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SEC / MR

June 18, 2014

VIA FEDERAL EXPRESS

Tina Barry, Esq.  
Division of Market Regulation  
Office of Market Supervision  
450 Fifth Street, N.W.  
Washington, DC 20549

RE: Form 1 Annual Amendment

Dear Ms. Barry:

Pursuant to Rule 6a-2 of the Securities Exchange Act of 1934 (the "Exchange Act"), enclosed please find one original and two copies of the annual amendment to National Stock Exchange, Inc.'s (the "NSX") Form 1. An amended Execution Page and information in Exhibits D, J, K, M and N are enclosed. Exhibit I will be provided at a later date.

Please contact me if you have any further questions on the enclosed materials.

Sincerely,

Susan Arneel  
Chief Regulatory Officer  
National Stock Exchange, Inc.  
p: 201-499-0164

Encl.

**National Stock Exchange, Inc.**  
**Form 1 Table of Contents**

<b>DOCUMENT</b>	<b>REFERENCE</b>
Form 1 Filing	Form 1
Exhibit D Summary	Exhibit D
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Exhibit N Summary	Exhibit N

Form 1  
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UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549  
APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR,  
REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION  
FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT

Date filed  
(MM/DD/YY):  
6/12/14

OFFICIAL  
USE  
ONLY

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative, or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS

APPLICATION

AMENDMENT

National Stock Exchange, Inc.

1. State the name of the applicant: \_\_\_\_\_

2. Provide the applicant's primary street address (Do not use a P.O. Box):  
\_\_\_\_\_

101 Hudson Street, Suite 1200, Jersey City, NJ 07302

3. Provide the applicant's mailing address (if different):  
\_\_\_\_\_  
\_\_\_\_\_

4. Provide the applicant's business telephone and facsimile number:  
\_\_\_\_\_

201-499-3700

201-499-0174

(Telephone)

(Facsimile)

5. Provide the name, title, and telephone number of a contact employee:  
\_\_\_\_\_

Susan Ameal

Chief Regulatory Officer

201-499-0164

(Name)

(Title)

(Telephone Number)

6. Provide the name and address of counsel for the applicant:  
\_\_\_\_\_

James Buckley, Senior Regulatory Counsel

National Stock Exchange, Inc.

101 Hudson Street, Suite 1200, Jersey City, NJ 07302

7. Provide the date applicant's fiscal year ends: \_\_\_\_\_  
December 31

8. Indicate legal status of applicant:  Corporation  Sole Proprietorship  Partnership  
 Limited Liability Company  Other (specify): \_\_\_\_\_

If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):  
\_\_\_\_\_

(a) Date (MM/DD/YY): 6/26/06 (b) State/Country of formation: Delaware, USA

(c) Statute under which applicant was organized: D.C.L. 245 et seq.

**EXECUTION:** The applicant consents that service of any civil action brought by , or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of , and with the authority of , said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

National Stock Exchange, Inc.

Date: 6/18/2014 \_\_\_\_\_

(MMDDYY)

(Name of applicant)

By: Susan Ameal \_\_\_\_\_  
(Signature)

Susan Ameal, Chief Regulatory Officer

Subscribed and sworn before me this 18<sup>th</sup> day of June, 2014 by MARLENA WINKELMAN

(Month)

(Year)

(Notary Public)

My Commission expires MAR. 7, 2017 County of Hudson State of NJ

This page must always be completed in full with original, manual signature and notarization.  
Affix notary stamp or seal where applicable.

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United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
Amendment to Application for Registration as a National Securities Exchange

*National Stock Exchange, Inc.*

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*Exhibit D*

**Exhibit Request:**

**For each subsidiary or affiliate of the exchange, provide unconsolidated financial statements for the latest fiscal year. Such financial statements shall consist of, at a minimum, a balance sheet and income statement with such footnotes and other disclosures as are necessary to avoid rendering the financial statements misleading. If any affiliate or subsidiary is required by another Commission rule to submit annual financial statements, a statement to that effect, with a citation to the other Commission rule, may be provided in lieu of the financial statements required here.**

**Response:**

A.	NSX Securities, LLC	Pursuant to Exchange Act Rule 17a-5, NSX Securities, LLC is required to submit annual financial statements directly to the Commission.
B.	CBOE Holdings, Inc.	Pursuant to Exchange Act Rule 6a-2, CBOE Holdings, Inc. is required to submit annual financial statements directly to the Commission.
C.	Chicago Board Options Exchange, Incorporated	Pursuant to Exchange Act Rule 6a-2, the Chicago Board Options Exchange, Incorporated is required to submit annual financial statements directly to the Commission.
D.	C2 Options Exchange, Incorporated	Pursuant to Exchange Act Rule 6a-2, the C2 Options Exchange, Incorporated is required to submit annual financial statements directly to the Commission.
E.	The Options Exchange, Incorporated	Pursuant to Exchange Act Rule 6a-2, The Options Exchange, Incorporated is required to submit annual financial statements directly to the Commission.

F.	DerivaTech Corporation	Pursuant to Exchange Act Rule 6a-2, DerivaTech Corporation is required to submit annual financial statements directly to the Commission.
G.	CBOE, LLC	Pursuant to Exchange Act Rule 6a-2, CBOE, LLC is required to submit annual financial statements directly to the Commission.
H.	OneChicago, LLC	Pursuant to Exchange Act Rule 6a-2, OneChicago, LLC is required to submit annual financial statements directly to the Commission.
I.	Signal Trading Systems, LLC	Pursuant to Exchange Act Rule 6a-2, Signal Trading Systems, LLC is required to submit annual financial statements directly to the Commission.
J.	Market Data Express, LLC	Pursuant to Exchange Act Rule 6a-2, Market Data Express, LLC is required to submit annual financial statements directly to the Commission.
K.	CBOE Stock Exchange, LLC	Pursuant to Exchange Act Rule 6a-2, CBOE Stock Exchange, LLC is required to submit annual financial statements directly to the Commission.
L.	Chicago Options Exchange Building Corporation	Pursuant to Exchange Act Rule 6a-2, the Chicago Options Exchange Building Corporation is required to submit annual financial statements directly to the Commission.
M.	CBOE Futures Exchange, LLC	Pursuant to Exchange Act Rule 6a-2, the CBOE Futures Exchange, LLC is required to submit annual financial statements directly to the Commission.
N.	The Consolidated Tape Association	Pursuant to Exchange Act Rule 6a-2, The Consolidated Tape Association is required to submit annual financial statements directly to the Commission.
O.	Depository Trust and Clearing Corporation ("DTTC")	Pursuant to Exchange Act Rule 6a-2, the DTTC is required to submit annual financial statements directly to the Commission.

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
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*National Stock Exchange, Inc.*

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*Exhibit I*

**Exhibit Request:**

**For the latest fiscal year of the applicant, audited financial statements which are prepared in accordance with, or in the case of a foreign applicant, reconciled with, United States generally accepted accounting principles, and are covered by a report prepared by an independent public accountant. If an applicant has no consolidated subsidiaries, it shall file audited financial statements under Exhibit I alone and need not file a separate unaudited financial statement for the applicant under Exhibit D.**

**Response:**

Exhibit I will be provided at a later date.

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
Amendment to Application for Registration as a National Securities Exchange

*National Stock Exchange, Inc.*

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*Exhibit J*

Officers, Directors, Members of Standing Committees  
(from June 30, 2012 through Present)

Officers:

David F. Harris	Director, Chairman, & Chief Executive Officer Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Francis Corcoran	President, Chief Administrative Officer Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Bruce Kulback	Chief Information Officer Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Susan Ameen	Chief Regulatory Officer, Regulation Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Jeremy Sanchez	Chief Compliance Officer Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Michael Serafin	Vice President, Client Services Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal. Employee of the Exchange.
Philip M. Pinc	Vice President, Counsel and Secretary Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.

Employee of the Exchange.

**James G. Buckley** Senior Regulatory Counsel, Regulation  
Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.  
Employee of the Exchange.

**Francis Paulino** Senior Vice President, Business Development  
Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.  
Employee of the Exchange.

**Former Officers:**

**Paul Smith** Acting Chief Regulatory Officer  
Ceased Employment October 26, 2012.  
Former Employee of the Exchange.

**Kenneth A. Hanson** Vice President, Finance  
Ceased Employment May 31, 2012.  
Former Employee of the Exchange.

**Christopher Solgan** Senior Regulatory Counsel, Regulation  
Ceased Employment May 10, 2013.  
Former Employee of the Exchange.

**Wendy Fumagalli** Vice President, Finance and Accounting  
Ceased Employment June 11, 2013.  
Former Employee of the Exchange.

**David Reed** Chief Operating Officer  
Ceased Employment June 13, 2014.  
Former Employee of the Exchange.



Officers, Directors, Members of Standing Committees  
(from June 30, 2012 through Present)

Directors:

David F. Harris	Director, Chairman and Chief Executive Officer. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. CEO Director.
Craig Drill	Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.
John Faso	Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.
Kathleen Hamm	Director. Service commenced February 10, 2012 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.
Gordon Martin	Director. Service commenced on December 31, 2012 and expires at the Exchange's next Annual Meeting. Industry Director.
Thomas O'Mara	Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. ETP Holder Director.
Jeffrey Brown	Director. Service commenced December 31, 2012 and current term expires at the Exchange's next Annual Meeting. ETP Holder Director.
Antoine Shagoury	Director. Service commenced February 10, 2012 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.
Michael Szymanski	Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.
Gerald T. O'Connell	Director. Service commenced on March 27, 2012 and current term expires at the Exchange's next Annual Meeting. Industry Director.

*Exhibit J (cont.)*

**Former Directors:**

John Procopion	Service commenced on December 31, 2010 and expired December 31, 2012. Former ETP Holder Director.
Patrick Faye	Service commenced December 30, 2011 and expired on February 10, 2012. Former Industry Director.
Edward Provost	Service commenced February 10, 2012 and expired on March 27, 2012. Former Industry Director.

Exchange Committees

Executive Committee

Current Members

David Harris (Chairman), term commenced 2/10/12  
Thomas O'Mara, term commenced 2/10/12  
John Faso, term commenced 2/10/12  
Kathleen Hamm, term commenced 2/10/12  
Gerald T. Connell, term commenced 6/28/12

Executive Compensation Committee

Current Members

Antoine Shagoury (Chairman), term commenced 2/10/12  
Craig Drill, term commenced 2/10/12  
Michael Szymanski, term commenced 2/10/12

Governance & Nominating Committee

Current Members

John Faso (Chairman), term commenced 2/10/12  
David Harris, term commenced 2/10/12  
Craig Drill, term commenced 2/10/12  
Jeffrey Brown, service commenced 03/27/13

Former Members

John Procopion, term ended 12/31/12

ETP Holder Director Nominating Committee

Current Members

Thomas O'Mara (Chairman), term commenced 12/30/11  
Jeffrey Brown, service commenced 03/27/13  
Andrew O'Hara, service commenced 03/27/13

Former Members

John Procopion, term ended 12/31/12  
Jeffery Shaw, term ended 03/27/13

Audit Committee

Current Members

Michael Szymanski (Chairman), term commenced 2/10/12  
John Faso, term commenced 2/10/12  
Antoine Shagoury, term commenced 2/10/12

Regulatory Oversight Committee

Current Members

Kathleen Hamm (Chairwoman), term commenced 2/10/12  
John Faso, term commenced 2/10/12  
Michael Szymanski, term commenced 2/10/12

Business Conduct Committee

Current Members

Elizabeth H. Baird, term commenced 6/28/12  
Richard Y. Roberts, term commenced 6/28/12  
Anthony Seisser, term commenced 6/28/12

Appeals Committee

Current Members

Jeffrey Brown, service commenced 03/27/13  
Thomas O'Mara, term commenced 2/10/12  
Craig Drill, term commenced 2/10/12

Former Members

John Procopion, term ended 12/31/12

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
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*National Stock Exchange, Inc.*

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*Exhibit K*

**Exhibit Request:**

This Exhibit is applicable only to exchanges that have one or more owners, shareholders, or partners that are not also members of the exchange. If the exchange is a corporation, please provide a list of each shareholder that directly owns 5% or more of a class of a voting security of the applicant. If the exchange is a partnership, please provide a list of all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of the partnership's capital. For each of the persons listed in the Exhibit K, please provide the following:

1. Full legal name;
2. Title or Status;
3. Date title or status was acquired;
4. Approximate ownership interest; and
5. Whether the person has control, a term that is defined in the instructions to this Form.

**Response:**

Full Legal Name	Status	Date Acquired	Ownership Interest	Whether the person has control
CBOE Stock Exchange, LLC	Parent	December 31, 2011	100%	Yes

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
Amendment to Application for Registration as a National Securities Exchange

*National Stock Exchange, Inc.*

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*Exhibit M*

**Exhibit Request:**

**Provide an alphabetical list of all members, participants, subscribers or other users, including the following information:**

1. **Name,**
2. **Date of election to membership or acceptance as a participant, subscriber or other user,**
3. **Principal business address and telephone number,**
4. **If member, participant, subscriber or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (e.g., partner, officer, director, employee, etc.),**
5. **Describe the type of activities primarily engaged in by the member, participant, subscriber, or other user (e.g., floor broker, specialist, odd lot dealer, other market maker, proprietary trader, non-broker dealer, inactive or other functions). A person shall be “primarily engaged” in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in any of the six types of activities or functions enumerated in this item, identify each type (e.g., proprietary trader, Registered Competitive Trader and Registered Competitive Market Maker) and state the number of members, participants, subscribers, or other users in each, and**
6. **The class of membership, participation or subscription or other access.**

**Response:**

Pursuant to Rule 11.1, at the close of trading on May 30, 2014 the Exchange terminated the status of all Equity Trading Permit (“ETP”) holders. The 65 ETP holders approved prior to termination date are listed in Exhibit M1.

**Exhibit M1 - ETP Holders of the Exchange as of May 30, 2014**

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
Amendment to Application for Registration as a National Securities Exchange

*National Stock Exchange, Inc.*

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*Exhibit N*

**Exhibit Request:**

Provide a schedule for each of the following:

1. **The securities listed in the exchange, indicating for each the name of the issuer and a description of the security;**
2. **The securities admitted to UTPs, indicating for each the name of the issuer and a description of the security;**
3. **The unregistered securities admitted to trading on the exchange which are exempt from registration under Section 12(a) of the Act. For each security listed, provide the name of the issuer and a description of the security, and the statutory exemption claimed (e.g., Rule 12a-6); and**
4. **Other securities traded on the exchange, including for each the name of the issuer and a description of the security.**

**Response:**

1. Securities listed on the Exchange as of May 30, 2014:

None.

2. Securities admitted to unlisted trading privileges as of May 30, 2014:

**Exhibit N1**

3. Unregistered securities admitted to trading on the Exchange that are exempt from registration under Section 12(a) of the Act as of May 30, 2014:

None.

4. Other securities traded on the Exchange as of May 30, 2014:

None.

National Stock Exchange  
Membership as of May 30, 2014

	ETP Applicant	CRD #	Membership Approval Date	Status Effective Date	Address Line 1	Address Line 2	Phone
1	ABN Amro Clearing Chicago LLC	14020	02/12/07	02/12/07	175 West Jackson Blvd., Suite 400	Chicago, IL 60604	(312) 604-8020
2	Apex Clearing Corporation	13071	06/06/12	06/06/12	1700 Pacific Avenue	Dallas TX, 75201	(312) 444-8707
3	Archipelago Securities L.L.C.	102500	05/11/07	05/11/07	100 South Wacker Drive, Suite 1800	Chicago, IL 60606	(312) 442-7142
4	Assent LLC	104162			5 Marine View Plaza, Suite 102	Hoboken, NJ 07030	
5	Barclays Capital Inc.	19714	04/04/07	04/04/07	745 7th Avenue	New York, NY 10019	(212) 526-6967
6	BATS Trading, Inc.	136734	03/09/06	03/09/06	8050 Marshall Drive, Suite 120	Lenexa, KS 66214	(913) 815-7113
7	Bloomberg Tradebook LLC	40881	10/30/07	10/30/07	731 Lexington Avenue	New York, NY 10022	(212) 617-3917
8	Blue Fire Capital, LLC	144831	10/30/08	10/30/08	311 S. Wacker Drive, Suite 2000	Chicago, IL 60606	(312) 242-0562
9	BMO Capital Markets Corp.	16686	12/14/06	12/14/06	3 Times Square	New York, NY 10036	(212) 605-1646
10	BNP Paribas Prime Brokerage, Inc.	24962	07/18/12	07/18/12	787 7th Avenue	New York, NY 10019	(201) 850-5164
11	BNP Paribas Securities Corp.	15794	09/16/08	09/11/08	787 Seventh Avenue	New York, NY 10019	(201) 850-5164
12	Cantor Fitzgerald & Co.	134	11/04/91	03/06/00	110 East 59th Street, 4th Floor	New York, NY 10022	(212) 610-2334
13	Citadel Securities LLC	116797	07/20/09	07/20/09	131 South Dearborn Street, 32nd Floor	Chicago, IL 60603	(312) 395-3116
14	Citigroup Global Markets Inc.	7059	10/20/06	09/07/89	390-388 Greenwich Street	New York, NY 10013	(718) 248-3532
15	Cowen and Company, LLC	7616	12/23/08	12/23/08	599 Lexington Avenue, 20th Floor	New York, NY 10020	(212) 201-4855
16	Credit Suisse Securities (USA) LLC	816	02/27/04	02/27/04	11 Madison Avenue, 24th Floor	New York, NY 10010	(212) 538-9636
17	Cuttone & Co., Inc.	33038	12/15/08	12/15/08	111 Broadway, 10th Floor	New York, NY 10006	(646) 943-5410
18	Deutsche Bank Securities Inc.	2525	04/24/07	04/24/07	60 Wall Street	New York, NY 10005	(212) 250-5762
19	Direct Edge ECN LLC	135981	06/02/06	06/02/06	545 Washington Boulevard	Jersey City, NJ 07310	(201) 942-8228
20	Dougall & Associates Inc.	42324	02/11/11	02/11/11	440 S. LaSalle Street	Chicago, IL 60605	(312) 663-2670
21	Electonic Transaction Clearing, Inc.	146122	08/29/08	08/29/08	660 S. Figueroa Street, Suite 1450	Los Angeles, CA 90017	(949) 538-1885
22	Essex Radez LLC	34649	05/03/10	05/03/10	440 S. LaSalle #1111	Chicago, IL 60605	(312) 212-1815
23	G1 Execution Services, LLC	111528	08/11/97	08/11/97	441 S. LaSalle Street, Suite 3030	Chicago, IL 60605	(312) 986-8359
24	GETCO Execution Services LLC	145021	04/06/10	04/06/10	350 N. Orleans, 3rd Floor South	Chicago, IL 60654	(646) 428-1707
25	Global Liquidity Execution Services	47955	06/16/14	06/16/14	320 Downing Road	Riverside, IL 60546	(312) 961-6446
26	Global-American Investments, Inc.	41802	04/20/12	04/20/12	20277 Valley Blvd., Suite A	Walnut, CA 91789	(909) 396-8899
27	Goldman Sachs Execution & Clearing, L.P.	3466	06/29/99	06/29/99	200 West Street	New York, NY 10282	(212) 934-0239
28	Goldman, Sachs & Co.	361	10/25/99	10/25/99	200 West Street	New York, NY 10282	(212) 934-0239
29	HRT Financial LLC	152144	04/07/10	04/07/10	32 Old Slip, 30th Floor	New York, NY 10005	(212) 293-1444
30	ICAP Corporates LLC	2762	03/19/07	03/19/07	Harborside Financial Center, 1100 Plaza Five, 12th Fl.	Jersey City, NJ 07311	(212) 815-7423
31	IEX Services, LLC	167872	10/14/13	10/14/13	7 World Trade Center, 30th Floor	New York, NY 10007	(646) 568-2320
32	Instinet, LLC	7897	12/31/81	12/31/81	1095 Avenue of the Americas	New York, NY 10036	(212) 310-9567
33	Interactive Brokers LLC	36418	01/16/95	01/16/95	One Pickwick Plaza, 2nd Floor	Greenwich, CT 06830	(203) 618-5882
34	ITG Inc.	29299	07/03/07	07/03/07	One Liberty Plaza, 165 Broadway, 4th Floor	New York, NY 10006	(212) 444-6342
35	J.P. Morgan Clearing Corp.	28432	02/17/88	10/04/06	Three Chase Metrotech Center	Brooklyn, NY 11245	(212) 648-1407
36	J.P. Morgan Securities LLC	79	07/01/91	02/17/88	383 Madison Avenue	New York, NY 10179	(201) 595-8471
37	Jefferies Execution Services, Inc.	867	06/15/07	06/15/07	520 Madison Avenue, 16th Floor	New York, NY 10022	(212) 284-2449
38	Knight Capital Americas LLC	149823	09/03/09	09/03/09	545 Washington Blvd., 7th Floor	Jersey City, NJ 07310	(201) 356-1705
39	LavaFlow, Inc.	120444	11/17/06	11/17/06	388 Greenwich Street, 29th Floor	New York, NY 10013	(212) 519-8963
40	LEK Securities Corp.	33135	06/04/13	06/04/13	1 Liberty Plaza, 165 Broadway, 52nd Floor	New York, NY 10006	(917) 885-2300
41	Lime Brokerage LLC	104369	09/29/09	09/29/09	625 Broadway, 12th Floor	New York, NY 10012	(212) 824-5577
42	Merrill Lynch Professional Clearing Corp.	16139	02/24/93	08/24/89	One Bryant Park, 6th Floor	New York, NY 10036	(646) 743-1276
43	Merrill Lynch, Pierce, Fenner & Smith Incorporated	7691	08/24/89	02/24/93	222 Broadway	New York, NY 10038	(646) 855-2180
44	Morgan Stanley & Co. LLC	8209	04/04/89	04/04/89	1585 Broadway	New York, NY 10036	(443) 627-6495
45	Nasdaq Execution Services, LLC	7270	11/15/02	11/15/02	One Liberty Plaza, 165 Broadway, 51st Floor	New York, NY 10006	(212) 401-8780
46	National Financial Services LLC	13041	02/11/92	02/11/92	200 Seaport Boulevard	Boston, MA 02210	(817) 474-1106
47	NSX Securities LLC	141378	07/31/08	07/31/08	101 Hudson Street, Suite 1200	Jersey City, NJ 07302	(201) 499-1844
48	Pershing LLC	7560	01/01/95	01/01/95	One Pershing Plaza	Jersey City, NJ 07399	(201) 413-2130
49	Potumas Trading, LLC	142867	06/16/14	06/16/14	2 Seaport Lane, Floor #5	Boston, MA	(617) 855-8722
50	RBC Capital Markets, LLC	31194	04/16/08	04/16/08	3 World Financial Center, 200 Vesey St.	New York, NY 10281	(212) 858-7118
51	RGM Securities, LLC	148086	04/27/12	04/27/12	221 West 6th Street, Suite 1225	Austin, TX 78701	(512) 807-5302
52	Sanford C. Bernstein & Co., LLC	104474	12/13/06	12/01/06	1345 Avenue of the Americas	New York, NY 10105	(212) 969-6997
53	Scottrade, Inc.	8206	12/18/98	12/18/98	12800 Corporate Hill Drive	St. Louis, MO 63131	(314) 965-1555
54	Southwest Securities, Inc.	6220	04/04/07	04/04/07	1201 Elm St., Suite 3500	Dallas, TX 75270	(214) 859-6687
55	Stock USA Execution Services, Inc	107403	05/02/08	05/02/08	1717 Route 6, Suite 102	Carmel, NY 10512	(800) 874-3039
56	Sun Trading LLC	128491	07/06/11	07/06/11	100 S. Wacker, Suite 300	Chicago, IL 60606	(312) 229-9669
57	Susquehanna Capital Group	29337	09/22/94	09/22/94	401 City Avenue, Suite 220	Bala Cynwyd, PA 19004	(484) 562-1253
58	Tradebot Systems, Inc.	116571	12/21/12	12/21/12	1251 NW Briarcliff Pkwy, Suite 700	Kansas City, MO 64116	816-285-6416
59	Two Sigma Securities, LLC	148960	02/22/10	02/22/10	100 Avenue of the Americas, 16th Floor	New York, NY 10013	(646) 292-6643
60	UBS Financial Services Inc.	8174		02/24/93	1200 Harbor Boulevard	Weehawken, NJ 07086	(201) 352-8967
61	UBS Securities LLC	7654	08/12/91	08/12/91	677 Washington Boulevard	Stamford, CT 06901	(203) 719-3998
62	Virtu Financial BD LLC	148390	02/03/09	02/03/09	645 Madison Avenue, 16th Floor	New York, NY 10022	(310) 595-2360
63	Virtu Financial Capital Markets LLC	45986	04/15/08	04/11/08	1540 Second Street, 3rd Floor	Santa Monica, CA 90401	(310) 595-2360
64	Wedbush Securities Inc.	877	06/15/04	06/14/04	1000 Wilshire Blvd., Suite 900	Los Angeles, CA 90017	(213) 688-6608
65	Wells Fargo Securities, LLC	126292	06/27/07	06/27/07	One Wells Fargo Center, 301 S. College Street, 8th Floor	Charlotte, NC 28202	(704) 410-2151

**TICKER**

AAN/A  
ABCDE  
ABDC  
ABHB  
ABRN  
ADSI  
AFP  
AGEND  
AGlw  
AGL  
AGMpB  
AGNCB  
AGP  
AGRX  
AGU/WD  
AHB  
AHPw  
AHTw  
AIVpA  
AMBO  
AMM  
AMTpA  
ANDAU  
AOL/WD  
APCFY  
APF/WD  
APPYD  
AQ  
ARS  
ASDR  
ASG/WD  
ASHS  
AURX  
AVO  
AXID  
AXK  
AXMT  
AXTE  
BANCpC  
BBEPP  
BCHP  
BCOND  
BEEpA/CL  
BEEpA/WD  
BEEpB/WD  
BEEpC/WD  
BGSC  
BGSCU  
BH/WSw  
BHrw  
BKOR  
BLVDW  
BOCA  
BPI/WD

**TICKER**

FFG/WD  
FFWM  
FGEM  
FITBP  
FMB  
FMBH  
FNDR  
FNJN  
FPI  
FRAC  
FRpK/CL  
FSA  
FSE  
FSIC/WD  
FSU  
FTBpA  
FTSD  
FpA  
G/WD  
GBB  
GCH/WD  
GDCT  
GED/CL  
GEG/CL  
GEJ/CL  
GEP/CL  
GEUR  
GF/WD  
GFIS  
GGEM  
GJK  
GJR  
GKH  
GLADO  
GLCB  
GLDL  
GLRIW  
GMXR  
GMXRp  
GOOAV  
GRP  
GRR/WD  
GRXrw  
GURI  
GXPpD  
GXPpE  
GYA/CL  
HAL/WD  
HARTV  
HBIOV  
HCAC  
HCACW  
HCIIP  
HCIW

**TICKER**

MOB  
MOG/B  
MRGR  
MSBF  
MSGY  
MTGEP  
MUAB  
MUAH  
MURw  
MVISW  
MXEp  
NANpC/CL  
NANpD/CL  
NBG/A  
NBGpA/WD  
NCJ  
NEWMw  
NFP  
NFRA  
NGT/WD  
NKGpC/CL  
NKGpD/CL  
NKGpE/CL  
NKO  
NMYpC/CL  
NMYpD/CL  
NMYpE/CL  
NMYpF/CL  
NMYpG/CL  
NMYpH/CL  
NNCpC/CL  
NNCpE/CL  
NNCpG/CL  
NQPpC  
NQPpC/CL  
NQPpD  
NQPpD/CL  
NRKpC/CL  
NRO/WD  
NSP/WD  
NSR/WD  
NTCpC/CL  
NTCpD/CL  
NTCpF/CL  
NTCpG/CL  
NTSP  
NUMpC  
NUMpC/CL  
NUOpC/CL  
NUOpD/CL  
NVBXU  
NVEE  
NVGND  
NXJpA

**TICKER**

RGRI  
RGRP  
RGTw  
RNWKD  
ROICU  
ROIQ  
ROIQW  
RPRXW  
RPRXZ  
RPX  
RVTw  
SAICw  
SATC  
SBNA  
SCHS  
SCLp/CL  
SCQ  
SCRT  
SCT  
SDBT  
SDOpA  
SDOpA/CL  
SDOpB  
SDOpB/CL  
SDPI  
SFLA  
SGBK  
SGLX  
SGYPU  
SGZ/CL  
SHAW/WD  
SHF  
SHLDV  
SJF  
SLVY  
SMEC  
SMTH  
SNDE  
SNS  
SPEXD  
SPEp/CL  
SPGH  
SPGw  
SPLP/WD  
SPLX  
SPPRR  
SPUU  
STEMD  
STRI/WD  
STRPw  
STRZB  
STST  
STWDw  
SVU/WD



BWFG  
BXSpA/CL  
BXUB  
BXUC  
BYI/WD  
BYLD  
BZMD  
CACGW  
CAHS  
CAMBW  
CARVD  
CATYW  
CBQP  
CCFG  
CCS/CL  
CCUrw  
CDX  
CEE/WD  
CELL  
CGV  
CIO  
CISAW  
CK  
CLAC  
CLACW  
CLS/WD  
CN  
CNCOT  
COLE/WD  
CRDN  
CRUD  
CSG/WD  
CTEK  
CTICD  
CTREV  
CVRT  
CXP/WD  
CpQ/CL  
CpS/CL  
CpW/CL  
DDMG  
DDRpH/CL  
DEE  
DEER  
DFF  
DISCB  
DLBL  
DOR  
DOVw  
DSG  
DSTJ  
DWAQ  
EAGLW  
ECAV  
ECTw

HEFA  
HEWG  
HEWJ  
HJN/CL  
HJR/CL  
HJT  
HLS/WD  
HMPRD  
HNNA  
HYGH  
IASO  
IBDF  
IBDH  
ICC  
ICCP  
ICEw  
ICSH  
IDI/WS  
IDTw  
IFN/WD  
IFSIA  
IHDG  
IIF/WD  
IJNK  
IKJ/CL  
INFL  
INFrw  
INSMD  
IPAL  
IPLpB  
IPLpB/CL  
IRDMB  
IRKO  
ITLT  
JAH/WD  
JAX  
JBI/CL  
JEM  
JFT  
JGBB  
JOFrw  
JYN  
JZH  
JZL/CL  
JZT/CL  
JZV/CL  
KAZ  
KCGw  
KELYB  
LALT  
LBTYB  
LDOSw  
LDUR  
LFVNV  
LGCYP

NXKpC/CL  
NYRT/WD  
NZFpC/CL  
NZHpB/CL  
NZHpC/CL  
OCCF  
OFCpH/CL  
OIC  
OILZ  
OKEw  
OSG  
OSMS  
OUNZ  
OUTRV  
OXBRW  
OYOG  
PAO  
PARDD  
PCA  
PCX  
PEM  
PEpA/CL  
PEpB/CL  
PEpC/CL  
PEpD/CL  
PFA  
PFBCD  
PFT  
PGD  
PGI/WD  
PGV  
PGVp  
PHA/CL  
PIC  
PIV  
PJB  
PKN  
PLDpL/CL  
PLDpM/CL  
PLDpO/CL  
PLDpP/CL  
PLDpR/CL  
PLDpS/CL  
PLK  
PMA  
PMCA  
PNCpL/CL  
POSTw  
PRSP  
PRTAV  
PRZ  
PSApA  
PSApD  
PSApZ  
PSS

SWZ/WD  
SYI  
SYRX  
Sw  
TAP/A  
TAROWD  
TBPHV  
TCBIW  
TFLO  
TGEN  
TGX/WD  
THNX  
THR XV  
TKF/WD  
TMG  
TMW  
TRC/WSw  
TRMD  
TROVU  
TSP  
TTF/WD  
TTTM/WSW  
UAGR  
UBC  
UBN  
UCBID  
ULU  
UNSA  
UNTDV  
USA/WD  
USFP  
USFR  
USHS  
VELpE  
VGEM  
VIA/B  
VIDI  
VNOpF/CL  
VNOpH/CL  
VPCO  
VRWD  
VRNG/WS  
VRP  
VUSE  
WAV/WS  
WBS/WS  
WCBO  
WFMI  
WFSL  
WFSLW  
WGH  
WHI  
WHLRP  
WHLRW  
WHRT

EDOG  
EGF/WD  
EK  
ELOQ  
ELR  
EMBB  
EMCR  
EMDR  
EMFN  
EMM  
EMSA  
ENSGV  
ENXP  
EQRpN  
ERAw  
ERES  
ERO  
ESCRP  
EUDG  
EXM  
EZT  
FCZAP

LGEM  
LGL/WSw  
LGZ  
LINTB  
LKQX  
LMCBV  
LPCN  
LPH  
LQDH  
LRP  
LVNTB  
LWPE  
LXPpD/CL  
MATU  
MATXw  
MEILW  
MFLA  
MFSA  
MGU/WD  
MLPS  
MNGL  
MNGLU

PTEKD  
PTO  
PWpA  
PYC/CL  
PYH  
PYMX  
PYMXW  
PYV  
PYY/CL  
QAT  
QDEM  
QDXU  
QEM  
QGOG  
QTETR  
QTNT  
QTNTW  
RDIB  
RDUS  
RFT  
RGRC  
RGRE

WLBp  
WLFCP  
WPI  
WPK/CL  
WRIpE  
WSO/B  
WTFCW  
WTM/WD  
WTW/WD  
WWWY  
XCOrw  
XCRA  
XFH  
XFP/CL  
XXV  
XXV.A  
YDNT  
YPRO  
ZXYZ.A  
ZZK  
ZZZ  
ZZZZZ