

#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No

#592	San Blas Securities LLC	**LEI:** 25490079436TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No

#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes

#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPX NABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC F ile Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27T A5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMUL U6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9 SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MG MYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX 7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9A B579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU 9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7 UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BX A28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC F ile Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0 MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L 0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC F ile Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC F ile Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYI KCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQ NF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No

#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No

#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period

#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	79.95000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	41.76000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	28.01000000

#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	12.95000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	53.82000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	125.03000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	122.28000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	0.67000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	797.23000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	1,261.70000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	12,239,387.27000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	12,239,387.27000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period	8,912,387.69153846

b. Provide the money market fund's daily average net assets during the reporting period	

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds? 1. If shared, list the names of other funds that may use the line of credit.	☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457

#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742

#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23345
#58	BlackRock High Yield Portfolio	811-23339
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332

#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2050 Fund	811-07332
#84	BlackRock LifePath ESG Index 2055 Fund	811-07332
#85	BlackRock LifePath ESG Index 2065 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375

#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511

#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742

#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 9

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2065 Fund
b. Series identication number, if any	S000069123
c. LEI	549300XDRGENBYRB8B19

d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220933	LEWKX
#2	Institutional	C000220934	LEWIX
#3	Investor A	C000220932	LEWAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

- ☒ i. Revenue sharing split
- ☐ ii. Non-revenue sharing split (other than administrative fee)
- ☐ iii. Administrative fee
- ☒ iv. Cash collateral reinvestment fee
- ☐ v. Indemnification fee
- ☒ vi. Other
- ☐ N/A

If other, describe: Rebates paid to borrowers

f. Provide the monthly average of the value of portfolio securities on loan during the reporting period: 1,241,331.35000000

g. Provide the net income from securities lending activities: 3,858.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)

- ☐ a. Rule 10f-3 (17 CFR 270.10f-3)
- ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1)
- ☐ c. Rule 15a-4 (17 CFR 270.15a-4)
- ☐ d. Rule 17a-6 (17 CFR 270.17a-6)
- ☐ e. Rule 17a-7 (17 CFR 270.17a-7)
- ☐ f. Rule 17a-8 (17 CFR 270.17a-8)
- ☐ g. Rule 17e-1 (17 CFR 270.17e-1)
- ☒ h. Rule 22d-1 (17 CFR 270.22d-1)
- ☐ i. Rule 23c-1 (17 CFR 270.23c-1)
- ☒ j. Rule 32a-4 (17 CFR 270.32a-4)
- ☐ k. Rule 6c-11 (17 CFR 270.6c-11)
- ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4)
- ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G))
- ☒ n. Rule 18f-4 (17 CFR 270.18f-4)
  - ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))?
  - ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17

CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))?

☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))?

☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))?

☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))?

☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))?

☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?

#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#6	ACP Securities, LLC	**LEI:** 254900GHLAGD 9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD84 81O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7 A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC F ile Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC F ile Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC F ile Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC F ile Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS 9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE 6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TR WDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC F ile Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Ta x ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQ Z1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SE C File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64I QE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes

#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No

#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No

#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No

#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No

#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJC TV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDR RISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Ta x ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC F ile Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHM HPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SE C File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBD ZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKY PK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8 CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7O VJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR 2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC F ile Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LO UAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWY ZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706 F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUS X9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#364	Invex, LLC	**LEI:** NPOTUCXQYGX X5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR8 4LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8 Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC 8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC F ile Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZ RVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL 4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQ FU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9 UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SE C File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC F ile Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC F ile Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WS RCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SE C File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5 QT1XDG31	MASSACHUSETT S	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GX IKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZ CFZS6R51	MASSACHUSETT S	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No

#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2H ZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBB K9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4 OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2 ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD 5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC F ile Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9 V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ 8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRA H56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1 HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUS TK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC F ile Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN 7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62 MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODM Q4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC F ile Number)	OHIO	UNITED STATES OF AMERICA	No	No

#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No

#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No

#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No

#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No

#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 254900794 36TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No

#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes

#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No

#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No

#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No

#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No

#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	28.59000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	19.05000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	4.64000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	0.90000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	26.78000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	53.86000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	51.66000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	4.56000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	311.96000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	502.00000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BNY Capital Markets, LLC	8-35255	000017454	**LEI:** VJW2DOOHGDT6PR0ZRO63	NEW YORK	UNITED STATES OF AMERICA	111.88000000
#2	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	4,689,522.66000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	4,689,634.54000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	5,301,288.15846153

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.

iv. Is the line of credit just for the Fund, or is it shared among multiple funds?

1. If shared, list the names of other funds that may use the line of credit.

☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091

#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290

#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2050 Fund	811-07332
#84	BlackRock LifePath ESG Index 2055 Fund	811-07332
#85	BlackRock LifePath ESG Index 2060 Fund	811-07332
#86	BlackRock LifePath ESG Index 2070 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332

#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759

#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742

#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund

#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 10

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index 2070 Fund
b. Series identication number, if any	S000086332
c. LEI	529900NTMPOSB1R66219
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000251819	LEYKX
#2	Institutional	C000251817	LEYIX
#3	Investor A	C000251818	LEYAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based

on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?	☒ Yes ☐ No
b. Did the Fund lend any of its securities during the reporting period?	☒ Yes ☐ No
i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:	
1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?	☐ Yes ☒ No
2. The Fund was otherwise adversely impacted?	☐ Yes ☒ No
c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:	

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):

☒ i. Revenue sharing split
☐ ii. Non-revenue sharing split (other than administrative fee)
☐ iii. Administrative fee
☒ iv. Cash collateral reinvestment fee
☐ v. Indemnification fee
☒ vi. Other
☐ N/A

If other, describe: Rebates paid to borrowers

f. Provide the monthly average of the value of portfolio securities on loan during the reporting period: 290,619.84000000

g. Provide the net income from securities lending activities: 874.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))? ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))? ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))? ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment	Is the transfer agent a sub-transfer agent?

						adviser(s)?	
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No

#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No
#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO82C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DXU80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XKSRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No

#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M79RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGFMCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITRF5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNFPEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIASQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A5707C4I40	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09HHDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No

#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No
#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No

#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No
#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No

#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No
#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY4 9AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBP PZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDW FDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPB GCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6 877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC F ile Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWU DZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC F ile Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL 3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS 169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW 2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160 A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTX Y09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGE WBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7 LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No
#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC F ile Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SE C File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5 G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEK U7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1 YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13 M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No

#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No

#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No
#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No

#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No
#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No

#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No
#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No

#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No
#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKYPK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7OVJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No

#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LOUAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWYZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUSX9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQBS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKWDZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PMU6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No
#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No
#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No

#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No

#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No
#393	Key Investment Services LLC	**LEI:** 254900ZGGF90QZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZM6UD642	TEXAS	UNITED STATES OF AMERICA	No	No

#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2HZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBBK9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No

#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No
#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No

#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No
#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No

#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No

#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 25490079436TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No
#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No
#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No

#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No

#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No
#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No

#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No
#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No

#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.

3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	6.68000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	9.27000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	2.80000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	0.10000000
#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	0.96000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	4.88000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	4.23000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	0.13000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	45.27000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	74.32000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	271,713.31000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	271,713.31000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	2,112,825.32153846

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of	1. BNP Paribas

credit?	2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds? 1. If shared, list the names of other funds that may use the line of credit.	☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457
#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742

#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061
#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091

#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332
#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2050 Fund	811-07332
#84	BlackRock LifePath ESG Index 2055 Fund	811-07332
#85	BlackRock LifePath ESG Index 2060 Fund	811-07332

#86	BlackRock LifePath ESG Index 2065 Fund	811-07332
#87	BlackRock LifePath ESG Index Retirement Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375
#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802

#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742
#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511

#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742
#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

Management Investment Record: 11

Item C.1. Background information.

a. Full Name of the Fund	BlackRock LifePath ESG Index Retirement Fund
b. Series identication number, if any	S000069122
c. LEI	549300G0W62JRB3ZIF91
d. Is this the first filing on this form by the Fund?	☐ Yes ☒ No

Item C.2. Classes of open-end management investment companies.

a. How many Classes of shares of the Fund (if any) are authorized?	3
b. How many new Classes of shares of the Fund were added during the reporting period?	0
c. How many Classes of shares of the Fund were terminated during the reporting period?	0
d. For each Class with shares outstanding, provide the information requested below:	

Shares Outstanding Record	Full name of Class	Class identification number, if any	Ticker symbol, if any
#1	Class K	C000220929	LERKX

#2	Institutional	C000220930	LERIX
#3	Investor A	C000220931	LERAX

Item C.3. Type of fund.

Instructions:
1. "Fund of Funds" means a fund that acquires securities issued by any other investment company in excess of the amounts permitted under paragraph (A) of section 12(d)(1) of the Act (15 U.S.C. 80a-12(d)(1)(A)), but, for purposes of this Item, does not include a fund that acquires securities issued by another company solely in reliance on rule 12d1-1 under the Act (CFR 270.12d1-1).
2. "Index" means an investment company, including an Exchange-Traded Fund, that seeks to track the performance of a specified index.
3. "Interval Fund" means a closed-end management investment company that makes periodic repurchases of its shares pursuant to rule 23c-3 under the Act (17 CFR 270.23c-3).
4. "Master-Feeder Fund" means a two-tiered arrangement in which one or more funds (each a feeder fund) holds shares of a single Fund (the master fund) in with section 12(d)(1)(E) of the Act (15 U.S.C. 80a-12(d)(1)(E)) or pursuant to exemptive relief granted by the Commission.
5. "Target Date Fund" means an investment company that has an investment objective or strategy of providing varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures that changes over time based on an investor's age, target retirement date, or life expectancy.

a. Indicate if the Fund is any one of the types listed. Check all that apply.	a. Exchange-Traded Fund or Exchange-Traded Managed Fund or offers a Class that itself is an Exchange-Traded Fund or Exchange-Traded Managed Fund ☐ i. Exchange-Traded Fund ☐ ii. Exchange-Traded Managed Fund ☐ b. Index Fund ☐ c. Seeks to achieve performance results that are a multiple of a benchmark, the inverse of a benchmark, or a multiple of the inverse of a benchmark ☐ d. Interval Fund ☒ e. Fund of Funds ☐ f. Master-Feeder Fund ☐ g. Money Market Fund ☒ h. Target Date Fund ☐ i. Underlying fund to a variable annuity or variable life insurance contract ☐ N/A

Item C.4. Diversification.

a. Does the Fund seek to operate as a "non-diversified company" as such term is defined in section 5(b)(2) of the Act (15 U.S.C. 80a-5(b) (2))?	☐ Yes ☒ No

Item C.5. Investments in certain foreign corporations.

Instruction. "Controlled foreign corporation" has the meaning provided in section 957 of the Internal Revenue Code [26 U.S.C. 957].

a. Does the fund invest in a controlled foreign corporation for the purpose of investing in certain types of instruments such as, but not limited to, commodities?	☐ Yes ☒ No

Item C.6. Securities lending.

Instruction. For purposes of this Item, other adverse impacts would include, for example, (1) a loss to the Fund if collateral and indemnification were not sufficient to replace the loaned securities or their value, (2) the Fund's ineligibility to vote shares in a proxy, or (3) the Fund's ineligibility to receive a direct distribution from the issuer.

a. Is the Fund authorized to engage in securities lending transactions?

☒ Yes ☐ No

b. Did the Fund lend any of its securities during the reporting period?

☒ Yes ☐ No

i. If yes, during the reporting period, did any borrower fail to return the loaned securities by the contractual deadline with the result that:

1. The Fund (or its securities lending agent) liquidated collateral pledged to secure the loaned securities?

☐ Yes ☒ No

2. The Fund was otherwise adversely impacted?

☐ Yes ☒ No

c. Provide the information requested below about each securities lending agent, if any, retained by the Fund:

Securities Lending Record	Full name of securities lending agent	Identifying number(s)	Is the securities lending agent an affiliated person, or an affiliated person of an affiliated person, of the Fund?	Does the securities lending agent or any other entity indemnify the fund against borrower default on loans administered by this agent?
#1	BlackRock Institutional Trust Company, National Association	**LEI:** 549300RK1FB0VMTPD087	Yes	Yes

If the entity providing the indemnification is not the securities lending agent, provide the following information:

Idemnity Providers Record	Name of person providing indemnification	Identifying number(s)
#1	BlackRock Finance, Inc.	**LEI:** 549300LRIF3NWCU26A80

Did the Fund exercise its indemnification rights during the reporting period? ☐ Yes ☒ No

d. If a person providing cash collateral management services to the Fund in connection with the Fund's securities lending activities does not also serve as securities lending agent, provide the following information about each cash collateral manager:

Collateral Managers Record	Full name of cash collateral manager	Identifying number(s)	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of a securities lending agent retained by the Fund?	Is the cash collateral manager an affiliated person, or an affiliated person of an affiliated person, of the Fund?
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	Yes	Yes

e. Types of payments made to one or more securities lending agents and cash collateral managers (check all that apply):	☒ i. Revenue sharing split ☐ ii. Non-revenue sharing split (other than administrative fee) ☐ iii. Administrative fee ☒ iv. Cash collateral reinvestment fee ☐ v. Indemnification fee ☒ vi. Other ☐ N/A
If other, describe:	Rebates paid to borrowers
f. Provide the monthly average of the value of portfolio securities on loan during the reporting period	1,447,563.89000000
g. Provide the net income from securities lending activities	5,549.00000000

Item C.7. Reliance on certain statutory exemption and rules.

a. Did the Fund rely on the following statutory exemption or any of the rules under the Act during the reporting period? (check all that apply)	☐ a. Rule 10f-3 (17 CFR 270.10f-3) ☒ b. Rule 12d1-1 (17 CFR 270.12d1-1) ☐ c. Rule 15a-4 (17 CFR 270.15a-4) ☐ d. Rule 17a-6 (17 CFR 270.17a-6) ☐ e. Rule 17a-7 (17 CFR 270.17a-7) ☐ f. Rule 17a-8 (17 CFR 270.17a-8) ☐ g. Rule 17e-1 (17 CFR 270.17e-1) ☒ h. Rule 22d-1 (17 CFR 270.22d-1) ☐ i. Rule 23c-1 (17 CFR 270.23c-1) ☒ j. Rule 32a-4 (17 CFR 270.32a-4) ☐ k. Rule 6c-11 (17 CFR 270.6c-11) ☒ l. Rule 12d1-4 (17 CFR 270.12d1-4) ☐ m. Section 12(d)(1)(G) of the Act (15 USC 80a-12(d)(1)(G)) ☒ n. Rule 18f-4 (17 CFR 270.18f-4) ☒ i. Is the Fund excepted from the rule 18f-4 (17 CFR 270.18f-4) program requirement and limit on fund leverage risk under rule 18f-4(c)(4) (17CFR 270.18f-4(c)(4))? ☐ ii. Is the Fund a leveraged/inverse fund that, under rule 18f-4(c)(5) (17 CFR 270.18f-4(c)(5)), is excepted from the requirement to comply with the limit on fund leverage risk described in rule 18f-4(c)(2) (17 CFR 270.18f-4(c)(2))? ☐ iii. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(i) (17 CFR 270.18f-4(d)(i))? ☐ iv. Did the Fund enter into any reverse repurchase agreements or similar financing transactions under rule 18f-4(d)(ii) (17 CFR 270.18f-4(d)(ii))? ☐ v. Did the Fund enter into any unfunded commitment agreements under rule 18f-4(e) (17 CFR 270.18f-4(e))? ☒ vi. Did the Fund invest in a security on a when-issued or forward-settling basis, or with a non-standard settlement cycle, in reliance on rule 18f-4(f) (17 CFR 270.18f-4(f))? ☐ N/A

Item C.8. Expense limitations.

Instruction. Provide information concerning any direct or indirect limitations, waivers or reductions, on the level of expenses incurred by the fund during the reporting period. A limitation, for example, may be applied indirectly (such as when an adviser agrees to accept a reduced fee pursuant to a voluntary fee waiver) or it may apply only for a temporary period such as for a new fund in its start-up phase.

a. Did the Fund have an expense limitation arrangement in place during the reporting period?	☒ Yes ☐ No
b. Were any expenses of the Fund reduced or waived pursuant to an expense limitation arrangement during the reporting period?	☒ Yes ☐ No
c. Are the fees waived subject to recoupment?	☐ Yes ☒ No
d. Were any expenses previously waived recouped during the period?	☐ Yes ☒ No

Item C.9. Investment advisers.

a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund:

Investment Advisers Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Was the investment adviser hired during the reporting period?
#1	BlackRock Fund Advisors	801-22609	000105247	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	No

b. If an investment adviser (other than a sub-adviser) to the Fund was terminated during the reporting period, provide the following with respect to each investment adviser:

Investment Advisers Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

c. For each sub-adviser to the Fund, provide the information requested:

Sub-Advisors Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the sub-adviser an affiliated person of the Fund's investment adviser(s)?	Was the sub-adviser hired during the reporting period?
—	—	—	—	—	—	—	—	—

d. If a sub-adviser was terminated during the reporting period, provide the following with

respect to such sub-adviser:

Sub-Advisors Terminated Record	Full name	SEC file number (e.g., 801-)	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Termination date
—	—	—	—	—	—	—	—

Item C.10. Transfer agents.

a. Provide the following information about each person providing transfer agency services to the Fund:

Transfer Agents Record	Full name	SEC file number (e.g., 801-)	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the transfer agent an affiliated person of the Fund or its investment adviser(s)?	Is the transfer agent a sub-transfer agent?
#1	BNY Mellon Investment Servicing (US) Inc.	084-01761	**LEI:** 549300CFZQLI9QMJ1Z03	DELAWARE	UNITED STATES OF AMERICA	No	No

b. Has a transfer agent been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.11. Pricing services.

a. Provide the following information about each person that provided pricing services to the Fund during the reporting period:

Pricing Services Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the pricing service an affiliated person of the Fund or its investment adviser(s)?
#1	Bloomberg L.P.	**LEI:** 549300B56MD0ZC402L06	NEW YORK	UNITED STATES OF AMERICA	No
#2	ICE Data Services, Inc.	**Other:** 13-3668779 (Tax ID)	GEORGIA	UNITED STATES OF AMERICA	No
#3	London Stock Exchange Group PLC	**LEI:** 213800QAUUUP6I445N30		UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND	No
#4	S&P Global Inc.	**LEI:** Y6X4K52KMJMZE7I7MY94	NEW YORK	UNITED STATES OF AMERICA	No

b. Was a pricing service hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.12. Custodians.

a. Provide the following information about each person that provided custodial services to the Fund during the reporting period:

Custodians Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the custodian an affiliated person of the Fund or its investment adviser(s)?	Is the custodian a sub-custodian?	Type of custody (describe if "Other")
#1	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No	Bank - section 17(f)(1) (15 U.S.C. 80a-17(f)(1))

b. Has a custodian been hired or terminated during the reporting period?* ☐ Yes ☒ No

Item C.13. Shareholder servicing agents.

a. Provide the following information about each shareholder servicing agent of the Fund:

Shareholder Servicing Agents Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the shareholder servicing agent an affiliated person of the Fund or its investment adviser(s)?	Is the shareholder servicing agent a sub-shareholder servicing agent?
#1	&Partners	**LEI:** 254900I68Q4RJB8MRA09	TENNESSEE	UNITED STATES OF AMERICA	No	No
#2	1st Discount Brokerage, Inc.	**Other:** 8-48557 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#3	A.G.P. / Alliance Global Partners Corp	**LEI:** 549300QJQ08RJGC7D885	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#4	AA Financial Advisors, LLC	**Other:** 801-125806 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#5	ACA Prudent Investors Planning Corp.	**Other:** 8-51899 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#6	ACP Securities, LLC	**LEI:** 254900GHLAGD9J81O211	FLORIDA	UNITED STATES OF AMERICA	No	No
#7	ADP Broker-Dealer, Inc.	**Other:** 8-47885 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#8	AE Financial Services, LLC	**LEI:** 254900V6AVD8481O0767	KANSAS	UNITED STATES OF AMERICA	No	No
#9	APW Capital, Inc.	**LEI:** 9845007S5BA4F7A6D136	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#10	ARIVE Capital Markets LLC	**Other:** 8-43350 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#11	Abacus International Capital Corp.	**Other:** 8-46418 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#12	Abacus Investments, Inc.	**Other:** 8-46571 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#13	Access Financial Group, Inc.	**Other:** 8-46065 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#14	Access Investments, Inc.	**Other:** 8-49750 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#15	Ace Diversified Capital, Inc.	**Other:** 8-49555 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#16	Advanced Advisor Group, LLC	**Other:** 8-67313 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#17	Advisor Resource Council, LLC	**Other:** 801-76667 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#18	Akar Capital Management, Inc.	**Other:** 8-28026 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#19	Alight Financial Solutions, LLC	**LEI:** 254900ULSVPFS9C41I75	ILLINOIS	UNITED STATES OF AMERICA	No	No
#20	Alight Solutions LLC	**Other:** 84-01996 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	Yes
#21	Allegiance Capital, LLC	**Other:** 8-52978 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#22	Alliant Securities, Inc. Turner, Nord, Kienbaum	**LEI:** 894500Y9BKNRE6O6LY95	WASHINGTON	UNITED STATES OF AMERICA	No	No
#23	Allianz Life Financial Services, LLC	**LEI:** 5493008TSI0TRWDDGW79	MINNESOTA	UNITED STATES OF AMERICA	No	No
#24	Allstate Financial Services, LLC	**Other:** 8-36365 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#25	Allworth Financial, L.P.	**Other:** 68-0372662 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#26	Alterna Securities, Inc.	**LEI:** 254900FT947VQZ1WHT28	TEXAS	UNITED STATES OF AMERICA	No	No
#27	Altman Advisors Inc	**Other:** 801-108135 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#28	Altruist Financial LLC	**LEI:** 549300DKQZ64IQE9A857	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#29	Amegy Investments, Inc.	**Other:** 8-65399 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#30	Amerant Investments, Inc.	**LEI:** 254900M8G8SSAIMHET60	FLORIDA	UNITED STATES OF AMERICA	No	No
#31	American Capital Partners, LLC	**LEI:** 254900I8NH46ZJJ4Z956	NEW YORK	UNITED STATES OF AMERICA	No	No
#32	American Century Investment Services, Inc.	**Other:** 8-35220 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#33	American Enterprise Investment Services Inc.	**LEI:** 549300NT7GLLVGTH0249	MINNESOTA	UNITED STATES OF AMERICA	No	No
#34	American Financial Associates, Inc.	**Other:** 8-44065 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#35	American Global Wealth Management, Inc.	**LEI:** 8945001H9ZNEUAN4WB94	GEORGIA	UNITED STATES OF AMERICA	No	No

#36	American Heritage Securities, Inc.	**LEI:** 894500YWVNO8 2C5PPY67	OHIO	UNITED STATES OF AMERICA	No	No
#37	American Independent Securities Group, LLC	**LEI:** 2549005WBC2D5 V5GFN36	IDAHO	UNITED STATES OF AMERICA	No	No
#38	American National Trust And Investment Management Company	**Other:** 28-00344 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#39	American Trust Company	**LEI:** 5493005EOTYFH 88SI914	TENNESSEE	UNITED STATES OF AMERICA	No	Yes
#40	American Trust Investment Services, Inc.	**LEI:** 254900M0FVT3G 1G4ES04	INDIANA	UNITED STATES OF AMERICA	No	No
#41	American United Life Insurance Company	**LEI:** 549300T82H2DX U80LV98	INDIANA	UNITED STATES OF AMERICA	No	Yes
#42	Ameriprise Financial Services, LLC	**Other:** 8-16791 (SEC F ile Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#43	Ameritas Investment Company, LLC	**LEI:** 549300913B54XK SRM258	NEBRASKA	UNITED STATES OF AMERICA	No	No
#44	Amuni Financial, Inc.	**LEI:** 254900ZU431M7 9RBT966	FLORIDA	UNITED STATES OF AMERICA	No	No
#45	Ancora Private Wealth Advisors, LLC	**Other:** 801-61942 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#46	Andbanc Brokerage LLC	**LEI:** 213800E4CWGF MCDQZ792	FLORIDA	UNITED STATES OF AMERICA	No	No
#47	Anovest Financial Services, Inc.	**Other:** 8-66742 (SEC F ile Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#48	Aon Securities LLC	**LEI:** 549300JF73MZNI 4CMN58	ILLINOIS	UNITED STATES OF AMERICA	No	No
#49	Apex Clearing Corporation	**LEI:** 5493000418CITR F5BO80	ILLINOIS	UNITED STATES OF AMERICA	No	No
#50	AqGen Ascensus, Inc.	**LEI:** 549300K5MHNF PEU2RK82	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#51	Arete Wealth Management LLC	**LEI:** 254900PEVHP73 QVT1G09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#52	Arkadios Capital, LLC	**LEI:** 2549004VFYBIA SQ1A234	GEORGIA	UNITED STATES OF AMERICA	No	No
#53	Arlington Securities, Inc.	**Other:** 8-38098 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#54	Arthur W.Wood Company	**LEI:** 98450095C1A570 7C4I40	MASSACHUSETT S	UNITED STATES OF AMERICA	No	No
#55	Arvest Investments, Inc.	**LEI:** 254900F30H09H HDIEI45	ARKANSAS	UNITED STATES OF AMERICA	No	No
#56	Ascensus Broker Dealer Services, LLC	**Other:** 8-47312 (SEC F ile Number)	MASSACHUSETT S	UNITED STATES OF AMERICA	No	Yes
#57	Ascensus Financial Services, LLC	**Other:** 8-67891 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#58	Ashton Thomas Private Wealth LLC	**Other:** 801-71512 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#59	Aspire Growth Partners, LLC (Medina, OH, US, Branch)	**Other:** 801-120122 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#60	AssetMark Trust Company	—	ARIZONA	UNITED STATES OF AMERICA	No	No
#61	Associated Investment Services, Inc.	**LEI:** 254900BZA6YTS0PF7Z65	WISCONSIN	UNITED STATES OF AMERICA	No	No
#62	Athena Wealth Management	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#63	Aufhauser Securities, Inc.	**LEI:** 254900TXKL8OPBHLON24	NEW YORK	UNITED STATES OF AMERICA	No	No
#64	Aurora Securities Inc	**LEI:** 254900S7KVZN6EJU0B81	MICHIGAN	UNITED STATES OF AMERICA	No	No
#65	Ausdal Financial Partners, Inc.	**LEI:** 254900F9LOALXC0XY375	IOWA	UNITED STATES OF AMERICA	No	No
#66	Avantax Wealth Management, Inc.	**Other:** 8-29533 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#67	Aventura Securities, LLC	**LEI:** 254900Y92W91DHXYES47	FLORIDA	UNITED STATES OF AMERICA	No	No
#68	Avisen Wealth Management, Inc.	**LEI:** 2549001PSL1PPTO69B79	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#69	Avondale Partners, LLC	**LEI:** 254900799PKXEPTDRJ40	TENNESSEE	UNITED STATES OF AMERICA	No	No
#70	Axecap Investments, LLC	**Other:** 801-126521 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#71	Axiom Capital Management, Inc.	**LEI:** 254900WW7SK1IMK6NO54	NEW YORK	UNITED STATES OF AMERICA	No	No
#72	Axxcess Wealth Management, LLC	**Other:** 35-2436156 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#73	B. C. Ziegler and Company	**LEI:** 549300NLEOFP92P38Q71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#74	B. Riley Wealth Management Holdings, Inc.	**Other:** 8-31206 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#75	B.B. Graham & Company, Inc.	**LEI:** 254900L3R5OYRDRO8Q88	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#76	BCG Securities, Inc	**LEI:** 984500MF8ECA9B6EEE70	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#77	BCI Securities, Inc.	**LEI:** 254900QA8SI60EW9BC50	FLORIDA	UNITED STATES OF AMERICA	No	No
#78	BGV Securities USA, LLC	**LEI:** 254900T99190K5ZF2K57	FLORIDA	UNITED STATES OF AMERICA	No	No
#79	BNP Paribas Securities Corp.	**LEI:** RCNB6OTYUAMMP879YW96	NEW YORK	UNITED STATES OF AMERICA	No	No

#80	BNY Mellon Securities Corporation	**LEI:** 2549009A52JAL1RI9176	NEW YORK	UNITED STATES OF AMERICA	No	No
#81	BOK Financial Securities, Inc.	**LEI:** 5493008UZFTI4G7UQ733	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#82	BTG Pactual US Capital, LLC	**LEI:** 549300EUEDL5GKQW8U35	NEW YORK	UNITED STATES OF AMERICA	No	No
#83	BTS Securities Corporation	**Other:** 8-26818 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#84	Ballew Investments, Inc.	**Other:** 8-45660 (SEC File Number)	MISSISSIPPI	UNITED STATES OF AMERICA	No	No
#85	Bankers Life Securities, Inc.	**LEI:** 549300YBBLCDP5GDSH97	ILLINOIS	UNITED STATES OF AMERICA	No	No
#86	Bankoh Investment Services, Inc.	**Other:** 8-44201 (SEC File Number)	HAWAII	UNITED STATES OF AMERICA	No	No
#87	Barclays Capital Inc.	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	No	No
#88	Beacon Financial Advisory LLC	**Other:** 801-108381 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#89	Beaconsfield Financial Services, Inc.	**LEI:** 254900TJCEQ2GKH9KF15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#90	Benefit Trust Company	**LEI:** 549300ICEK1VVZC9R735	KANSAS	UNITED STATES OF AMERICA	No	Yes
#91	Benjamin F. Edwards & Company, Inc.	**LEI:** 2549003FIOJT37PTTC29	MISSOURI	UNITED STATES OF AMERICA	No	No
#92	Berntson Porter Wealth Management, L.L.C.	—	WASHINGTON	UNITED STATES OF AMERICA	No	No
#93	Berthel Fisher & Company Financial Services, Inc.	**LEI:** 254900VVIR43SWVO4P90	IOWA	UNITED STATES OF AMERICA	No	No
#94	Bestvest Investments, Ltd.	**LEI:** 254900SL6FW130BMS922	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#95	Blake Schutter Theil Wealth Advisors, LLC	**Other:** 801-117244 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#96	Blakeslee & Blakeslee, Inc.	**Other:** 8-32071 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#97	Bley Investment Group, Inc.	**LEI:** 98450057F79FB912F771	TEXAS	UNITED STATES OF AMERICA	No	No
#98	Blue Waters Advisory Group, LLC	—	TEXAS	UNITED STATES OF AMERICA	No	No
#99	Blueprint Partners, LLC	**Other:** 801-120502 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#100	Bolton Global Capital, Inc.	**LEI:** 2549009M08YVOG46LO79	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#101	Bolton Securities Corporation	**Other:** 8-68187 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#102	Boreal Capital Securities, LLC	**LEI:** 549300NMHK6HTSKCG696	FLORIDA	UNITED STATES OF AMERICA	No	No

#103	Bradesco Investments Inc.	**LEI:** 254900CAF9OPVE8VT408	FLORIDA	UNITED STATES OF AMERICA	No	No
#104	Brighton Securities Corp.	**LEI:** 9845005IY660E92AA749	NEW YORK	UNITED STATES OF AMERICA	No	No
#105	Broadridge Business Process Outsourcing, LLC	**LEI:** 213800N8RQKVX4CDC332	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#106	Brooklight Place Securities, Inc.	**LEI:** 254900NFDQWV0CPYEC37	ILLINOIS	UNITED STATES OF AMERICA	No	No
#107	Buckman, Buckman & Reid, Inc.	**LEI:** 254900D688L15B5HJB06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#108	Buckram Securities Ltd.	**LEI:** 254900LWEP2ZSQSLY992	NEW YORK	UNITED STATES OF AMERICA	No	No
#109	Buell Securities Corp.	**Other:** 8-22058 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#110	CBIZ Financial Solutions, Inc.	**Other:** 8-34205 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#111	CFD Investments, Inc.	**Other:** 8-41727 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#112	CFS Securities, Inc.	**Other:** 8-51330 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#113	CGIS Securities LLC	**LEI:** 254900GOI7SHVRZ5BG90	FLORIDA	UNITED STATES OF AMERICA	No	No
#114	CIBC World Markets Corp.	**LEI:** 549300445CON3DBMU275	NEW YORK	UNITED STATES OF AMERICA	No	No
#115	CNR Securities LLC	**LEI:** 894500JXD2XN50UHZI74	NEW YORK	UNITED STATES OF AMERICA	No	No
#116	COGENTBLUE	**Other:** 801-125745 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#117	COUNTRY Capital Management Company	**Other:** 8-12645 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#118	CS Planning Corp	**Other:** 801-70381 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#119	CUNA Brokerage Services, Inc.	**LEI:** 549300G6Y6BPF9ZL4706	IOWA	UNITED STATES OF AMERICA	No	No
#120	CUSO Financial Services, L.P.	**LEI:** 254900SMTUGUAHW1JN77	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#121	Cabot Lodge Securities LLC	**LEI:** 254900AQ6RA5I0O5QO30	ILLINOIS	UNITED STATES OF AMERICA	No	No
#122	Cadaret, Grant & Co., Inc.	**LEI:** 2549003ZDQPBPYR9KD35	NEW YORK	UNITED STATES OF AMERICA	No	No
#123	Calamar Financial Group, LLC	**Other:** 8-69777 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#124	Caldwell Securities Ltd.	**LEI:** 549300ORF2FMHXODHJ66		CANADA (FEDERAL LEVEL)	No	No

#125	Callaway Financial Services, Inc.	**LEI:** 549300UNHHMAHA7IYO12	TEXAS	UNITED STATES OF AMERICA	No	No
#126	Calton & Associates, Inc.	**LEI:** 254900TDJ7LH64ZKRY86	FLORIDA	UNITED STATES OF AMERICA	No	No
#127	Cambridge Investment Research, Inc.	**LEI:** 254900OXTK7YO6I8E612	IOWA	UNITED STATES OF AMERICA	No	No
#128	Camden Financial Services	**Other:** 8-37303 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#129	CameronDowning, Inc.	**Other:** 47-1133405 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#130	Cannon Securities, Inc.	**Other:** 8-68437 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#131	CapFinancial Securities, LLC	**Other:** 8-65870 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#132	Cape Securities, Inc.	**LEI:** 8945001HL2QY49AW7F58	GEORGIA	UNITED STATES OF AMERICA	No	No
#133	Capital City Securities, LLC	**LEI:** 254900L4RPHIBPPZE092	OHIO	UNITED STATES OF AMERICA	No	No
#134	Capital Institutional Services, Inc.	**LEI:** 54930061X8RDWFDJIS05	TEXAS	UNITED STATES OF AMERICA	No	No
#135	Capital Investment Brokerage, Inc.	**LEI:** 254900638TNPBGCHA192	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#136	Capital Investment Group, Inc.	**LEI:** 254900L0IQQFC6877J36	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#137	Capital Management Securities, Inc.	**Other:** 8-27779 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#138	Capital Portfolio Management, Inc.	**Other:** 8-44225 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#139	Capital Synergy Partners, Inc.	**LEI:** 254900OQDPWUDZLFWT33	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#140	Capitol Securities Management, Inc.	**Other:** 8-30353 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#141	Cardinal Investments, Inc.	**LEI:** 254900QUGWOL3R0KPC15	ILLINOIS	UNITED STATES OF AMERICA	No	No
#142	Carl M. Hennig, Inc.	**LEI:** 254900A0JBQRS169W232	WISCONSIN	UNITED STATES OF AMERICA	No	No
#143	Carter, Terry & Company, Inc.	**LEI:** 254900LFDLDW2GHJNH94	GEORGIA	UNITED STATES OF AMERICA	No	No
#144	Carty, Harding & Hearn, Inc.	**LEI:** 2549004VW1160A0HAR55	TENNESSEE	UNITED STATES OF AMERICA	No	No
#145	Cary Street Partners LLC	**LEI:** 254900YGFVTXY09BE254	VIRGINIA	UNITED STATES OF AMERICA	No	No
#146	Centaurus Financial, Inc.	**LEI:** 254900K4TJOGEWBQIY27	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#147	Centennial Securities Company, Inc.	**LEI:** 5493003M2XPY7LFS1Y68	MICHIGAN	UNITED STATES OF AMERICA	No	No

#148	Center Street Securities, Inc.	**Other:** 8-42786 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#149	Centerpoint Advisors, LLC	**Other:** 801-72619 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#150	Centurion Wealth Management LLC	**Other:** 801-123007 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#151	Ceros Financial Services Inc.	**LEI:** 549300N2YQ0P5G0WE562	MARYLAND	UNITED STATES OF AMERICA	No	No
#152	Cetera Advisors LLC	**LEI:** 254900PROFHEKU7BJQ91	COLORADO	UNITED STATES OF AMERICA	No	No
#153	Cetera Financial Specialists LLC	**LEI:** 254900V4WKII1YERRM61	ILLINOIS	UNITED STATES OF AMERICA	No	No
#154	Cetera Investment Services LLC	**LEI:** 254900HBKNJ13M56N432	MINNESOTA	UNITED STATES OF AMERICA	No	No
#155	Cetera Wealth Services, LLC	**LEI:** 254900YLB6K8UJ29BI56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#156	Chapin Davis Inc.	**LEI:** 25490038A617EVS53N84	MARYLAND	UNITED STATES OF AMERICA	No	No
#157	Charles Schwab & Co., Inc.	**LEI:** 549300ZP8XN77GK5BS04	TEXAS	UNITED STATES OF AMERICA	No	Yes
#158	Charles Schwab Bank, SSB (San Francisco, CA, US, Branch)	**LEI:** 549300INFJ8TYNZ1G568	CALIFORNIA	UNITED STATES OF AMERICA	No	Yes
#159	Chauner Securities, Inc.	**Other:** 8-33980 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#160	Chelsea Morgan Securities, Inc.	**LEI:** 984500F4DE084EE76B68	NEW YORK	UNITED STATES OF AMERICA	No	No
#161	Cibest Capital Securities, LLC	**LEI:** 25490051GIQ3D8QQR978	FLORIDA	UNITED STATES OF AMERICA	No	No
#162	Citigroup Global Markets Inc.	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	No	No
#163	Citizens Bank	**Other:** 38-0421450 (Tax ID)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#164	Citizens Securities, Inc.	**LEI:** 2138006RAPI5PE2ZGW36	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#165	City National Bank	**LEI:** 593C3GZG957YOJPS2Z63	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#166	Classic, LLC	**Other:** 8-68981 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#167	Clearstead Advisors, LLC	**LEI:** 549300CYW1YPZG7GYG08	OHIO	UNITED STATES OF AMERICA	No	No
#168	Coinbase Capital Markets Corporation	**Other:** 8-28032 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#169	Coker & Palmer, Inc.	**LEI:** 254900V1KTPDN88TDS68	MISSISSIPPI	UNITED STATES OF AMERICA	No	No

#170	Coldstream Securities, Inc.	**Other:** 8-51549 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#171	Colliers Securities LLC	**LEI:** 549300OD1C69R64IVC38	MINNESOTA	UNITED STATES OF AMERICA	No	No
#172	Colorado Financial Service Corporation	**Other:** 8-52817 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#173	Comerica Securities, Inc.	**LEI:** 5493009QV211JEW7ZV59	MICHIGAN	UNITED STATES OF AMERICA	No	No
#174	Commonwealth Equity Services, LLC	**LEI:** 254900TMHIZZ1AGR7A95	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#175	Composition Wealth, LLC	**Other:** 801-74711 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#176	Concorde Investment Services, LLC	**LEI:** 254900UPFKWIQ1I0NB45	MICHIGAN	UNITED STATES OF AMERICA	No	No
#177	Conduent HR Services, LLC	**Other:** 84-06035 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#178	Consolidated Financial Investments, Inc.	**LEI:** 2549008IJ08UJF7L0Y74	MISSOURI	UNITED STATES OF AMERICA	No	No
#179	Coordinated Capital Securities, Inc.	**LEI:** 2549004AWJ6D45F50W59	WISCONSIN	UNITED STATES OF AMERICA	No	No
#180	Copper Ridge Wealth Management, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#181	Corecap Investments, LLC	**Other:** 8-47783 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#182	Corinthian Partners, L.L.C.	**LEI:** 2549003APAYWT64H4S14	NEW YORK	UNITED STATES OF AMERICA	No	No
#183	Country Club Financial Services, Inc.	**Other:** 8-44574 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#184	CreativeOne Securities, LLC	**LEI:** 254900PY8FJ4MQXWPC43	KANSAS	UNITED STATES OF AMERICA	No	No
#185	Cresap, Inc.	**LEI:** 25490074HGQPJW2BN807	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#186	Crescent Securities Group, Inc.	**Other:** 8-53457 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#187	Crews and Associates, Inc.	**LEI:** 5493001BWSV3E82LZ446	ARKANSAS	UNITED STATES OF AMERICA	No	No
#188	Croak Asset Management, LLC	**Other:** 801-126464 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#189	Cyndeo Wealth Partners, LLC	**Other:** 801-118839 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#190	D. Boral Capital LLC	**LEI:** 549300UWJ7P2ZJHP2C54	NEW YORK	UNITED STATES OF AMERICA	No	No
#191	D. H. Hill Securities, LLLP	**Other:** 8-49475 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#192	D.A. Davidson & Co.	**LEI:** 549300094RQ5A7DYLF51	MONTANA	UNITED STATES OF AMERICA	No	No

#193	D.M. Kelly & Company	**LEI:** 254900MPA2M5G6DL5C63	IOWA	UNITED STATES OF AMERICA	No	No
#194	DAYMARK WEALTH PARTNERS, LLC	**Other:** 801-124936 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#195	DFPG Investments, LLC	**Other:** 8-68730 (SEC File Number)	UTAH	UNITED STATES OF AMERICA	No	No
#196	DMK Advisor Group, Inc.	**Other:** 8-49279 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#197	DWS Distributors, Inc.	**LEI:** 5299007T18XBURKJ1V64	ILLINOIS	UNITED STATES OF AMERICA	No	No
#198	Darwood Associates, Incorporated	**LEI:** 254900JY4AOLP7RL3S42	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#199	Davenport & Company LLC	**LEI:** 254900GN2SAXJGLMS075	VIRGINIA	UNITED STATES OF AMERICA	No	No
#200	David Lerner Associates, Inc.	**LEI:** 254900R5MXRL07L7S741	NEW YORK	UNITED STATES OF AMERICA	No	No
#201	Davinci Capital Management, Inc.	**LEI:** 254900SXIK5KJMORLM97	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#202	Dempsey Lord Smith, LLC	**Other:** 8-67469 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#203	Deutsche Bank Securities Inc.	**LEI:** 9J6MBOOO7BECTDTUZW19	NEW YORK	UNITED STATES OF AMERICA	No	No
#204	Digital Retirement Solutions, Inc.	**Other:** 84-1477138 (Tax ID)	COLORADO	UNITED STATES OF AMERICA	No	Yes
#205	Dinosaur Financial Group, LLC	**LEI:** 549300CCV3H232GBUN83	NEW YORK	UNITED STATES OF AMERICA	No	No
#206	Diversified Resources, LLC	**Other:** 8-45497 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#207	Dominari Securities LLC	**Other:** 8-37105 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#208	Dorn & Co., Inc.	**LEI:** 2549009B1MFIEMKD8226	MINNESOTA	UNITED STATES OF AMERICA	No	No
#209	E*TRADE Savings Bank	**LEI:** 549300DXPO50FJ75QA85	VIRGINIA	UNITED STATES OF AMERICA	No	Yes
#210	E*TRADE Securities LLC	**LEI:** 549300PJRJFMBCDPWR57	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#211	E.E. Powell & Company, Inc.	**Other:** 8-1893 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#212	EKG Holdings, LLC	**Other:** 801-60158 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#213	Eagles Coast Wealth Management, LLC	**Other:** 801-127317 (SEC File Number)	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	No
#214	Econ Financial Services Corporation	**Other:** 801-104471 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#215	Edward D. Jones & Co., L.P.	**LEI:** YZRCLX72FTV74B522G90	MISSOURI	UNITED STATES OF AMERICA	No	No

#216	Elmwood Wealth Management Inc.	**Other:** 801-110782 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#217	Emergent Wealth Advisors, LLC	**Other:** 801-106909 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#218	Emerson Equity LLC	**Other:** 8-66296 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#219	Empire Asset Management Company, LLC	**Other:** 8-67520 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#220	Empower Financial Services, Inc.	**LEI:** 2549007XXRLHYPAH8E93	COLORADO	UNITED STATES OF AMERICA	No	Yes
#221	Equitable Advisors, LLC	**Other:** 801-14065 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#222	Equity Services, Inc.	**LEI:** 2549008YX0QHY7OSQ642	VERMONT	UNITED STATES OF AMERICA	No	No
#223	Essex Securities LLC	**LEI:** 254900RAMRWZOR870Q30	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#224	Essex, L.L.C.	**Other:** 801-54274 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#225	Etico Partners, LLC	**LEI:** 254900YC5I0IY6GSBI85	NEW YORK	UNITED STATES OF AMERICA	No	No
#226	Excel Securities & Associates, Inc.	**Other:** 8-34261 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#227	Exeter Trust Company	**Other:** 28-04279 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#228	FMN Capital Corporation	**Other:** 8-48082 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#229	FMSbonds, Inc.	**LEI:** 549300TUTBK58NSF2517	FLORIDA	UNITED STATES OF AMERICA	No	No
#230	FNBB Capital Markets, L.L.C.	**LEI:** 254900MS172IV1AF0152	ALABAMA	UNITED STATES OF AMERICA	No	No
#231	FSB Premier Wealth Management, Inc.	**Other:** 8-44865 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	No
#232	FSM Wealth Advisors, LLC	**Other:** 801-114180 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#233	Fairport Capital, Inc.	**Other:** 8-32162 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#234	Farmers Financial Solutions, LLC	**Other:** 8-52361 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#235	Fearless Solutions LLC	**Other:** 801-113562 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#236	Federated Securities, Inc.	**LEI:** 254900CZOWOQ888UCW51	NEW YORK	UNITED STATES OF AMERICA	No	No
#237	Feldstein Financial Group, L.L.C.	**LEI:** 984500954AF9BCEAB832	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#238	Feltl and Company, Inc.	**LEI:** 254900GR71B16CDY4H72	MINNESOTA	UNITED STATES OF AMERICA	No	No
#239	Fidelity Brokerage Services LLC	**LEI:** 549300OQFQ4NFIOD5695	RHODE ISLAND	UNITED STATES OF AMERICA	No	Yes
#240	Fidelity Investments Institutional Operations Company LLC	**LEI:** 549300XVSM8LN3LQOK63	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#241	Fidelity Investments Life Insurance Company	**LEI:** 54930024AKTQGTIV1P93	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#242	Fiduciary Trust Company International	**LEI:** N1YKEWO2IYPRS4742F57	NEW YORK	UNITED STATES OF AMERICA	No	No
#243	Fifth Third Bank, National Association	**LEI:** QFROUN1UWUYU0DVIWD51	OHIO	UNITED STATES OF AMERICA	No	No
#244	Fifth Third Securities, Inc.	**LEI:** 5493003IMO3TYX51WE43	OHIO	UNITED STATES OF AMERICA	No	No
#245	Financial Counseling, Inc.	**Other:** 0000744820 (CIK)	OHIO	UNITED STATES OF AMERICA	No	No
#246	Financial Northeastern Securities, Inc.	**LEI:** 549300QRRF2NAV5G3869	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#247	First Asset Financial Inc.	**LEI:** 8945001HFJ76H9Z0JV49	KANSAS	UNITED STATES OF AMERICA	No	No
#248	First Bankers' Banc Securities, Inc.	**LEI:** 549300XZ7YYT3Y0SU530	MISSOURI	UNITED STATES OF AMERICA	No	No
#249	First Citizens Investor Services, Inc.	**LEI:** 254900AD3LRK7LR2H180	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#250	First Command Brokerage Services, Inc.	**LEI:** 2549008TLEPVROORLM26	TEXAS	UNITED STATES OF AMERICA	No	No
#251	First Financial Securities of America, Inc.	**Other:** 8-29565 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#252	First Heartland Capital, Inc.	**LEI:** 2549008C7IPJKP95HD04	MISSOURI	UNITED STATES OF AMERICA	No	No
#253	First Honolulu Securities, Inc.	**LEI:** 984500AA1E02EV01FF21	HAWAII	UNITED STATES OF AMERICA	No	No
#254	First Horizon Advisors, Inc.	**LEI:** 254900D31F2C8IUP5863	TENNESSEE	UNITED STATES OF AMERICA	No	No
#255	First Kentucky Securities Corporation	**LEI:** 254900HOO7I4XDKBMS38	KENTUCKY	UNITED STATES OF AMERICA	No	No
#256	First Manhattan Co.	**LEI:** 549300NNJKVSO48I3G76	NEW YORK	UNITED STATES OF AMERICA	No	No
#257	First National Bank Alaska	**LEI:** 25490089V5DJHFQMOA03	ALASKA	UNITED STATES OF AMERICA	No	No
#258	First Southern LLC	**LEI:** 5493006LKFHMTRXT7796		PUERTO RICO	No	No
#259	First Western Securities, Inc.	**LEI:** 2549009YFC6T1W1TUJ22	TEXAS	UNITED STATES OF AMERICA	No	No

#260	Flagstar Advisors, Inc.	**LEI:** 254900KRZU45UT6QSG35	NEW YORK	UNITED STATES OF AMERICA	No	No
#261	Focus Partners Wealth, LLC	**LEI:** 549300KSBRB2D8PZE641	MISSOURI	UNITED STATES OF AMERICA	No	No
#262	Folger Nolan Fleming Douglas Incorporated	**LEI:** 254900DD93O7YH65O708	DISTRICT OF COLUMBIA	UNITED STATES OF AMERICA	No	No
#263	Folio Investments, Inc.	**RSSD ID:** 0005537864	VIRGINIA	UNITED STATES OF AMERICA	No	No
#264	Fortune Financial Services, Inc.	**Other:** 8-49727 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#265	Founders Financial Securities, LLC	**Other:** 8-67137 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#266	FountainHead Advisors	**Other:** 801-79472 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#267	Fourth Dimension Wealth, LLC	**Other:** 801-127881 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#268	Frazier Financial Advisors, LLC	**Other:** 801-50432 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#269	G. A. Repple & Company	**LEI:** 254900ZNAXJ929I0ON78	FLORIDA	UNITED STATES OF AMERICA	No	No
#270	GLP Investment Services, LLC	**Other:** 8-41868 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#271	GRF Capital Investors, Inc.	**Other:** 8-41494 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#272	GWN Securities, Inc.	**LEI:** 254900139Q66OXFMH204	FLORIDA	UNITED STATES OF AMERICA	No	No
#273	Gainline Financial Partners, LLC	**Other:** 801-128065 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#274	Garden State Securities Inc.	**Other:** 8-25790 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#275	Gem-Young Wealth Advisors, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#276	Geneos Wealth Management, Inc.	**LEI:** 894500EFNMKBJG7OTY43	COLORADO	UNITED STATES OF AMERICA	No	No
#277	General Securities Corp.	**Other:** 8-31654 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#278	Genworth Life Insurance Company of New York	**LEI:** E5VAS7I8GX5B0SDBX010	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#279	Genworth Life and Annuity Insurance Company	**LEI:** TAI340D9BWT9R77O0P03	VIRGINIA	UNITED STATES OF AMERICA	No	No
#280	Gill Capital Partners, LLC	**LEI:** 894500OM9KZAI4W9RQ45	COLORADO	UNITED STATES OF AMERICA	No	No
#281	Girard Investment Services, LLC	**Other:** 8-14145 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No

#282	Gladowsky Capital Management, Corp.	**Other:** 8-51017 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#283	Glen Eagle Wealth LLC	**LEI:** 549300KIBM3JOKOD9P59	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#284	Global Brokerage Services Ltd.	**Other:** 8-47763 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#285	Global Retirement Partners, LLC	**Other:** 801-80074 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#286	Globalink Securities, Inc	**Other:** 8-44509 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#287	Gold Coast Securities, Inc.	**Other:** 8-53148 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#288	Goldman Sachs & Co. LLC	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	No	No
#289	Goodstein Wealth Management LLC	**Other:** 95-4891082 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#290	Gradient Securities, LLC	**LEI:** 254900M9AIHG98K6AU71	MINNESOTA	UNITED STATES OF AMERICA	No	No
#291	Grant Williams L.P.	**Other:** 8-51249 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#292	Great American Investors, Inc.	**Other:** 8-44380 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#293	Great Pacific Securities	**LEI:** 254900QRZ90SUI8C4W84	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#294	Great Plains Financial Services, LLP	**Other:** 8-49718 (SEC File Number)	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#295	Great Point Capital LLC	**LEI:** 254900HN4IGCO53HDK23	ILLINOIS	UNITED STATES OF AMERICA	No	No
#296	Gregory J. Schwartz & Co., Inc.	**LEI:** 254900DCGZMC5RY8IR63	MICHIGAN	UNITED STATES OF AMERICA	No	No
#297	Griffinest Asia Securities, LLC	**LEI:** 2549006RDLDJCTV0QQ93	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#298	Grove Point Investments, LLC	**LEI:** 254900BIGMFDRRISXS73	MARYLAND	UNITED STATES OF AMERICA	No	No
#299	Grubb Wealth Management LLC	**Other:** 82-1435002 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#300	H. C. Denison Co.	**Other:** 8-00044 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#301	HSBC Securities (USA) Inc.	**LEI:** CYYGQCGNHMHPSMRL3R97	NEW YORK	UNITED STATES OF AMERICA	No	No
#302	Halcyon Global Advisors, LLC	**Other:** 801-118182 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#303	Halliday Financial, LLC	**LEI:** 254900YKEGBDZYLRD339	NEW YORK	UNITED STATES OF AMERICA	No	No

#304	Hancock Whitney Investment Services, Inc.	**LEI:** 254900PJ7SNKY PK21W02	LOUISIANA	UNITED STATES OF AMERICA	No	No
#305	Hand Securities, Inc.	**Other:** 8-51001 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#306	Hanson McClain Retirement Network, LLC	**Other:** 8-52250 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#307	Hantz Financial Services, Inc.	**LEI:** 984500E8P0CC8 CADF802	MICHIGAN	UNITED STATES OF AMERICA	No	No
#308	Harbor Investment Advisory, LLC	**LEI:** 2549001NMJH7O VJ19562	MARYLAND	UNITED STATES OF AMERICA	No	No
#309	Harbour Investments, Inc	**LEI:** 2549004A1DKHR 2AIBX69	WISCONSIN	UNITED STATES OF AMERICA	No	No
#310	Harold W. Dance, Inc.	**Other:** 8-12160 (SEC F ile Number)	UTAH	UNITED STATES OF AMERICA	No	No
#311	Hartfield Financial and Insurance Services, Inc.	—	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#312	Hartford Funds Management Company, LLC	**LEI:** 549300P3DI8LO UAPBT80	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#313	Hazard & Siegel, Inc.	**Other:** 8-13942 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#314	Hazlett, Burt & Watson, Inc.	**LEI:** 254900KJ5ULWY ZPZC855	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No
#315	Healthcare Community Securities Corp.	**Other:** 8-46981 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#316	Heim, Young & Associates, Inc.	**Other:** 8-48500 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#317	Henley & Company LLC	**LEI:** 6488D6CB3W706 F8N4G96	NEW YORK	UNITED STATES OF AMERICA	No	No
#318	Hennion & Walsh, Inc.	**LEI:** 2549007B0CCUS X9P2580	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#319	Herbert J Sims & Co. Inc.	**LEI:** 254900SV6UESQ BS8XP98	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#320	Herndon Plant Oakley Ltd.	**LEI:** 2549003M0ZS0M 4039A69	TEXAS	UNITED STATES OF AMERICA	No	No
#321	Herold & Lantern Investments, Inc.	**LEI:** 254900J6QB9C3 UNBJJ49	NEW YORK	UNITED STATES OF AMERICA	No	No
#322	Hexagon Capital Partners, LLC	**Other:** 801-117628 (SE C File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#323	Hickory Asset Management Inc.	**Other:** 801-78647 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#324	HighTower Securities, LLC	**LEI:** 549300F189LKW DZLP954	ILLINOIS	UNITED STATES OF AMERICA	No	No
#325	Hilltop Securities Inc.	**LEI:** 549300IXU82PM U6XZT45	TEXAS	UNITED STATES OF AMERICA	No	No

#326	Holistic Brokerage, LLC	**LEI:** 254900EMZBEIM1FAO022	FLORIDA	UNITED STATES OF AMERICA	No	No
#327	Horace Mann Investors, Inc.	**LEI:** 254900OFJVU7T8WTK224	ILLINOIS	UNITED STATES OF AMERICA	No	No
#328	Horace Mann Life Insurance Company	**LEI:** 5493000HR2JKKNH2FL09	ILLINOIS	UNITED STATES OF AMERICA	No	No
#329	Horizon Family Wealth, Inc.	**Other:** 801-122217 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#330	Hornor, Townsend & Kent, LLC	**LEI:** 254900IE9TOO27A3IT11	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#331	Horst & Graben Wealth Management, LLC	**Other:** 801-113498 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#332	Hudson Heritage Capital Management Inc.	**Other:** 8-50648 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#333	Hunter Associates, Inc.	**Other:** 8-44779 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#334	Huntleigh Securities Corporation	**LEI:** 894500C7FPHBY5AKXH71	MISSOURI	UNITED STATES OF AMERICA	No	No
#335	IDB Capital Corp.	**LEI:** 254900SH3QL0IL3S9R34	NEW YORK	UNITED STATES OF AMERICA	No	No
#336	IFP Securities, LLC	**LEI:** 254900ZB74KAVA7EZG50	FLORIDA	UNITED STATES OF AMERICA	No	No
#337	ING Financial Markets LLC	**LEI:** KBVRJ5K57JZ3E2AVWX40	NEW YORK	UNITED STATES OF AMERICA	No	No
#338	Impact U. Investments, LLC	**Other:** 8-65527 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#339	InSight Securities, Inc.	**LEI:** 2549007I5MCG270G9341	ILLINOIS	UNITED STATES OF AMERICA	No	No
#340	Independence Capital Co., Inc.	**Other:** 8-41331 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#341	Independent Brokerage Solutions LLC	**Other:** 8-68549 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#342	Independent Financial Group, LLC	**LEI:** 254900KYWXHSQ7RMNP09	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#343	Indie Asset Partners, LLC	**Other:** 801-71728 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#344	Infinity Securities, Inc.	**Other:** 8-67647 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#345	Innovation Partners, LLC	**LEI:** 549300IEQ78ON1HMTU71	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#346	Insigneo Securities, LLC	**LEI:** 254900P4TTO6PU1VDH88	FLORIDA	UNITED STATES OF AMERICA	No	No
#347	Institutional Securities Corporation	**LEI:** 2549007EJ1PSLA8XVA50	TEXAS	UNITED STATES OF AMERICA	No	No

#348	Integral Financial LLC	**LEI:** 2549000I2CBZTJRHG786	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#349	Integrated Financial Planning Services	**Other:** 8-35120 (SEC File Number)		GERMANY	No	No
#350	Integrated Wealth Concepts LLC	**Other:** 801-108179 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#351	Integrity Alliance, LLC	**LEI:** 254900Q5F0OO7ED3IF88	IOWA	UNITED STATES OF AMERICA	No	No
#352	Integrity Investments, Inc.	**Other:** 8-45302 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#353	Interactive Brokers LLC	**LEI:** 50OBSE5T5521O6SMZR28	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#354	Intercarolina Financial Services, Inc.	**Other:** 8-37519 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#355	International Assets Advisory, LLC	**LEI:** 254900ARMOHQNS987S09	FLORIDA	UNITED STATES OF AMERICA	No	No
#356	International Money Management Group, Inc.	**Other:** 8-30417 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#357	International Research Securities, Inc.	**Other:** 8-37954 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#358	Inverness Securities, LLC	**Other:** 8-66278 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#359	Invest Capital Partners Co.	**Other:** 801-110218 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#360	Investment Placement Group	**LEI:** 5493005L3RL45FY4HR07	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#361	Investment Planners, Inc.	**LEI:** 25490063PHERZ2CN1P35	ILLINOIS	UNITED STATES OF AMERICA	No	No
#362	Investment Security Corporation	**Other:** 8-51832 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#363	Investors Brokerage of Texas, Ltd.	**Other:** 8-28644 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#364	Invex, LLC	**LEI:** NPOTUCXQYGXX5PO6VH74	FLORIDA	UNITED STATES OF AMERICA	No	No
#365	Invicta Capital LLC	**LEI:** 549300QY87LR84LRLL97	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#366	Itau International Securities Inc.	**LEI:** 54930086LDFU8Z86AH91	FLORIDA	UNITED STATES OF AMERICA	No	No
#367	J. Alden Associates, Inc.	**LEI:** 9845009CK3DFC8FD8F57	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#368	J. D. Seibert & Co., Inc.	**Other:** 8-23604 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#369	J.P. Morgan Institutional Investments Inc.	**Other:** 8-52182 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No

#370	J.P. Morgan Securities LLC	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	No	No
#371	J.W. Cole Financial, Inc.	**LEI:** 254900ST419TNL4ZV768	FLORIDA	UNITED STATES OF AMERICA	No	No
#372	JHW Financial Services, Inc.	**Other:** 8-45304 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#373	JPMorgan Chase Bank, National Association	**LEI:** 7H6GLXDRUGQFU57RNE97	OHIO	UNITED STATES OF AMERICA	No	No
#374	Jack V. Butterfield Investment Company	**LEI:** 254900ZEXNDA9UIJ5L74	MICHIGAN	UNITED STATES OF AMERICA	No	No
#375	Jackson Square Capital LLC	**Other:** 801-114780 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#376	Jacques Financial, LLC	**Other:** 8-52675 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	No
#377	James A. Schmidt, Inc.	—	NORTH DAKOTA	UNITED STATES OF AMERICA	No	No
#378	James I. Black & Company	**Other:** 8-12077 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#379	James Reed Financial Services Inc.	**Other:** 801-35022 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#380	Janney Montgomery Scott LLC	**Other:** 8-00462 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#381	Jefferies LLC	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	No	No
#382	Jessup Wealth Management Inc.	**Other:** 801-127039 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#383	John Hancock Life Insurance Company	**LEI:** QQ0OZ8J9C4B5QT1XDG31	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#384	John Hancock Life Insurance Company of New York	**LEI:** 5493007RYG4GXIKSQI18	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#385	John Hancock Trust Company LLC	**LEI:** 549300W205WZCFZS6R51	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#386	Johnstone Brokerage Services LLC	**Other:** 8-70335 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#387	Joseph Gunnar & Co., L.L.C.	**LEI:** 2549001XBRI5XQ0ZDA12	NEW YORK	UNITED STATES OF AMERICA	No	No
#388	Journey Strategic Wealth, LLC	**Other:** 86-1197123 (Tax ID)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#389	KCD Financial, Inc.	**Other:** 8-66005 (SEC File Number)	WISCONSIN	UNITED STATES OF AMERICA	No	No
#390	Keel Point Capital, LLC	**Other:** 8-22990 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#391	Kenai Investments, Inc.	**Other:** 47-0909661 (Tax ID)	TEXAS	UNITED STATES OF AMERICA	No	No
#392	Kestra Investment Services, LLC	**LEI:** 254900OIXK3UYDO8MT27	TEXAS	UNITED STATES OF AMERICA	No	No

#393	Key Investment Services LLC	**LEI:** 254900ZGGF90Q ZZZQH86	OHIO	UNITED STATES OF AMERICA	No	No
#394	Kingsview Wealth Management LLC	**Other:** 801-79198 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#395	Kingswood Capital Partners LLC	**LEI:** 5493000S7S0ZD3 E40797	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#396	Kleinfelder Capital, Inc.	**LEI:** 254900ZKQDTF3 OMOD822	OHIO	UNITED STATES OF AMERICA	No	No
#397	Kohmann Bosshard Financial Services, LLC	**Other:** 801-79520 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#398	Kovack Securities Inc.	**LEI:** 25490070RG17Z4 I70I82	FLORIDA	UNITED STATES OF AMERICA	No	No
#399	L. B. Fisher & Company	**LEI:** 254900YJ6NUEZ M6UD642	TEXAS	UNITED STATES OF AMERICA	No	No
#400	L.M. Kohn & Company	**LEI:** 254900JD9EVUF 44MV952	OHIO	UNITED STATES OF AMERICA	No	No
#401	L.O. Thomas & Co., Inc.	**Other:** 8-40875 (SEC F ile Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#402	L.S.Y. Incorporated	**Other:** 8-17613 (SEC F ile Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#403	LPL Enterprise, LLC	**Other:** 8-26037 (SEC F ile Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#404	LPL Financial LLC	**LEI:** 5493005NM7F0H 1N3EQ39	SOUTH CAROLINA	UNITED STATES OF AMERICA	No	Yes
#405	LaSalle St. Securities, L.L.C.	**LEI:** 254900T7U4ODG 86YRV13	ILLINOIS	UNITED STATES OF AMERICA	No	No
#406	Ladenburg Thalmann & Co. Inc.	**LEI:** 2549000V3L2KK 4L76W91	NEW YORK	UNITED STATES OF AMERICA	No	No
#407	Laidlaw & Company (UK) Ltd.	**Other:** 8-53731 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#408	Landaas & Company, LLC	**LEI:** 254900LFYC5GQ ZAP0D95	WISCONSIN	UNITED STATES OF AMERICA	No	No
#409	Landolt Securities, Inc.	**LEI:** 254900B2XEQ2H ZGN7K90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#410	Larson Financial Securities, LLC	**Other:** 8-68456 (SEC F ile Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#411	Latin Securities, Inc	**LEI:** 254900V2MWBB K9DYYL43	FLORIDA	UNITED STATES OF AMERICA	No	No
#412	Lebenthal Financial Services, Inc.	**Other:** 8-67140 (SEC F ile Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#413	Leigh Baldwin & Co., L.L.C.	**LEI:** 254900VBGH6D4 OHYNJ20	NEW YORK	UNITED STATES OF AMERICA	No	No
#414	Leo Brokerage, LLC	**Other:** 8-53487 (SEC F ile Number)	TEXAS	UNITED STATES OF AMERICA	No	No

#415	Lesko Securities, Inc.	**LEI:** 98450086F3AB2ABZ5A80	NEW YORK	UNITED STATES OF AMERICA	No	No
#416	Liberty Capital Investment Corp.	**LEI:** 98450098E667LD5FD267	OREGON	UNITED STATES OF AMERICA	No	No
#417	Liberty Partners Financial Services, LLC	**Other:** 8-66335 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#418	Lieblong & Associates, Inc.	**LEI:** 254900DASKK9V7FBYP06	ARKANSAS	UNITED STATES OF AMERICA	No	No
#419	LifeMark Securities Corp.	**Other:** 8-33478 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#420	Lincoln Financial Distributors, Inc.	**Other:** 8-13431 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#421	Lincoln Investment Planning, LLC	**LEI:** 254900WK1GTEJ8AS4N40	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#422	Lincoln-Douglas Investments, LLC	**LEI:** 25490057YDFRAH56UO25	OHIO	UNITED STATES OF AMERICA	No	No
#423	Lion Street Financial, LLC	**LEI:** 254900G8BGZY1HPZA260	TEXAS	UNITED STATES OF AMERICA	No	No
#424	Lockton Investment Securities, LLC	**Other:** 8-67090 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#425	Lombard Securities, Incorporated	**LEI:** 254900OWKZUSTK85YL73	MARYLAND	UNITED STATES OF AMERICA	No	No
#426	M Holdings Securities, Inc.	**Other:** 8-50214 (SEC File Number)	OREGON	UNITED STATES OF AMERICA	No	No
#427	M&T Securities, Inc.	**LEI:** 254900VRUF9FN7AZI864	NEW YORK	UNITED STATES OF AMERICA	No	No
#428	M. E. Allison & Co., Inc.	**LEI:** 2549001B1UO62MZQWQ16	TEXAS	UNITED STATES OF AMERICA	No	No
#429	M.S. Howells & Co.	**LEI:** 549300ZY1ODMQ4MPJT53	ARIZONA	UNITED STATES OF AMERICA	No	No
#430	MCF Advisors, LLC	**Other:** 801-62765 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#431	MGO Securities Corp.	**Other:** 8-47814 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#432	MMA Securities LLC	**Other:** 8-50591 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#433	MMC Securities LLC	**LEI:** 2549001ZA93O65N2ZM60	NEW YORK	UNITED STATES OF AMERICA	No	No
#434	MML Distributors, LLC	**Other:** 8-48203 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#435	MML Investors Services, LLC	**Other:** 8-27250 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#436	MSEC, LLC	**LEI:** 2549009EK3GVO5B3DK31	KANSAS	UNITED STATES OF AMERICA	No	No
#437	MWA Financial Services, Inc.	**Other:** 8-53255 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No

#438	Mack Investment Securities, Inc.	**LEI:** 2549007BNA9YEYMHV582	ILLINOIS	UNITED STATES OF AMERICA	No	No
#439	Madison Avenue Securities, LLC	**LEI:** 254900JGGT1DFIVNXV29	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#440	Maine Securities Corporation	**Other:** 01-0411722 (Tax ID)	MAINE	UNITED STATES OF AMERICA	No	No
#441	Mandalay Financial, L.L.C	**Other:** 801-79515 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#442	Maplewood Investments, Inc.	**LEI:** 254900OV4DRKW45OVM17	TEXAS	UNITED STATES OF AMERICA	No	No
#443	Marquette Associates, Inc.	**LEI:** 254900VT8C7UGBU3Q268	ILLINOIS	UNITED STATES OF AMERICA	No	No
#444	Massachusetts Mutual Life Insurance Company	**LEI:** R6ZXK5P01NP6HXSY1S07	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#445	Maxim Group LLC	**LEI:** 254900OJ6JZO6SDMHQ83	NEW YORK	UNITED STATES OF AMERICA	No	No
#446	McClurg Capital Corporation	**Other:** 8-34473 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#447	McDonald Partners LLC	**LEI:** 25490074FL2HJWWGTT19	OHIO	UNITED STATES OF AMERICA	No	No
#448	McLaughlin Ryder Investments, Inc.	**LEI:** 984500CYE7AB0AB05316	VIRGINIA	UNITED STATES OF AMERICA	No	No
#449	Mcnally Financial Services Corporation	**LEI:** 64886UAP9HGN963U1412	TEXAS	UNITED STATES OF AMERICA	No	No
#450	Merrill Lynch, Pierce, Fenner & Smith Incorporated	**LEI:** 8NAV47T0Y26Q87Y0QP81	NEW YORK	UNITED STATES OF AMERICA	No	No
#451	Mesirow Financial, Inc.	**LEI:** 549300BIV46SUHPOFE54	ILLINOIS	UNITED STATES OF AMERICA	No	No
#452	Michigan Securities Inc.	**Other:** 8-52094 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#453	Mid Atlantic Clearing & Settlement Corporation	**Other:** 8-47758 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#454	Middlegate Securities Inc.	**LEI:** 549300ZVONUQ845QCH95	NEW YORK	UNITED STATES OF AMERICA	No	No
#455	Midland Securities, Ltd.	**LEI:** 529900IXURYW83J75853	TEXAS	UNITED STATES OF AMERICA	No	No
#456	Midwestern Securities Trading Company, LLC	**LEI:** 984500A64FEECC3D0289	ILLINOIS	UNITED STATES OF AMERICA	No	No
#457	Moloney Securities Co., Inc.	**LEI:** 25490042HOE0XS8CJK02	MISSOURI	UNITED STATES OF AMERICA	No	No
#458	Monere Investments, Inc.	**LEI:** 2549004LPCIR92BLYF90	ILLINOIS	UNITED STATES OF AMERICA	No	No
#459	Monex Securities, Inc.	**LEI:** 254900VTZ3HYHNEJRX35	TEXAS	UNITED STATES OF AMERICA	No	No

#460	Money Concepts Capital Corp.	**LEI:** 254900JQQUEJA1JTSV80	FLORIDA	UNITED STATES OF AMERICA	No	No
#461	Moors & Cabot, Inc.	**LEI:** 254900SDQ5IONENQ7U67	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#462	Morgan Stanley & Co. LLC	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	No	No
#463	Morgan Stanley Smith Barney LLC	**LEI:** 7PDDXEMZ0ZV0CEDU4D16	NEW YORK	UNITED STATES OF AMERICA	No	No
#464	Morris Group Inc	**Other:** 35-1546402 (Tax ID)	INDIANA	UNITED STATES OF AMERICA	No	No
#465	Muriel Siebert & Co., LLC	**LEI:** 254900ILZFIE2ULRPV24	NEW YORK	UNITED STATES OF AMERICA	No	No
#466	Mutual Funds Associates, Inc.	**Other:** 8-13026 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#467	Mutual Securities, Inc., of California	**LEI:** 254900UQFSLK9OUNAC76	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#468	Mutual of Omaha Investor Services, Inc.	**LEI:** 254900CK4E2WAKF02156	NEBRASKA	UNITED STATES OF AMERICA	No	No
#469	N.E. Private Client, Ltd.	**Other:** 8-66968 (SEC File Number)	RHODE ISLAND	UNITED STATES OF AMERICA	No	No
#470	N.I.S. Financial Services, Inc.	**Other:** 8-15919 (SEC File Number)	MISSOURI	UNITED STATES OF AMERICA	No	No
#471	NBC Securities, Inc.	**LEI:** 254900GIP7RJQGHH5S19	ALABAMA	UNITED STATES OF AMERICA	No	No
#472	NEXT Financial Group, Inc.	**LEI:** 254900NFAQDKCSX9AQ94	TEXAS	UNITED STATES OF AMERICA	No	No
#473	NYLIFE Distributors LLC	**Other:** 8-46655 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#474	NYLIFE Securities LLC	**LEI:** 984500C0TD56612CD832	NEW YORK	UNITED STATES OF AMERICA	No	No
#475	National Financial Services LLC	**LEI:** 549300JRHF1MHHWUAW04	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes
#476	Nations Financial Group, Inc.	**LEI:** 254900HOL6RBY9ANE852	IOWA	UNITED STATES OF AMERICA	No	No
#477	Nationwide Financial Services, Inc.	**LEI:** 5493001H7AZNDS6BKJ36	OHIO	UNITED STATES OF AMERICA	No	Yes
#478	Nationwide Planning Associates Inc.	**LEI:** 25490085YW1UXUH7ES74	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#479	Nationwide Securities, LLC	**Other:** 8-12500 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#480	Navaid Financial Services, Inc.	**LEI:** 894500EF6ZX0MI81VA88	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#481	Navy Federal Investment Services, LLC	**Other:** 8-67161 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#482	Nelson Ivest Brokerage Services, Inc.	**Other:** 8-26448 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No

#483	Nest Investments BD LLC	**Other:** 8-70117 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#484	Nestlerode & Loy, Inc.	**Other:** 8-12629 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#485	Neuberger Berman BD LLC	**LEI:** PWDS3JJ631D5N70JXG61	NEW YORK	UNITED STATES OF AMERICA	No	No
#486	NewEdge Securities, LLC	**LEI:** 549300HJL2LPNSC0JX96	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#487	Newport Investment Advisors, Inc.	**Other:** 801-35303 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#488	Ni Advisors	**Other:** 8-66841 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#489	Nickelplate Financial LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#490	Nicol Investors Corporation	**Other:** 8-65566 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#491	North South Capital LLC	**LEI:** 549300ODEKJCRN2AM859	ILLINOIS	UNITED STATES OF AMERICA	No	No
#492	Northern Capital Securities Corporation	**LEI:** 254900ZANH7XTB94LS53	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#493	Northern Trust Securities, Inc.	**LEI:** 3CHSO99JSPHD9HGNYJ46	ILLINOIS	UNITED STATES OF AMERICA	No	No
#494	Northland Securities, Inc.	**LEI:** 254900ZIK4MLVQAWLS15	MINNESOTA	UNITED STATES OF AMERICA	No	No
#495	Northwest Investment Advisors, Inc.	**Other:** 8-65282 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#496	Northwestern Mutual Investment Services, LLC	**LEI:** CYO86L8D7HTXW9SOZX28	WISCONSIN	UNITED STATES OF AMERICA	No	No
#497	Nova Wealth Management, Inc.	**Other:** 801-125696 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#498	OFG Financial Services, Inc.	**LEI:** 254900KNKQHHBA9I2E60	KANSAS	UNITED STATES OF AMERICA	No	No
#499	Oak Harbor Wealth Partners, LLC	**Other:** 801-122270 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#500	Oak Tree Securities, Inc.	**Other:** 8-36138 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#501	Oakwood Capital Securities, Inc.	**LEI:** 254900NN9JG3U7K3FI29	MINNESOTA	UNITED STATES OF AMERICA	No	No
#502	Oberweis Securities, Inc.	**LEI:** 5493008EZH6DO1631P71	ILLINOIS	UNITED STATES OF AMERICA	No	No
#503	Omni Financial Securities, Inc.	**Other:** 8-44034 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#504	OneAmerica Securities, Inc.	**LEI:** 254900TVVQMPB7OZDO15	INDIANA	UNITED STATES OF AMERICA	No	No

#505	Oneascent Financial Services, LLC	**Other:** 801-108265 (SEC File Number)	ALABAMA	UNITED STATES OF AMERICA	No	No
#506	Oriental Financial Services LLC	**LEI:** 254900BDDC21F3FVXE33		PUERTO RICO	No	No
#507	Osaic FA, Inc.	**Other:** 8-14685 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#508	Osaic FS, Inc.	**Other:** 8-14609 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#509	Osaic Institutions, Inc.	**LEI:** 254900NCFJBWUMT3KG82	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#510	Osaic Services, Inc.	**LEI:** 254900XS9V2HA183EJ45	ARIZONA	UNITED STATES OF AMERICA	No	No
#511	Osaic Wealth, Inc.	**LEI:** 2549008QNG03YMMNXZ09	ARIZONA	UNITED STATES OF AMERICA	No	No
#512	Oscar Gruss & Son Incorporated	**LEI:** 549300V78DH9XCK5UI63	NEW YORK	UNITED STATES OF AMERICA	No	No
#513	PEB Capital Management, LLC	**Other:** 801-121815 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#514	PNC Bank, National Association (Pittsburgh, PA, US, Branch)	**LEI:** AD6GFRVSDT01YPT1CS68	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#515	PNC Wealth Management LLC	**LEI:** 254900O5T1TWVVL6CW75	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#516	PTI Securities & Futures, L.P.	**LEI:** 254900J0DHJHZ1EBAR27	ILLINOIS	UNITED STATES OF AMERICA	No	No
#517	Paces Ferry Wealth Advisors, LLC	**Other:** 801-114559 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#518	Pacific Financial Associates, Inc.	**Other:** 8-40712 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#519	Packerland Brokerage Services, Inc.	**LEI:** 8945000P3M5X0P985N25	WISCONSIN	UNITED STATES OF AMERICA	No	No
#520	Paradigm Equities, Inc.	**Other:** 8-45593 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#521	Paradigm Wealth Management LLC	**Other:** 801-69719 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#522	Parcion Private Wealth LLC	**Other:** 801-117477 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#523	Park Avenue Securities LLC	**LEI:** 529900NU8UO9XXX9QO20	NEW YORK	UNITED STATES OF AMERICA	No	No
#524	Parkland Securities, LLC	**LEI:** 2549008PKFGQ5DEOA887	MICHIGAN	UNITED STATES OF AMERICA	No	No
#525	Parkmount Financial Partners LLC	**Other:** 801-127185 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#526	Peak Brokerage Services, LLC	**LEI:** 984500D65CC146890659	FLORIDA	UNITED STATES OF AMERICA	No	No
#527	Peak Financial Partners, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No

#528	Pensionmark Securities, LLC	**Other:** 8-69773 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#529	Perigon Wealth Management, LLC	**Other:** 801-62988 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#530	Perryman Securities, Inc.	**Other:** 8-53546 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#531	Pershing Advisor Solutions LLC	**LEI:** 549300KTC63JRN36GZ84	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#532	Pershing LLC	**LEI:** ZI8Q1A8EI8LQFJNM0D94	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#533	Pinnacle Investments, LLC	**LEI:** 894500SSP4GD6YAC1I36	NEW YORK	UNITED STATES OF AMERICA	No	No
#534	Piper Sandler & Co.	**LEI:** 549300GRQCWQ3XGH0H10	MINNESOTA	UNITED STATES OF AMERICA	No	No
#535	Place Trade Financial, Inc.	**Other:** 8-65915 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#536	PlanMember Securities Corporation	**Other:** 801-39177 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#537	Planned Financial Programs, Inc.	**Other:** 8-5727 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#538	Polar Investment Counsel, Inc.	**Other:** 8-50039 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#539	Portfolio Resources Group, Inc.	**LEI:** 549300TKCYL1XNXOL896	FLORIDA	UNITED STATES OF AMERICA	No	No
#540	Presper Financial Architects, LLC	**Other:** 801-113773 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#541	Principal Life Insurance Company	**LEI:** SDCMU2LVKGV2AF1KWP64	IOWA	UNITED STATES OF AMERICA	No	Yes
#542	Principal Securities, Inc.	**LEI:** 254900R82RITFHTB0065	IOWA	UNITED STATES OF AMERICA	No	No
#543	Principled Advisors, Inc.	**Other:** 8-66451 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#544	Principly, Inc.	**Other:** 801-106798 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#545	Private Client Services, LLC	**Other:** 8-68183 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#546	Professional Trading Services Brokerage, LLC	**Other:** 8-65173 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#547	Profinancial, Inc.	**LEI:** 254900WC7XIBGC41PE03	LOUISIANA	UNITED STATES OF AMERICA	No	No
#548	Prospera Financial Services, Inc.	**LEI:** 2549009CIEPO956KXD30	TEXAS	UNITED STATES OF AMERICA	No	No
#549	Pruco Securities, LLC	**Other:** 8-16402 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No

#550	Prudential Investment Management Services LLC	**Other:** 8-36540 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#551	Purshe Kaplan Sterling Investments, Inc.	**LEI:** 254900PIOCNC4DO3OF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#552	Pyramid Funds Corporation	**Other:** 8-12769 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#553	Quincy Cass Associates	**LEI:** 254900GA3USRIOJIN315	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#554	R. F. Lafferty & Co., Inc.	**LEI:** 254900KLPTMWPBZWH264	NEW YORK	UNITED STATES OF AMERICA	No	No
#555	R. Seelaus & Co. Inc	**LEI:** 2138004J7AJDLCOJYA06	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#556	R.M. Stark & Co., Inc.	**Other:** 8-22543 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#557	RBC Capital Markets, LLC	**LEI:** 549300LCO2FLSSVFFR64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#558	RNR Securities, L.L.C.	**Other:** 8-50366 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#559	Raymond James & Associates, Inc.	**LEI:** U4ONQX15J3RO8XCKE979	FLORIDA	UNITED STATES OF AMERICA	No	No
#560	Raymond James Financial, Inc.	**LEI:** RGUZHJ05YTITL6D76949	FLORIDA	UNITED STATES OF AMERICA	No	No
#561	Redwood Investment Management, LLC	**LEI:** 549300JNR7EY57MUYW44	ARIZONA	UNITED STATES OF AMERICA	No	No
#562	Regal Securities, Inc.	**LEI:** 254900KB1IL7AGOMEZ36	ILLINOIS	UNITED STATES OF AMERICA	No	No
#563	Regions Bank	**LEI:** EQTWLK1G7ODGC2MGLV11	ALABAMA	UNITED STATES OF AMERICA	No	No
#564	Register Financial Associates, Inc.	**LEI:** 9845002D40C444CB6222	GEORGIA	UNITED STATES OF AMERICA	No	No
#565	Regulus Financial Group, LLC	**Other:** 8-68275 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#566	Rehmann Financial Network, LLC	**Other:** 8-69134 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#567	Reliance Trust Company	**LEI:** 549300NV8FSQRNOUQO50	GEORGIA	UNITED STATES OF AMERICA	No	Yes
#568	Reservoir Retirement Management, LLC	**Other:** 801-122212 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#569	Retireone Investment Services, LLC	**Other:** 8-69640 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No
#570	Rhodes Securities, Inc.	**LEI:** 254900MVXWUYG3F22X71	TEXAS	UNITED STATES OF AMERICA	No	No
#571	Ricketts Financial, LLC	**Other:** 801-118963 (SEC File Number)	KENTUCKY	UNITED STATES OF AMERICA	No	No

#572	Roberts and Ryan Investments Incorporated	**LEI:** 254900A6VIVO4DP1T126	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#573	Rockefeller Financial LLC	**LEI:** 254900V09E2X3QOCA443	NEW YORK	UNITED STATES OF AMERICA	No	No
#574	Rothschild Investment LLC	**Other:** 8-16429 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#575	S.G. Long & Company	**LEI:** 254900JXF44O2YOTBV17	MONTANA	UNITED STATES OF AMERICA	No	No
#576	S.L. Reed & Company	**Other:** 8-49178 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#577	SCF Securities, Inc.	**LEI:** 254900XJUU7KTXBTXP54	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#578	SECU Brokerage Services, Inc.	**LEI:** 25490009BIQFTK1N0014	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#579	SEI Private Trust Company	**LEI:** 254900F25IGTY0ETFV15	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#580	SG Americas Securities, LLC	**LEI:** 549300F35UE0BOM1WJ55	NEW YORK	UNITED STATES OF AMERICA	No	No
#581	SKA Securities, Inc.	**Other:** 8-53366 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#582	SPIRE Securities, LLC	**Other:** 8-67635 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#583	SWBC Investment Services, LLC	**LEI:** 254900YIJJWABADWZ455	TEXAS	UNITED STATES OF AMERICA	No	No
#584	Sabadell Securities USA, Inc.	**LEI:** 2549002UK8JK82ABGD45	FLORIDA	UNITED STATES OF AMERICA	No	No
#585	Safe Harbor Asset Management, Inc.	**Other:** 801-79634 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#586	Safra Securities LLC	**LEI:** E51AOUORNWWT747CBW71	NEW YORK	UNITED STATES OF AMERICA	No	No
#587	Sage Rutty and Company, Inc.	**LEI:** 254900366XVJSFS0UF83	NEW YORK	UNITED STATES OF AMERICA	No	No
#588	SageSpring Wealth Partners, LLC	**LEI:** 254900UTQY7N8OV2HG98	TENNESSEE	UNITED STATES OF AMERICA	No	No
#589	Sammons Financial Network, LLC	**Other:** 8-68905 (SEC File Number)	IOWA	UNITED STATES OF AMERICA	No	Yes
#590	Sammons institutional Group, Inc.	**Other:** BBG00LBNPZL2 (Bloomberg Global ID)	IOWA	UNITED STATES OF AMERICA	No	Yes
#591	Samuel A. Ramirez & Company, Inc.	**LEI:** 254900CBKVW7O2ENQA21	NEW YORK	UNITED STATES OF AMERICA	No	No
#592	San Blas Securities LLC	**LEI:** 25490079436TZN10JD83	ILLINOIS	UNITED STATES OF AMERICA	No	No
#593	Sanctuary Securities, Inc.	**LEI:** 2549007WBAL2Z578XQ34	ILLINOIS	UNITED STATES OF AMERICA	No	No

#594	Sanders Morris LLC	**LEI:** 254900ZNPYV465D1NZ47	TEXAS	UNITED STATES OF AMERICA	No	No
#595	Santander Securities LLC	**LEI:** 254900HRJWI7G0YUS842	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#596	Saturna Brokerage Services, Inc.	**Other:** 8-36558 (SEC File Number)	WASHINGTON	UNITED STATES OF AMERICA	No	No
#597	Saturna Trust Company	**Other:** 26-3918998 (Tax ID)	NEVADA	UNITED STATES OF AMERICA	No	Yes
#598	Savvy Advisors, Inc.	**Other:** 801-123656 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#599	Saxony Securities, Inc.	**LEI:** 254900CAA9AXL5GVBL05	MISSOURI	UNITED STATES OF AMERICA	No	No
#600	Schlitt Investor Services, Inc.	**Other:** 8-34202 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#601	Scipione Wealth Advisors, Inc.	—	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#602	Searle & Co., Inc.	**LEI:** 254900QO3OSPRE9KIA46	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#603	Securian Financial Services, Inc.	**Other:** 8-31955 (SEC File Number)	MINNESOTA	UNITED STATES OF AMERICA	No	No
#604	Securities America, Inc.	**Other:** 8-26602 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#605	Securities Equity Group	**Other:** 8-51706 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#606	Security Distributors, LLC	**Other:** 8-10781 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#607	Sentinel Securities, LLC	**Other:** 8-53142 (SEC File Number)	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#608	Shareholders Service Group, LLC	**LEI:** 254900BNY7YNRO5IC019	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#609	Sheikh Investments, Inc.	**Other:** 27-0156051 (Tax ID)	OHIO	UNITED STATES OF AMERICA	No	No
#610	Sigma Financial Corporation	**LEI:** 254900NLSIVXNUBOMJ96	MICHIGAN	UNITED STATES OF AMERICA	No	No
#611	Signature Estate Securities, LLC	**Other:** 8-37065 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#612	Silver Oak Securities, Incorporated	**Other:** 8-51601 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#613	Sisung Securities Corporation	**LEI:** 254900KJI3EYKKPWT989	LOUISIANA	UNITED STATES OF AMERICA	No	No
#614	Skybox Financial Group, LLC	—	OHIO	UNITED STATES OF AMERICA	No	No
#615	Smith, Brown & Groover, Inc.	**Other:** 8-13079 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#616	Smith, Moore & Co.	**LEI:** 254900L4XEB9V4QDJR02	MISSOURI	UNITED STATES OF AMERICA	No	No

#617	Snowden Account Services LLC	**LEI:** 254900WVSS0BX602UF45	NEW YORK	UNITED STATES OF AMERICA	No	No
#618	Sorrento Pacific Financial, LLC	**LEI:** 25490067TWXMK455UF32	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#619	Sorsby Financial Corp.	**LEI:** 254900R2HG617OMHI917	ILLINOIS	UNITED STATES OF AMERICA	No	No
#620	SouthState DuncanWilliams Securities Corp.	**LEI:** 25490045VHLUZ7H92Y27	TENNESSEE	UNITED STATES OF AMERICA	No	No
#621	Southeast Investments, N.C. Inc.	**Other:** 8-50127 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#622	Southern Capital Advisors, LLC	**Other:** 801-112593 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#623	Sovereign Legacy Securities, Inc.	**Other:** 8-00621 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#624	St. Bernard Financial Services, Inc.	**Other:** 8-47566 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#625	Standard Insurance Company	**LEI:** 549300KVA8DBYKHPXO21	OREGON	UNITED STATES OF AMERICA	No	Yes
#626	State Farm VP Management Corp.	**Other:** 8-50128 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#627	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#628	Stephens Inc.	**LEI:** 213800LH6T9XDYZCA534	ARKANSAS	UNITED STATES OF AMERICA	No	No
#629	Steward Partners Investment Solutions, LLC	**LEI:** 25490043UEOX7JZ3AC58	OREGON	UNITED STATES OF AMERICA	No	No
#630	Stifel Independent Advisors, LLC	**LEI:** 25490077Y94KDP8DZE48	MISSOURI	UNITED STATES OF AMERICA	No	No
#631	Stifel, Nicolaus & Company, Incorporated	**LEI:** 5WUVMA08EYG4KEUPW589	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#632	Stonebridge Wealth Management LLC	**Other:** 801-112745 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#633	Stonecrest Capital Markets, Inc.	**LEI:** 25490062H4ICVOPZ2X80	TEXAS	UNITED STATES OF AMERICA	No	No
#634	Stonex Securities Inc.	**LEI:** 254900BTABO9843ARQ94	ALABAMA	UNITED STATES OF AMERICA	No	No
#635	Strategic Wealth Capital LLC	**Other:** 801-127930 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#636	Strategic Wealth Partners Group, LLC	**Other:** 801-80683 (SEC File Number)	ILLINOIS	UNITED STATES OF AMERICA	No	No
#637	Stratos Wealth Advisors, LLC	**Other:** 801-108211 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#638	Stratos Wealth Partners, Ltd.	**Other:** 801-71457 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No

#639	Summit Capital Inc.	**Other:** 801-122654 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#640	Summit Investment Advisors, Inc.	**Other:** 801-122314 (SEC File Number)	KANSAS	UNITED STATES OF AMERICA	No	No
#641	Sunbelt Securities, Inc.	**LEI:** 9845005B7NBB6AJ1EB89	TEXAS	UNITED STATES OF AMERICA	No	No
#642	Sunstreet Securities, LLC	**Other:** 8-67541 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#643	Superior Financial Services, Inc.	**LEI:** 549300BK1DNLS1A2MZ43	TENNESSEE	UNITED STATES OF AMERICA	No	No
#644	Sycamore Financial Group Inc.	**Other:** 8-30302 (SEC File Number)	INDIANA	UNITED STATES OF AMERICA	No	No
#645	Symphonic Securities LLC	**Other:** 8-67220 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#646	Syndicated Capital, Inc.	**LEI:** 64888ZH1JH808TLT8498	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#647	Synovus Securities, Inc.	**LEI:** 254900CM2K7N1E0JF171	GEORGIA	UNITED STATES OF AMERICA	No	No
#648	T. Rowe Price Investment Services, Inc.	**LEI:** 2549005UDTFL5JLUI691	MARYLAND	UNITED STATES OF AMERICA	No	No
#649	T. Rowe Price Retirement Plan Services, Inc.	**Other:** 84-06219 (SEC File Number)	MARYLAND	UNITED STATES OF AMERICA	No	Yes
#650	T.R. Winston & Company, LLC	**Other:** 8-27519 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#651	T.S. Phillips Investments, Inc.	**Other:** 8-65661 (SEC File Number)	OKLAHOMA	UNITED STATES OF AMERICA	No	No
#652	TCBI Securities, Inc.	**LEI:** 98450064MC16ZNF96865	TEXAS	UNITED STATES OF AMERICA	No	No
#653	TCFG Wealth Management, LLC	**LEI:** 2549004NFXL2ANY45463	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#654	TD Ameritrade Trust Company	**Other:** 20-0937408 (Tax ID)	NEBRASKA	UNITED STATES OF AMERICA	No	No
#655	TD Private Client Wealth LLC	**LEI:** 254900ZAZIPL0JRTGZ43	NEW YORK	UNITED STATES OF AMERICA	No	No
#656	TIAA-CREF Individual & Institutional Services, LLC	**LEI:** 254900X9A0WEUBJW5675	NEW YORK	UNITED STATES OF AMERICA	No	No
#657	TRG Advisors, Inc.	**Other:** 16-1533600 (Tax ID)	FLORIDA	UNITED STATES OF AMERICA	No	No
#658	Talcott Resolution Life Insurance Company	**LEI:** 8CE7JPU9IU72L3PPD756	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes
#659	Teachers Insurance and Annuity Association of America	**LEI:** O06XD7BJ4EPXNABVFN69	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#660	Teckmeyer Financial Services, L.L.C.	**Other:** 8-48501 (SEC File Number)	NEBRASKA	UNITED STATES OF AMERICA	No	No

#661	The GMS Group, L.L.C.	**LEI:** 254900OXZT27TA5CGU56	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#662	The Guardian Insurance & Annuity Company, Inc.	**LEI:** TGIU5N0SIMULU6I57R64	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#663	The Huntington Investment Company	**LEI:** 5493004MEJ6IU9SR1R78	OHIO	UNITED STATES OF AMERICA	No	No
#664	The Jeffrey Matthews Financial Group, L.L.C.	**LEI:** 25490086M6MGMYYVOJ50	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#665	The Leaders Group, Inc.	**LEI:** 254900GUYFUX7FD63J82	COLORADO	UNITED STATES OF AMERICA	No	No
#666	The Logan Group Securities	**Other:** 8-48995 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#667	The O. N. Equity Sales Company	**LEI:** 984500B8A5B9AB579E61	OHIO	UNITED STATES OF AMERICA	No	No
#668	The Oak Ridge Financial Services Group, Inc.	**LEI:** 2549003647MDU9F6QN39	MINNESOTA	UNITED STATES OF AMERICA	No	No
#669	The Prudential Insurance Company of America	**LEI:** X574KRZ6V5A7UBU45C31	NEW JERSEY	UNITED STATES OF AMERICA	No	Yes
#670	The Strategic Financial Alliance, Inc.	**LEI:** 254900ZA335BXA28WU92	GEORGIA	UNITED STATES OF AMERICA	No	No
#671	The Tavenner Company	**Other:** 8-41206 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#672	The United States Life Insurance Company in the City of New York	**LEI:** 549300C1JQGJ0MNUMG79	NEW YORK	UNITED STATES OF AMERICA	No	Yes
#673	The Vanguard Group, Inc.	**LEI:** 5493002789CX3L0CJP65	PENNSYLVANIA	UNITED STATES OF AMERICA	No	Yes
#674	Thompson Davis & Co., Inc.	**Other:** 8-49386 (SEC File Number)	VIRGINIA	UNITED STATES OF AMERICA	No	No
#675	Thoroughbred Financial Services, LLC	**Other:** 8-51944 (SEC File Number)	TENNESSEE	UNITED STATES OF AMERICA	No	No
#676	Thrivent Investment Management Inc.	**LEI:** 254900XEAP2JYIKCER30	MINNESOTA	UNITED STATES OF AMERICA	No	No
#677	Thurston, Springer, Miller, Herd & Titak, Inc.	**LEI:** 549300VFTCJPQNF6P182	INDIANA	UNITED STATES OF AMERICA	No	No
#678	TimeCapital Securities Corporation	**Other:** 8-18248 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#679	Titleist Capital, LLC	**Other:** 8-65859 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#680	Tocqueville Securities L.P.	**LEI:** 254900QOMHGRG3NTF990	NEW YORK	UNITED STATES OF AMERICA	No	No
#681	Torres Financial Services, Inc.	—	TEXAS	UNITED STATES OF AMERICA	No	No

#682	Trade-PMR Group, Inc.	**Other:** 8-51390 (SEC File Number)	FLORIDA	UNITED STATES OF AMERICA	No	No
#683	TradeUP Securities Inc	**LEI:** 254900LJV422VU8GR603	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#684	Tradition Securities and Derivatives LLC	**LEI:** WRYEFMSVQCH0EMD08461	NEW YORK	UNITED STATES OF AMERICA	No	No
#685	Transamerica Advisors Life Insurance Company	**LEI:** F1PLTWZ8OU4HQGZQAP31	ARKANSAS	UNITED STATES OF AMERICA	No	No
#686	Transamerica Financial Advisors, LLC.	**LEI:** 549300JW32XCZSHI0878	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#687	Trueblood Wealth Management, LLC	**Other:** 801-125794 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#688	Truist Investment Services, Inc.	**Other:** 8-35355 (SEC File Number)	GEORGIA	UNITED STATES OF AMERICA	No	No
#689	TrustFirst, Inc.	**LEI:** 25490055JEQNK7M5KO50	TENNESSEE	UNITED STATES OF AMERICA	No	No
#690	Trustmont Financial Group, Inc.	**LEI:** 9845005617KV576E7417	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#691	U.S. Bancorp Advisors, LLC	**LEI:** 254900Y9HI2TG6D79N41	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#692	U.S. Bancorp Investments, Inc.	**LEI:** H85Z6XZP8B10ES0M2G89	MINNESOTA	UNITED STATES OF AMERICA	No	No
#693	UBS AG (New York, NY, US, Branch)	**LEI:** BFM8T61CT2L1QCEMIK50	NEW YORK	UNITED STATES OF AMERICA	No	No
#694	UBS Financial Services Inc.	**LEI:** ETYRV6ORNFJB5NONI676	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#695	UMB Financial Services, Inc.	**LEI:** 254900GFVO9NGQ21JC37	MISSOURI	UNITED STATES OF AMERICA	No	No
#696	USA Financial Securities Corporation	**Other:** 8-52342 (SEC File Number)	MICHIGAN	UNITED STATES OF AMERICA	No	No
#697	USAA Investment Services Company	**LEI:** 549300VSPLQ1XBNPD479	TEXAS	UNITED STATES OF AMERICA	No	No
#698	USCA Securities LLC	**LEI:** 254900GBMSP1Y45THR66	TEXAS	UNITED STATES OF AMERICA	No	No
#699	USI Securities, Inc.	**Other:** 8-50429 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#700	Uhlmann Price Securities, LLC	**LEI:** 25490053KKCKPDX59Z02	ILLINOIS	UNITED STATES OF AMERICA	No	No
#701	Union Bank and Trust Company	**LEI:** R6KJ2D7C3UT8OVTWHS39	NEBRASKA	UNITED STATES OF AMERICA	No	Yes
#702	Union Capital Company	**LEI:** 2549005B1QBG0QYBQS85	ARIZONA	UNITED STATES OF AMERICA	No	No
#703	United Advisor Group, LLC	**Other:** 801-127090 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#704	United Brokerage Services, Inc.	**LEI:** 984500FC8E83CD0DD041	WEST VIRGINIA	UNITED STATES OF AMERICA	No	No

#705	United Planners Financial Services of America, A Limited Partnership	**Other:** 8-38485 (SEC File Number)	ARIZONA	UNITED STATES OF AMERICA	No	No
#706	VALIC Financial Advisors, Inc.	**Other:** 8-50018 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#707	VALIC Retirement Services Company	**Other:** 84-06057 (SEC File Number)	TEXAS	UNITED STATES OF AMERICA	No	No
#708	VBC Securities, L.L.C.	**Other:** 8-44141 (SEC File Number)	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#709	VCP Financial LLC	**Other:** 801-112255 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#710	Valley Financial Management, Inc.	**LEI:** 5493005SJQ3VQ5DEE756	NEW YORK	UNITED STATES OF AMERICA	No	No
#711	Valley National Investments, Inc.	**Other:** 8-34427 (SEC File Number)	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#712	Valmark Securities, Inc.	**LEI:** 98450075D9B1DNI09C13	OHIO	UNITED STATES OF AMERICA	No	No
#713	Vanderbilt Securities, Inc.	**Other:** 8-16712 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#714	Vanguard Marketing Corporation	**LEI:** 549300M16F306POWCS41	PENNSYLVANIA	UNITED STATES OF AMERICA	No	No
#715	Variable Investment Advisors, Inc.	**Other:** 8-50699 (SEC File Number)	SOUTH DAKOTA	UNITED STATES OF AMERICA	No	No
#716	Veritas Independent Partners, LLC	**Other:** 8-69363 (SEC File Number)	ARKANSAS	UNITED STATES OF AMERICA	No	No
#717	Verity Investments, Inc.	**Other:** 8-49474 (SEC File Number)	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#718	Victory Capital Services, Inc.	**LEI:** 5493007YCZV03392KX12	OHIO	UNITED STATES OF AMERICA	No	No
#719	ViewTrade Securities, Inc.	**LEI:** 549300CHLQDUD0NL5851	FLORIDA	UNITED STATES OF AMERICA	No	No
#720	Vision Financial Markets LLC	**LEI:** 549300J0X8HK9GUADL55	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#721	Volition Financial Network, LLC	**Other:** 83-4714227 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#722	Voya Financial Advisors, Inc.	**LEI:** 254900JTKYZLXA83EA87	IOWA	UNITED STATES OF AMERICA	No	No
#723	Voya Financial Partners, LLC	**Other:** 8-46451 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#724	Voya Institutional Plan Services, LLC	**Other:** 04-3516284 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#725	Voya Investments Distributor, LLC	**LEI:** 549300UXSQ6ZVMSJFH64	ARIZONA	UNITED STATES OF AMERICA	No	No
#726	Voya Retirement Insurance and Annuity Company	**LEI:** OK3MKCDYPD4NN6QDGK18	CONNECTICUT	UNITED STATES OF AMERICA	No	Yes

#727	WBB Securities, LLC	**LEI:** 254900ZRPIEBEVE4ZK15	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#728	Wall Street Access Corporation	**LEI:** 549300Z0MOT47D6OQV22	NEW YORK	UNITED STATES OF AMERICA	No	No
#729	Washington Financial Group Inc.	—	MASSACHUSETTS	UNITED STATES OF AMERICA	No	No
#730	Watermark Securities, Inc.	**LEI:** 254900NK1ZHBYG91LX55	NEW YORK	UNITED STATES OF AMERICA	No	No
#731	Wealth Enhancement Group, LLC	**LEI:** 254900REFAEILHE3RX56	MINNESOTA	UNITED STATES OF AMERICA	No	No
#732	Wellington Shields & Co., LLC	**LEI:** 254900ULLOEJ3RYQ9S69	NEW YORK	UNITED STATES OF AMERICA	No	No
#733	Wells Fargo Advisors Financial Network, LLC	**LEI:** 254900LLU25Y1AXIGN57	MISSOURI	UNITED STATES OF AMERICA	No	No
#734	Wells Fargo Clearing Services, LLC	**LEI:** 88KRVSOEKUGQZJ3DKW55	MISSOURI	UNITED STATES OF AMERICA	No	Yes
#735	Wells Fargo Securities, LLC	**LEI:** VYVVCKR63DVZZN70PB21	NORTH CAROLINA	UNITED STATES OF AMERICA	No	No
#736	WesBanco Securities, Inc.	**Other:** 8-50220 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#737	Westco Investment Corp.	**Other:** 8-38452 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#738	Western Equity Group, Inc.	**Other:** 76-0749184 (Tax ID)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#739	Western Growers Financial Services	**Other:** 8-53458 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#740	Western International Securities, Inc.	**LEI:** 25490001S7ICOSF8JC56	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#741	Westminster Financial Securities, Inc.	**Other:** 8-38426 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#742	Westport Resources Investment Services, Inc.	**Other:** 8-40904 (SEC File Number)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#743	White Mountain Capital, LLC	**Other:** 8-52572 (SEC File Number)	NEW YORK	UNITED STATES OF AMERICA	No	No
#744	William Blair & Company, L.L.C.	**LEI:** 549300J0P7XYE8BMZ775	ILLINOIS	UNITED STATES OF AMERICA	No	No
#745	Willner & Heller LLC	**Other:** 801-112631 (SEC File Number)	CALIFORNIA	UNITED STATES OF AMERICA	No	No
#746	Woodmen Financial Services, Inc.	**LEI:** 2549008MWDNZN02WNS15	NEBRASKA	UNITED STATES OF AMERICA	No	No
#747	World Capital Brokerage, Inc.	**Other:** 8-06805 (SEC File Number)	COLORADO	UNITED STATES OF AMERICA	No	No
#748	World Choice Securities, Inc.	**LEI:** 2549002IBYAJWTV4GV27	OHIO	UNITED STATES OF AMERICA	No	No

#749	World Equity Group, Incorporated	**LEI:** 25490078J1OM7KOXR686	ILLINOIS	UNITED STATES OF AMERICA	No	No
#750	World Investments, Inc.	**LEI:** 254900XNJBIRFF8OC873	NEW JERSEY	UNITED STATES OF AMERICA	No	No
#751	Worth Financial Group Inc.	**LEI:** 254900I6Y9LJ5DQ81I91	TEXAS	UNITED STATES OF AMERICA	No	No
#752	Wright Investors' Service Distributors, Inc.	**Other:** 06-1071596 (Tax ID)	CONNECTICUT	UNITED STATES OF AMERICA	No	No
#753	XML Securities, LLC	**LEI:** 25490059Q8702A31FF08	VIRGINIA	UNITED STATES OF AMERICA	No	No
#754	XP Investments US, LLC	**LEI:** 549300HDFLS7P433PO89	NEW YORK	UNITED STATES OF AMERICA	No	No
#755	Yarger Wealth Strategies, LLC	**Other:** 801-119409 (SEC File Number)	OHIO	UNITED STATES OF AMERICA	No	No
#756	Zions Direct, Inc.	**LEI:** 254900VGN65XF3JVA633	UTAH	UNITED STATES OF AMERICA	No	No

b. Has a shareholder servicing agent been hired or terminated during the reporting period? ☒ Yes ☐ No

Item C.14. Administrators.

a. Provide the following information about each administrator of the Fund:

Administrators Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the administrator an affiliated person of the Fund or its investment adviser(s)?	Is the administrator a sub-administrator?
#1	BlackRock Advisors, LLC	**LEI:** 5493001LN9MRM6A35J74	DELAWARE	UNITED STATES OF AMERICA	Yes	No
#2	State Street Bank and Trust Company	**LEI:** 571474TGEMMWANRLN572	MASSACHUSETTS	UNITED STATES OF AMERICA	No	Yes

b. Has a third-party administrator been hired or terminated during the reporting period? ☐ Yes ☒ No

Item C.15. Affiliated broker-dealers.

a. Provide the following information about each affiliated broker-dealer:

Broker-Dealers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total commissions paid to the affiliated broker-dealer for the reporting period
#1	BlackRock Investments, LLC	8-48436	000038642	**LEI:** 54930061FBHCKXL2G714	NEW YORK	UNITED STATES OF AMERICA	0.00000000

#2	BlackRock Execution Services	8-48719	000039438	**LEI:** 549300HFCRQ0NT5KY652	NEW YORK	UNITED STATES OF AMERICA	0.00000000
#3	HPS Securities, LLC	8-70910	000319197	—	NEW YORK	UNITED STATES OF AMERICA	0.00000000

Item C.16. Brokers.

Instructions to Item C.16 and Item C.17.
To help Registrants distinguish between agency and principal transactions, and to promote consistent reporting of the information required by these items, the following criteria should be used:
1. If a security is purchased or sold in a transaction for which the confirmation specifies the amount of the commission to be paid by the Registrant, the transaction should be considered an agency transaction and included in determining the answers to Item C.16.
2. If a security is purchased or sold in a transaction for which the confirmation specifies only the net amount to be paid or received by the Registrant and such net amount is equal to the market value of the security at the time of the transaction, the transaction should be considered a principal transaction and included in determining the amounts in Item C.17.
3. If a security is purchased by the Registrant in an underwritten offering, the acquisition should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the underwriters are receiving from the issuer.
4. If a security is sold by the Registrant in a tender offer, the sale should be considered a principal transaction and included in answering Item C.17 even though the Registrant has knowledge of the amount the offeror is paying to soliciting brokers or dealers.
5. If a security is purchased directly from the issuer (such as a bank CD), the purchase should be considered a principal transaction and included in answering Item C.17.
6. The value of called or maturing securities should not be counted in either agency or principal transactions and should not be included in determining the amounts shown in Item C.16 and Item C.17. This means that the acquisition of a security may be included, but it is possible that its disposition may not be included. Disposition of a repurchase agreement at its expiration date should not be included.
7. The purchase or sales of securities in transactions not described in paragraphs (1) through (6) above should be evaluated by the Fund based upon the guidelines established in those paragraphs and classified accordingly. The agents considered in Item C.16 may be persons or companies not registered under the Exchange Act as securities brokers. The persons or companies from whom the investment company purchased or to whom it sold portfolio instruments on a principal basis may be persons or entities not registered under the Exchange Act as securities dealers.

a. For each of the ten brokers that received the largest dollar amount of brokerage commissions (excluding dealer concessions in underwritings) by virtue of direct or indirect participation in the Fund's portfolio transactions, provide the information below:

Brokers Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Gross commissions paid by the Fund for the reporting period
#1	J.P. Morgan Securities LLC	8-35008	000000079	**LEI:** ZBUT11V806EZRVTWT807	NEW YORK	UNITED STATES OF AMERICA	75.52000000
#2	Goldman Sachs & Co. LLC	8-129	000000361	**LEI:** FOR8UP27PHTHYVLBNG30	NEW YORK	UNITED STATES OF AMERICA	62.49000000
#3	Jefferies LLC	8-15074	000002347	**LEI:** 58PU97L1C0WSRCWADL48	NEW YORK	UNITED STATES OF AMERICA	82.81000000
#4	Citigroup Global Markets Inc.	8-8177	000007059	**LEI:** MBNUM2BPBDO7JBLYG310	NEW YORK	UNITED STATES OF AMERICA	19.40000000

#5	UBS Securities LLC	8-22651	000007654	**LEI:** T6FIZBDPKLYJKFCRVK44	NEW YORK	UNITED STATES OF AMERICA	106.40000000
#6	Morgan Stanley & Co. LLC	8-15869	000008209	**LEI:** 9R7GPTSO7KV3UQJZQ078	NEW YORK	UNITED STATES OF AMERICA	222.05000000
#7	TD Securities (USA) LLC	8-36747	000018476	**LEI:** SUVUFHICNZMP2WKHG940	NEW YORK	UNITED STATES OF AMERICA	36.66000000
#8	Barclays Capital Inc.	8-41342	000019714	**LEI:** AC28XWWI3WIBK2824319	NEW YORK	UNITED STATES OF AMERICA	21.30000000
#9	BofA Securities, Inc.	8-69787	000283942	**LEI:** 549300HN4UKV1E2R3U73	NEW YORK	UNITED STATES OF AMERICA	1,026.37000000

b. Aggregate brokerage commissions paid by Fund during the reporting period:	1,653.00000000

Item C.17. Principal transactions.

a. For each of the ten entities acting as principals with which the Fund did the largest dollar amount of principal transactions (include all short-term obligations, and U.S. government and tax-free securities) in both the secondary market and in underwritten offerings, provide the information below:

Principal Transactions Record	Full name	SEC file number	CRD number	Identifying number(s)	State, if applicable	Foreign country, if applicable	Total value of purchases and sales (excluding maturing securities) with Fund
#1	BlackRock Funds III - BlackRock Cash Funds: Treasury	N/A	N/A	**LEI:** 5493005PQV5UQG4OSI49	DELAWARE	UNITED STATES OF AMERICA	13,289,290.37000000

b. Aggregate value of principal purchase/sale transactions of Fund during the reporting period:	13,289,290.37000000

Item C.18. Payments for brokerage and research.

a. During the reporting period, did the Fund pay commissions to broker-dealers for "brokerage and research services" within the meaning of section 28(e) of the Exchange Act (15 U.S.C. 78bb)?	☐ Yes ☒ No

Item C.19. Average net assets.

a. Provide the Fund's (other than a money market fund's) monthly average net assets during the reporting period b. Provide the money market fund's daily average net assets during the reporting period	9,557,424.36384615

Item C.20. Lines of credit, interfund lending and interfund borrowing.

For open-end management investment companies, respond to the following:

a. Does the Fund have available a line of credit? i. If yes, for each line of credit, provide the information requested below:	☒ Yes ☐ No

Line of Credit Details Record: 1

i. Is the line of credit a committed or uncommitted line of credit?	☒ Committed ☐ Uncommitted
ii. What size is the line of credit?	1,750,000,000.00000000
iii. With which institution(s) is the line of credit?	1. BNP Paribas 2. Banco Bilbao Vizcaya Argentaria, S.A. New York Branch 3. Bank of America, N.A. 4. Bank of Montreal 5. Barclays Bank PLC 6. Brown Brothers Harriman & Co. 7. Citibank, N.A. 8. Deutsche Bank AG New York Branch 9. Goldman Sachs Bank USA 10. JPMorgan Chase Bank, N.A. 11. MUFG Bank, Ltd. 12. Mizuho Bank, Ltd. 13. Morgan Stanley Bank, N.A. 14. Royal Bank of Canada 15. Soci???t??? G???n???rale 16. Standard Chartered Bank 17. State Street Bank and Trust Co. 18. The Bank of New York Mellon 19. The Northern Trust Co. 20. The Toronto-Dominion Bank, New York Branch 21. Wells Fargo Bank, N.A.
iv. Is the line of credit just for the Fund, or is it shared among multiple funds? 1. If shared, list the names of other funds that may use the line of credit.	☐ Sole ☒ Shared

Shared Credit Users Record	Name of fund	SEC File number(*e.g., 811-*)
#1	Advantage CoreAlpha Bond Master Portfolio	811-23343
#2	BATS: Corporate Credit Total Return Series	811-21457
#3	BATS: High Income Municipal Series	811-21457
#4	BATS: High Income Taxable Series	811-21457
#5	BATS: Interest Rate Hedge Series	811-21457
#6	BATS: Mortgage Total Return Series	811-21457
#7	BATS: Securitized Total Return Series	811-21457

#8	BATS: Short Duration Taxable Total Return Series	811-21457
#9	BATS: Short Term Municipal Income Series	811-21457
#10	BlackRock 20/80 Target Allocation Fund	811-22061
#11	BlackRock 40/60 Target Allocation Fund	811-22061
#12	BlackRock 60/40 Target Allocation ETF V.I. Fund	811-03290
#13	BlackRock 60/40 Target Allocation Fund	811-22061
#14	BlackRock 80/20 Target Allocation Fund	811-22061
#15	BlackRock Advantage Emerging Markets Fund	811-05742
#16	BlackRock Advantage Global Fund, Inc.	811-07171
#17	BlackRock Advantage International Fund	811-05742
#18	BlackRock Advantage Large Cap Core Fund	811-09637
#19	BlackRock Advantage Large Cap Core Portfolio	811-03091
#20	BlackRock Advantage Large Cap Core V.I. Fund	811-03290
#21	BlackRock Advantage Large Cap Growth Fund	811-05742
#22	BlackRock Advantage Large Cap Value Fund	811-09637
#23	BlackRock Advantage Large Cap Value V.I. Fund	811-03290
#24	BlackRock Advantage SMID Cap Fund, Inc.	811-02809
#25	BlackRock Advantage SMID Cap V.I. Fund	811-03290
#26	BlackRock Advantage Small Cap Core Fund	811-05742
#27	BlackRock Advantage Small Cap Growth Fund	811-05742
#28	BlackRock Balanced Fund, Inc.	811-02405
#29	BlackRock Balanced Portfolio	811-03091
#30	BlackRock Basic Value V.I. Fund	811-03290
#31	BlackRock California Municipal Opportunities Fund	811-04264
#32	BlackRock Capital Appreciation Fund, Inc.	811-06669
#33	BlackRock Capital Appreciation Portfolio	811-03091
#34	BlackRock Capital Appreciation V.I. Fund	811-03290
#35	BlackRock China A Opportunities Fund	811-05742
#36	BlackRock Commodity Strategies Fund	811-05742
#37	BlackRock Core Bond Portfolio	811-23339
#38	BlackRock Credit Relative Value Fund	811-23341
#39	BlackRock Defensive Advantage Emerging Markets Fund	811-05742
#40	BlackRock Diversified Fixed Income Fund	811-07332
#41	BlackRock Dynamic High Income Portfolio	811-22061

#42	BlackRock Emerging Markets Fund, Inc.	811-05723
#43	BlackRock Emerging Markets ex-China Fund	811-05742
#44	BlackRock Energy Opportunities Fund	811-05742
#45	BlackRock Equity Dividend Fund	811-05178
#46	BlackRock Equity Dividend V.I. Fund	811-03290
#47	BlackRock Event Driven Equity Fund	811-09637
#48	BlackRock Exchange Portfolio	811-05742
#49	BlackRock Floating Rate Income Portfolio	811-23339
#50	BlackRock Global Allocation Fund, Inc.	811-05576
#51	BlackRock Global Allocation Portfolio	811-03091
#52	BlackRock Global Allocation V.I. Fund	811-03290
#53	BlackRock Global Dividend Portfolio	811-22061
#54	BlackRock Global Equity Market Neutral Fund	811-05742
#55	BlackRock Health Sciences Opportunities Portfolio	811-05742
#56	BlackRock High Equity Income Fund	811-05742
#57	BlackRock High Yield Portfolio	811-23339
#58	BlackRock High Yield Portfolio	811-23345
#59	BlackRock High Yield V.I. Fund	811-23346
#60	BlackRock Income Fund	811-23339
#61	BlackRock Inflation Protected Bond Portfolio	811-23339
#62	BlackRock International Fund	811-08797
#63	BlackRock International Index V.I. Fund	811-03290
#64	BlackRock International Select Equity Fund	811-04612
#65	BlackRock International V.I. Fund	811-03290
#66	BlackRock Large Cap Focus Growth Fund, Inc.	811-09651
#67	BlackRock Large Cap Focus Growth V.I. Fund	811-03290
#68	BlackRock Large Cap Focus Value Fund, Inc.	811-02739
#69	BlackRock LifePath Dynamic 2030 Fund	811-07332
#70	BlackRock LifePath Dynamic 2035 Fund	811-07332
#71	BlackRock LifePath Dynamic 2040 Fund	811-07332
#72	BlackRock LifePath Dynamic 2045 Fund	811-07332
#73	BlackRock LifePath Dynamic 2050 Fund	811-07332
#74	BlackRock LifePath Dynamic 2055 Fund	811-07332
#75	BlackRock LifePath Dynamic 2060 Fund	811-07332

#76	BlackRock LifePath Dynamic 2065 Fund	811-07332
#77	BlackRock LifePath Dynamic 2070 Fund	811-07332
#78	BlackRock LifePath Dynamic Retirement Fund	811-07332
#79	BlackRock LifePath ESG Index 2030 Fund	811-07332
#80	BlackRock LifePath ESG Index 2035 Fund	811-07332
#81	BlackRock LifePath ESG Index 2040 Fund	811-07332
#82	BlackRock LifePath ESG Index 2045 Fund	811-07332
#83	BlackRock LifePath ESG Index 2050 Fund	811-07332
#84	BlackRock LifePath ESG Index 2055 Fund	811-07332
#85	BlackRock LifePath ESG Index 2060 Fund	811-07332
#86	BlackRock LifePath ESG Index 2065 Fund	811-07332
#87	BlackRock LifePath ESG Index 2070 Fund	811-07332
#88	BlackRock LifePath Index 2030 Fund	811-07332
#89	BlackRock LifePath Index 2035 Fund	811-07332
#90	BlackRock LifePath Index 2040 Fund	811-07332
#91	BlackRock LifePath Index 2045 Fund	811-07332
#92	BlackRock LifePath Index 2050 Fund	811-07332
#93	BlackRock LifePath Index 2055 Fund	811-07332
#94	BlackRock LifePath Index 2060 Fund	811-07332
#95	BlackRock LifePath Index 2065 Fund	811-07332
#96	BlackRock LifePath Index 2070 Fund	811-07332
#97	BlackRock LifePath Index Retirement Fund	811-07332
#98	BlackRock Low Duration Bond Portfolio	811-23339
#99	BlackRock Managed Income Fund	811-22061
#100	BlackRock Managed Volatility V.I. Fund	811-03290
#101	BlackRock Mid-Cap Growth Equity Portfolio	811-05742
#102	BlackRock Mid-Cap Value Fund	811-07177
#103	BlackRock Mortgage-Backed Securities Fund	811-23339
#104	BlackRock Multi-Asset Income Portfolio	811-22061
#105	BlackRock National Municipal Fund	811-02688
#106	BlackRock Natural Resources Trust	811-04282
#107	BlackRock New Jersey Municipal Bond Fund	811-04375
#108	BlackRock New York Municipal Opportunities Fund	811-04375
#109	BlackRock Pennsylvania Municipal Bond Fund	811-04375

#110	BlackRock Real Estate Securities Fund	811-05742
#111	BlackRock Retirement Income 2030 Fund	811-22061
#112	BlackRock S&P 500 Index V.I. Fund	811-03290
#113	BlackRock Securitized Income Fund	811-23340
#114	BlackRock Short Duration Muni Fund	811-02688
#115	BlackRock Short Obligations Fund	811-05742
#116	BlackRock Small Cap Index V.I. Fund	811-03290
#117	BlackRock Strategic Global Bond Fund, Inc.	811-05603
#118	BlackRock Strategic Income Opportunities Portfolio	811-23339
#119	BlackRock Strategic Municipal Opportunities Fund	811-04802
#120	BlackRock Sustainable Aware Advantage Emerging Markets Equity Fund	811-05742
#121	BlackRock Sustainable Aware Advantage International Equity Fund	811-05742
#122	BlackRock Sustainable Aware Advantage Large Cap Core Fund	811-05742
#123	BlackRock Sustainable High Yield Bond Fund	811-23339
#124	BlackRock Systematic Multi-Strategy Fund	811-23341
#125	BlackRock Tactical Opportunities Fund	811-05742
#126	BlackRock Technology Opportunities Fund	811-05742
#127	BlackRock Total Return Fund	811-02857
#128	BlackRock Total Return V.I. Fund	811-23346
#129	BlackRock U.S. Carbon Transition Readiness ETF	811-23402
#130	BlackRock U.S. Insights Long/Short Equity Fund	811-05742
#131	BlackRock Unconstrained Equity Fund	811-21759
#132	BlackRock World ex U.S. Carbon Transition Readiness ETF	811-23402
#133	Diversified Equity Master Portfolio	811-08162
#134	International Tilts Master Portfolio	811-08162
#135	Large Cap Index Master Portfolio	811-08162
#136	Master Small Cap Index Series	811-07885
#137	S&P 500 Index Master Portfolio	811-08162
#138	Total International Ex U.S. Index Master Portfolio	811-08162
#139	U.S. Total Bond Index Master Portfolio	811-08162
#140	iShares A.I. Innovation and Tech Active ETF	811-23402
#141	iShares AAA CLO Active ETF	811-23511
#142	iShares BBB-B CLO Active ETF	811-23511
#143	iShares Developed Real Estate Index Fund	811-05742

#144	iShares Enhanced Roll Yield Index Fund	811-05742
#145	iShares Enhanced Short-Term Bond Active ETF	811-23402
#146	iShares FTSE NAREIT All Equity REIT Index Fund	811-05742
#147	iShares FinTech Active ETF	811-23402
#148	iShares Flexible Income Active ETF	811-23511
#149	iShares Floating Rate Loan Active ETF	811-23511
#150	iShares Health Innovation Active ETF	811-23402
#151	iShares High Yield Active ETF	811-23511
#152	iShares High Yield Muni Active ETF	811-23511
#153	iShares Intermediate Muni Income Active ETF	811-23511
#154	iShares International Country Rotation Active ETF	811-23402
#155	iShares International Dividend Active ETF	811-23402
#156	iShares Large Cap Core Active ETF	811-23402
#157	iShares Large Cap Deep Quarterly Laddered ETF	811-23511
#158	iShares Large Cap Growth Active ETF	811-23402
#159	iShares Large Cap Moderate Quarterly Laddered ETF	811-23511
#160	iShares Large Cap Value Active ETF	811-23402
#161	iShares MSCI EAFE International Index Fund	811-07899
#162	iShares Managed Futures Active ETF	811-23402
#163	iShares Municipal Bond Index Fund	811-05742
#164	iShares Russell Mid-Cap Index Fund	811-05742
#165	iShares Russell Small/Mid-Cap Index Fund	811-05742
#166	iShares Short Duration High Yield Muni Active ETF	811-23511
#167	iShares Short-Term California Muni Active ETF	811-23511
#168	iShares Short-Term TIPS Bond Index Fund	811-05742
#169	iShares Technology Opportunities Active ETF	811-23402
#170	iShares Total Return Active ETF	811-23511
#171	iShares Total U.S. Stock Market Index Fund	811-05742
#172	iShares U.S. Equity Factor Rotation Active ETF	811-23402
#173	iShares U.S. Industry Rotation Active ETF	811-23402
#174	iShares U.S. Intermediate Credit Bond Index Fund	811-05742
#175	iShares U.S. Intermediate Government Bond Index Fund	811-05742
#176	iShares U.S. Large Cap Premium Income Active ETF	811-23402
#177	iShares U.S. Long Credit Bond Index Fund	811-05742

#178	iShares U.S. Long Government Bond Index Fund	811-05742
#179	iShares U.S. Securitized Bond Index Fund	811-05742
#180	iShares U.S. Select Equity Active ETF	811-23402
#181	iShares U.S. Thematic Rotation Active ETF	811-23402

v. Did the Fund draw on the line of credit this period?	☐ Yes ☒ No
b. Did the Fund engage in interfund lending?	☐ Yes ☒ No
c. Did the Fund engage in interfund borrowing?	☐ Yes ☒ No

Item C.21. Swing pricing.

For open-end management investment companies, respond to the following:

a. Did the Fund (if not a Money Market Fund, Exchange-Traded Fund, or Exchange-Traded Managed Fund) engage in swing pricing?	☐ Yes ☒ No

Item C.22. Liquidity classification services.

For open-end management investment companies subject to rule 22e-4 (17 CFR 270.22e-4), respond to the following:

a. Provide the following information about each person that provided liquidity classification services to the Fund during the reporting period:

Liquidity Classification Record	Full name	Identifying number(s)	State, if applicable	Foreign country, if applicable	Is the liquidity classification service an affiliated person of the Fund or its investment adviser(s)?	Asset class(es) for which liquidity classification services were provided to the Fund
#1	BlackRock Fund Advisors	**LEI:** 549300YOOGP0Y1M95C20	CALIFORNIA	UNITED STATES OF AMERICA	Yes	Equity-common

b. Was a liquidity classification service hired or terminated during the reporting period?	☐ Yes ☒ No

N-CEN/A:Part G: Attachments

Item G.1a. Attachments.

a. Attachments applicable to all Registrants. All Registrants shall file the following attachments, as applicable, with the current report. Indicate the attachments filed with the current report by checking the applicable items below:	☐ i. Legal proceedings ☐ ii. Provision of financial support ☒ iii. Independent public accountant's report on internal control (management investment companies other than small business investment companies only) ☐ iv. Change in accounting principles and practices ☐ v. Information required to be filed pursuant to exemptive orders ☐ vi. Other information required to be included as an attachment pursuant to Commission rules and regulations

Instructions.

1. Item G.1.a.i. Legal proceedings.

(a) If the Registrant responded "YES" to Item B.11.a., provide a brief description of the proceedings. As part of the description, provide the case or docket number (if any), and the full names of the principal parties to the proceeding.
(b) If the Registrant responded "YES" to Item B.11.b., identify the proceeding and give its date of termination.

2. Item G.1.a.ii. Provision of financial support. If the Registrant responded "YES" to Item B.14., provide the following information (unless the Registrant is a Money Market Fund): (a) Description of nature of support.

(b) Person providing support.

(c) Brief description of relationship between the person providing support and the Registrant.

(d) Date support provided.

(e) Amount of support.

(f) Security supported (if applicable). Disclose the full name of the issuer, the title of the issue (including coupon or yield, if applicable) and at least two identifiers, if available (e.g., CIK, CUSIP, ISIN, LEI).
(g) Value of security supported on date support was initiated (if applicable).

(h) Brief description of reason for support.

(i) Term of support.

(j) Brief description of any contractual restrictions relating to support.

3. Item G.1.a.iii. Independent public accountant's report on internal control (management investment companies other than small business investment companies only). Each management investment company shall furnish a report of its independent public accountant on the company's system of internal accounting controls. The accountant's report shall be based on the review, study and evaluation of the accounting system, internal accounting controls, and procedures for safeguarding securities made during the audit of the financial statements for the reporting period. The report should disclose any material weaknesses in: (a) the accounting system; (b) system of internal accounting control; or (c) procedures for safeguarding securities which exist as of the end of the Registrant's fiscal year.

The accountant's report shall be furnished as an exhibit to the form and shall: (1) be addressed to the Registrant's shareholders and board of directors; (2) be dated; (3) be signed manually; and (4) indicate the city and state where issued.

Attachments that include a report that discloses a material weakness should include an indication by the Registrant of any corrective action taken or proposed.

The fact that an accountant's report is attached to this form shall not be regarded as acknowledging any review of this form by the independent public accountant.

4. Item G.1.a.iv. Change in accounting principles and practices. If the Registrant responded "YES" to Item B.21, provide an attachment that describes the change in accounting principles or practices, or the change in the method of applying any such accounting principles or practices. State the date of the change and the reasons therefor. A letter from the Registrant's independent accountants, approving or otherwise commenting on the change, shall accompany the description.

5. Item G.1.a.v. Information required to be filed pursuant to exemptive orders. File as an attachment any information required to be reported on Form N-CEN or any predecessor form to Form N-CEN (e.g., Form N-SAR) pursuant to exemptive orders issued by the Commission and relied on by the Registrant.

6. Item G.1.a.vi. Other information required to be included as an attachment pursuant to Commission rules and regulations. File as an attachment any other information required to be included as an attachment pursuant to Commission rules and regulations.

N-CEN/A: Signature

Pursuant to the requirements of the Investment Company Act of 1940, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Registrant	BlackRock Funds III
Date	2026-03-10
Signature	Chuck Pulsfort
Title	Assistant Treasurer

Report of Independent Registered Public Accounting Firm

To the Board of Trustees of BlackRock Funds III and Shareholders of each of the eleven funds listed in Appendix A

In planning and performing our audits of the financial statements of the funds listed in Appendix A (hereafter collectively referred to as the "Funds") as of and for the year ended October 31, 2025, in accordance with the standards of the Public Company Accounting Oversight Board (United States) (PCAOB), we considered the Funds' internal control over financial reporting, including controls over safeguarding securities, as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements and to comply with the requirements of Form N-CEN, but not for the purpose of expressing an opinion on the effectiveness of the Funds' internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Funds' internal control over financial reporting.

The management of the Funds is responsible for establishing and maintaining effective internal control over financial reporting. In fulfilling this responsibility, estimates and judgments by management are required to assess the expected benefits and related costs of controls. A company's internal control over financial reporting is a process designed to provide reasonable assurance regarding the reliability of financial reporting and the preparation of financial statements for external purposes in accordance with generally accepted accounting principles. A company's internal control over financial reporting includes those policies and procedures that (1) pertain to the maintenance of records that, in reasonable detail, accurately and fairly reflect the transactions and dispositions of the assets of the company; (2) provide reasonable assurance that transactions are recorded as necessary to permit preparation of financial statements in accordance with generally accepted accounting principles, and that receipts and expenditures of the company are being made only in accordance with authorizations of management and directors of the company; and (3) provide reasonable assurance regarding prevention or timely detection of unauthorized acquisition, use or disposition of a company's assets that could have a material effect on the financial statements.

Because of its inherent limitations, internal control over financial reporting may not prevent or detect misstatements. Also, projections of any evaluation of effectiveness to future periods are subject to the risk that controls may become inadequate because of changes in conditions, or that the degree of compliance with the policies or procedures may deteriorate.

A deficiency in internal control over financial reporting exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control over financial reporting, such that there is a reasonable possibility that a material misstatement of the company's annual or interim financial statements will not be prevented or detected on a timely basis.

Our consideration of the Funds' internal control over financial reporting was for the limited purpose described in the first paragraph and would not necessarily disclose all deficiencies in internal control over financial reporting that might be material weaknesses under standards established by the PCAOB. However, we noted no deficiencies in the Funds' internal control over financial reporting and its operation, including controls over safeguarding securities, that we consider to be material weaknesses as defined above as of October 31, 2025.

This report is intended solely for the information and use of the Board of Trustees of BlackRock Funds III and the Securities and Exchange Commission and is not intended to be and should not be used by anyone other than these specified parties.

/s/PricewaterhouseCoopers LLP
Philadelphia, Pennsylvania
December 22, 2025

Appendix A

BlackRock Funds III

1. BlackRock Diversified Fixed Income Fund
2. BlackRock LifePath ESG Index 2030 Fund
3. BlackRock LifePath ESG Index 2035 Fund
4. BlackRock LifePath ESG Index 2040 Fund
5. BlackRock LifePath ESG Index 2045 Fund
6. BlackRock LifePath ESG Index 2050 Fund
7. BlackRock LifePath ESG Index 2055 Fund
8. BlackRock LifePath ESG Index 2060 Fund
9. BlackRock LifePath ESG Index 2065 Fund
10. BlackRock LifePath ESG Index 2070 Fund
11. BlackRock LifePath ESG Index Retirement Fund