



MEMBER FIRMS 5.28.18

AD Banker & Co
American Funds Distributors
Ameriprise Financial, Inc.
AXA US
Bank of America-Merrill Lynch
Barclays
BlackRock
BLACKSTONE
BNY Mellon
Cantor Fitzgerald
Cetera Financial Group
Charles Schwab
Citizens Capital Markets, Inc.
Citizens Securities, Inc.
Commonwealth Financial Network
Credit Suisse Securities USA LLC
Daiwa Capital Markets
Deutsche Bank Securities Inc.
Dimensional Fund Advisors
E*TRADE Financial Corporation
Exchange Analytics Inc.
Guggenheim Securities, LLC
ING Financial Markets LLC
Jane Street
Janney Montgomery Scott LLC
JPMorgan Securities LLC
Key Investment Services
KeyBanc Capital Markets Inc
Knopman Marks Financial Training
Legg Mason Investor Services, LLC
Lincoln Investment
Lockton Companies
MassMutual
Mesirow Financial
Morgan Stanley
Nationwide

ARM Association Of Registration Management, Inc.

NatWest Markets Securities Inc.
Neuberger Berman BD LLC
New York Life Insurance Company
Nomura Securities International, Inc.
Northwestern Mutual
Nuveen Securities, LLC
OPPENHEIMER & CO. INC.
Piper Jaffray & Co.
Primerica
Prometric
Prudential Insurance Company of America, Inc.
Quasar Distributors, LLC
Raymond James
RBC Capital Markets, LLC
RegEd
Renaissance Regulatory Services
Robert W. Baird
Scotia Capital (USA) Inc.
SDDco Regulatory Services LLC
Securities Training Corp
SG Americas Securities, LLC
SMBC NIKKO SECURITIES AMERICA, INC.
Stephens Inc.
Stifel Nicolaus
Sunset Financial Services, Inc.
T. Rowe Price Investment Services, Inc.
TD Securities (USA) LLC
The Huntington Investment Company
Thrivent Financial
TIAA
UBS
ValMark Financial Group
Waddell & Reed
Wells Fargo Advisors
Wells Fargo Securities, LLC