

**Alternative Trading Systems  
Effective Registrations as of August 1, 2013**

| <b>Full Name of Alternative Trading System (as provided in item 1.A. of Form ATS)</b> | <b>Name(s) Under Which Business Is Conducted (as provided in item 1.B. of Form ATS)</b> | <b>City and State of Alternative Trading System (as provided in item 1.F. of Form ATS)</b> |
|---|---|--|
| Alerus Securities   |   | Grand Forks, ND  |
| Apogee  | Citadel Securities  | Chicago, IL  |
| Aqua Securities L.P.  |   | New York, NY   |
| ArcaEdge  | Archipelago Trading Services, Inc.  | Chicago, IL  |
| ATS-1   | Morgan Stanley & Co. Incorporated   | New York, NY   |
| ATS-1 (Merrill Lynch)   |   | New York, NY   |
| ATS-2 (Merrill Lynch)   | Instinct X  | New York, NY   |
| ATS-4   | Morgan Stanley & Co. Incorporated   | New York, NY   |
| ATS-5   | Morgan Stanley & Co. Incorporated   | New York, NY   |
| ATS-6   | Morgan Stanley & Co. Incorporated   | New York, NY   |
| Automated Equity Finance Markets, Inc.  | AQS   | New York, NY   |
| Barclays ATS  | LX  | New York, NY   |
| Barclays DirectEx   | Barclays Capital, Inc.  | New York, NY   |
| BGC Financial L.P.  | BGC Financial   | New York, NY   |
| BIDS Trading, L.P.  | BIDS Trading  | New York, NY   |
| BLOOMBERG TRADEBOOK LLC,<br>as operator of BLOOMBERG<br>TRADEBOOK SYSTEM              | TRADEBOOK   | New York, NY   |
| BLOOMBERG TRADEBOOK LLC,<br>as operator of BLOOMBERG<br>TRADEBOOK TBX SYSTEM          | Tradebook TBX and IOIX  | New York, NY   |
| BondDesk Trading LLC  |   | New York, NY   |
| Bonds.Com, Inc.   | BondPro   | Boca Raton, FL   |
| Brokertec   | ICAP Electronic Broking LLC   | Jersey City, NJ  |
| CITI CREDIT CROSS   | CITI CREDIT CROSS is owned and operated by Citigroup Global Markets Inc. (CGMI)         | New York, NY   |
| CITICROSS   | Citigroup Global Markets Inc. (CGMI)  | New York, NY   |
| ConvergEx Cross   |   | New York, NY   |
| ConvergEx Millennium  |   | New York, NY   |
| Credit Suisse Securities (USA) LLC  | Light Pool  | New York, NY   |
| Credit Suisse Securities (USA) LLC  | CrossFinder   | New York, NY   |
| Curian Clearing, LLC  |   | Denver, CO   |
| Dealerweb, Inc.   | Dealerweb   | Jersey City, NJ  |
| DEEP ATS, LLC   |   | Houston, TX  |
| Deutsche Bank Securities, Inc.  | SuperX  | New York, NY   |
| eBX LLC   | Level ATS   | Boston, MA   |
| FixCenter, LLC  |   | New York, NY   |

| <b>Full Name of Alternative Trading System (as provided in item 1.A. of Form ATS)</b> | <b>Name(s) Under Which Business Is Conducted (as provided in item 1.B. of Form ATS)</b>  | <b>City and State of Alternative Trading System (as provided in item 1.F. of Form ATS)</b> |
|---|--|--|
| Folio Investing Note Trader Platform  | Foliofn Investment, Inc.   | McLean, VA   |
| FOLIOfn Investments, Inc.   |  | McLean, VA   |
| GATE US LLC   |  | New York, NY   |
| GETMatched ATS  |  | Chicago, IL  |
| GFI Securities LLC  |  | New York, NY   |
| Grant Street Securities, Inc.   |  | Pittsburgh, PA   |
| Hartfield, Titus & Donnelly LLC   | HTDOnline  | Jersey City, NJ  |
| IATMarkets, LLC   |  | New York, NY   |
| ICAP Trading System   | ICAP Corporates  | Jersey City, NJ  |
| ICE Creditbook  | Creditex Securities Corp.  | New York, NY   |
| Instinet Continuous Block Crossing System (CBX)                                       | Instinet, LLC  | New York, NY   |
| Instinet Crossing Real-Time Trading Services (RTTS)                                   | Instinet, LLC  | New York, NY   |
| Interactive Brokers LLC   |  | Greenwich, CT  |
| J.P. Morgan ATS ("JPM-X")   | J.P. Morgan Securities LLC   | New York, NY   |
| JET-X   |  | New York, NY   |
| KCG BondPoint   | KCG BondPoint as division of Knight Capital Americas LLC   | Jersey City, NJ  |
| Knight Capital Americas LLC   | Knight Match   | Jersey City, NJ  |
| LavaFlow ECN  |  | New York, NY   |
| Lending Club Trading Market   | FOLIOfn Investments, Inc.  | Arlington, VA  |
| LiquidNet H2O ATS   |  | New York, NY   |
| Liquidnet Negotiation ATS   |  | New York, NY   |
| LiquidPoint NXP   |  | Chicago, IL  |
| LIQUIFI   | LIQUIFI is owned and operated by Citigroup Global Markets, Inc. (CGMI) and CitiCross (CX) are functionalities of LIQUIFI and may be referred as such | New York, NY   |
| Maps ECN  | Marco Polo Securities  | New York, NY   |
| MarketAxess Corporation Mid-X Trading System  | Mid-X System   | New York, NY   |
| MarketAxess Corporation Single-Name CDS Central Limit Order Book                      | MarketAxess CDS CLOB   | New York, NY   |
| Mismi, Inc.   |  | New York, NY   |
| MTS Markets International, Inc.   |  | New York, NY   |
| MuniAxis Lebenthal LLC  |  | New York, NY   |
| National Financial Services, LLC  | CrossStream, CrossStream BLOX SM (BLOCK Liquidity Opportunity Cross)   | Boston, MA   |
| OTC Link LLC  |  | New York, NY   |
| PDQ ATS Inc.  |  | Glenview, IL   |
| Phoenix Derivatives Group, LLC  |  | New York, NY   |
| POSIT   |  | New York, NY   |
| PPG West, LLC   |  | New York, NY   |

| Full Name of Alternative Trading System (as provided in item 1.A. of Form ATS) | Name(s) Under Which Business Is Conducted (as provided in item 1.B. of Form ATS) | City and State of Alternative Trading System (as provided in item 1.F. of Form ATS) |
|--|--|---|
| PRO Securities, LLC  |  | Newark, NJ  |
| Real Time Platform   | Creditex Securities Corp.  | New York, NY  |
| RiverCross   | River Cross Securities, LLLP   | Bala Cynwyd, PA   |
| Schwab BondSource  | Chales Schwab & Co. Inc.   | San Francisco, CA   |
| Second Market, Inc.  |  | New York, NY  |
| Shares Post Financial Corporation  |  | San Bruno, CA   |
| SIGMA X  | Sigma X is owned and operated by Goldman Sachs Execution & Clearing, LP (GSEC)   | Jersey City, NJ   |
| Spread Zero LLC  | Spread Zero or Spread Zero ATS   | New York, NY  |
| State Street Global Markets LLC  | BlockCross ATS   | Boston, MA  |
| Sterling Trader Execution Services, Inc.                                       | Sterling ATS   | Chicago, IL   |
| Sterling Trader Execution Services, Inc.                                       | Sterling ECN   | Chicago, IL   |
| Structured Credit Connection   |  | New York, NY  |
| Sutter Securities Incorporated   | Zanbato ATS  | San Francisco, CA   |
| TheMuniCenter, L.L.C.  |  | New York, NY  |
| TradeWeb L.L.C.  |  | Jersey City, NJ   |
| Tripleshot, LLC  |  | Boston, MA  |
| Tullet Prebon Financial Services LLC   |  | New York, NY  |
| UBS ATS  | UBS Securities LLC   | Stamford, CT  |
| Variable Investment Advisors, Inc. ATS (VIAATS)                                | www.AGSTOCKTRADE.COM,<br>www.LIQUIDITYMAKER.COM                                  | Sioux Falls, SD   |
| Vega-Chi US Limited  |  | New York, NY  |
| VortEx   |  | New York, NY  |
| Wells Fargo Securities, LLC  | Wells Fargo Liquidity Crosser  | New York, NY  |
| XE   | Weeden & Co.   | Greenwich, CT   |
| Xpert Securities, Inc.   |  | San Mateo, CA   |

### Cessation of Operations Reports Recently Filed

| Full Name of Alternative Trading System (as provided in item 1.A. of Form ATS) | Name(s) Under Which Business Is Conducted (as provided in item 1.B. of Form ATS) | City and State of Alternative Trading System (as provided in item 1.F. of Form ATS) |
|--|--|---|
| AX Trading, LLC  |  | Stamford, CT  |
| BlackRock Capital Markets, LLC   | The Aladdin Trading Network  | New York, NY  |
| ICE Match  | ICE Execution Services, LLC  | New York, NY  |
| MarketAxess Corporation  |  | New York, NY  |
| Pragma OneCross  | Pragma Securities, LLC   | Greenwich, CT   |