

**COMMISSIONER OF FINANCIAL INSTITUTIONS  
BROKER DEALERS REGISTERED AND LOCATED IN PUERTO RICO**

NAME	LIC. NUM.	ADDRESS	NEXT RENEWAL DATE	CRD. #	TELEPHONE AND FAX	CONTACT
16 Points LLC	2059	120 Villa Oeste Dorado PR 00646	01/01/22	277033	646-820-7750	Mark Overley
Aga Securities, LLC	2159	370 Dorado Beach East Dorado PR 00646	01/01/22	122781	203-295-7413	Eli Combs
Amera Securities LLC	2270	630 Freedom Business Center Suite 300 King of Prussia PA 19406	01/01/22	36143	888-799-8856 203-321-0559	David K. Franklyn
Arkadios Capital	2122	3333 Piedmont Rd. NE Suite 2010 Atlanta GA 30305	01/01/22	282710	404-893-4100 678-905-3300	Gary Schwartz
Artist Capital LLC	2284	20 West 55th Street 11th Floor New York NY 10019	01/01/22	153937	212-218-7632	Jonathan Sands
Barclays Capital Inc.	788	745 7th Avenue New York NY 10019	01/01/22	19714	212-526-7000 787-296-6831	Penny Rosenberg, Luis Ivan Alfaro Martínez
Cambridge Investment Research, Inc.	1703	1776 Pleasant Plan Rd Fairfield IA 52556-8757	01/01/22	39543	641-472-5100	Daniel Wright
Cetera Advisor Networks LLC	737	200 North Sepulveda Blvd. Suite 1300 El Segundo CA 90245-5672	01/01/22	13572	310-326-3100 310-257-7588	Patricia McCallop
Champlain Advisors, LLC	1876	Galería de Artes y Ciencias 875 Carr 693, Suite 102 Dorado PR 00646	01/01/22	129560	917-807-9833	Terence M Crikelair
Chardan Capital Markets LLC	1993	17 State Street Suite 1600 New York NY 10004	01/01/22	120128	646-465-9003 646-465-9090	Steven Urbach
Charles Schwab & Co., Inc.	131	211 Main Street SF211MN-05-305 San Francisco CA 94105	01/01/22	5393	787-281-2295 415-667-7000	Francisco J. Vivas, James Nabwangu
Choicetrade (Letsgotrade, Inc.)	2082	151 San Francisco Street Suite 200 San Juan PR 00901	01/01/22	104021	787-680-0085	Neville Golvala
Citi International Financial Services LLC	246	Parque Las Americas 1 235 Federico Costa Street, Suite 101 San Juan PR 00918	01/01/22	17053	787-999-8026	Moises Valladares

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Citigroup Global Markets Inc.	068	388 Greenwich Street New York NY 10013-2396	01/01/22	7059	212-816-6000 787-622-6350	Bogdana Sokolov, John C. Gavin
CUNA Brokerage Services, Inc.	1282	2000 Heritage Way Waverly IA 50677	01/01/22	13941	319-352-4090	John Landers
Equitable Advisors, LLC	323	1290 Avenue of the Americas New York NY 10104	01/01/22	6627	787-759-3333 212-314-4600	Christian Cannon, Hiram A. Ramírez Rangel
First Southern, LLC	2078	8 Calle #1 Ste 401 Guaynabo PR 00968-1772	01/01/22	282756	877-778-9373	W Heath Hawk
Forside Fund Services, LLC	873	Three Canal Plaza 3rd Floor Portland ME 04101	01/01/22	46106	207-553-7110 207-553-7111	Nannette Chern
GWFS Equities, Inc.	1514	8515 E Orchard Road Greenwood Village CO 80111	01/01/22	13109	303-737-6595 787-380-8860	Tawnya Perrota, Beatriz E. Torres, Gabe Raush, Shannon
Herbert J. Sims & Co., Inc.	1885	2150 Post Road Suite 301 Fairfield CT 06824	01/01/22	3420	203-418-9000 800-527-6425	Richard Cumiskey
Huntleigh Securities Corporation	1140	7800 Forsyth Blvd 5th Floor St Louis MO 63105	01/01/22	7456	314-236-2400	Catherine Marshall
IMST Distributors, LLC	1372	Three Canal Plaza Third Floor Portland ME 04101	01/01/22	130745	866-251-6920	Susan Moscaritolo
Independent Financial Group, LLC	1936	12671 High Bluff Drive Suite 200 San Diego CA 92130	01/01/22	7717	858-436-3180	Sarah Kreisman, Javier Enrique Cordero Conde
Insigneo Securities, LLC	1519	777 Brickell Ave Suite 1010 Miami FL 33131	01/01/22	29249	305-373-9000 305-982-4632	Helen Lumpuy
Investment Planners, Inc.	2255	226 W. El Dorado Street Decatur IL 62522	01/01/22	18557	217-425-6340	David Koshinski
Joseph Capital, LLC	2325	7000 Bahia Beach Blvd. Suite 4333 Rio Grande PR 00745-2900	01/01/22	120414	917-817-7674	Michael P. Ross
Kovack Securities Inc.	1198	6451 N. Federal Hwy. Suite 1201 Ft. Lauderdale FL 33308	01/01/22	44848	954-670-0608 787-758-8234	Ronald J. Kovack, Vivian Torres

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Lincoln Financial Securities Corporation	207	1300 South Clinton Street Fort Wayne IN 46802	01/01/22	3870	800-843-2007	Patrick J. Caulfield
Mauldin Securities, LLC	2179	2900 Mckinnon Suite 1708 Dallas TX 75201	01/01/22	128378	817-794-0669	John F. Mauldin
Mckenzie Securities LLC	2329	BANCO POPULAR CENTER 208 AVE. LUIS MUNOZ RIVERA, 10TH FLOOR, SUITE 1008	01/01/22	310913	787-671-4763	Jeanine Blackman
Merrill Lynch, Pierce, Fenner & Smith Incorporated	003	One Bryant Park New York NY 10036	01/01/22	7691	800-637-7455 212-449-1000	Angela Moore, Hector Lafitte
MML Investors Services, LLC	598	1295 State Street Springfield MA 01111-0001	01/01/22	10409	787-758-2244 413-744-7885	Robert S. Rosenthal
Mutual of Omaha Investor Services, Inc.	041	3300 Mutual of Omaha Plaza Omaha NE 68175-1020	01/01/22	611	402-351-5950 402-351-5770	Adam Proskovec
National Securities Corporation	530	5000 T-Rex Avenue Suite 300 Boca Raton FL 33431	01/01/22	7569	561-981-1000 561-869-5245	Harold Chaffee
Nationwide Planning Associates Inc.	1605	115 West Century Road Suite 360 Paramus NJ 07652	01/01/22	31029	201-476-0029	Michael J. Karalewich, Jorge M. Rodríguez Bonano, Antonio
Oppenheimer & Co. Inc.	218	85 Broad Street 22nd Floor New York NY 10004	01/01/22	249	212-668-8000 212-668-8000	Ann Marie Plunkett
Oriental Financial Services LLC	487	254 Muñoz Rivera Ave. 2nd Floor Oriental Group Center San Juan PR 00918	01/01/22	29753	787-474-1993 787-993-4288	Sonia Marbarak
Palmas Securities	2316	52 Harbour Lights Dr Humacao PR 00791	01/01/22	299935	404-808-5522	Edward Kim
Pantek Securities LLC	2256	Calle Rafael Cordero 154 Office #506 San Juan PR 00901	01/01/22	302091	858-605-1607	John Bell
Pariter Securities, LLC	1654	243 Carretera #2 Guaynabo PR 00966	01/01/22	127836	787-781-2555	Eduardo Sotomayor
Peachcap Securities, Inc.	2091	550 Pharr Road NE Suite 700 Atlanta GA 30305	01/01/22	25590	404-220-8958	Wonhee Cho
Performance Trust Capital Partners, LLC	936	500 W. Madison Suite 450 Chicago IL 60661	01/01/22	36155	312-521-1000 787-620-9833	David F. Wilding, Charles M. Carpenter

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PFS Investments Inc.	162	1 Primerica Parkway Duluth GA 30099-0001	01/01/22	10111	770-381-1000	Daniel A. Woodring
Popular Securities, LLC.	134	209 Avenue Ponce De Leon Popular Center Suite 1200 San Juan PR 00918-1035	01/01/22	8096	787-758-7400 787-766-4200	Jaime Toro Lavergne
Raymond James Financial Services, Inc.	787	880 Carillon Parkway St. Petersburg FL 33716	01/01/22	6694	727-567-3020 787-725-6400	Mary Haas, Ramon R. Dana, Jr.
RD Capital Group, Inc.	595	MCS Plaza Suite 305 255 Ponce de Leon Avenue San Juan PR 00917-1903	01/01/22	37470	787-282-0303	Cesar Munoz
Robus Capital Partners LLC	2034	201 Recinto Sur Street Ste 204 San Juan PR 00901	01/01/22	282547	787-342-5973	Miguel Moreda
Samuel A. Ramirez & Co., Inc.	723	61 Broadway Suite 2924 New York NY 10006	01/01/22	6963	212-248-0522 787-759-8080	Samuel Ramirez, Fernando Viñas
Santander Securities LLC	665	Edificio Santander #207 Ave Ponce de León, Piso 4 San Juan PR 00917-1818	01/01/22	41791	787-759-5330	Lawrence Carter
Stonecrest Capital Markets, Inc.	2111	300 W. 6th Street Suite 1520 Austin TX 78701	01/01/22	39616	512-275-6515	Rebecca E. Feliciano Beltrán
The O.N. Equity Sales Company	740	10300 Alliance Rd. Blue Ash OH 45242	01/01/22	2936	513-794-6794	Andrew Vanhoy, Adolfo Krans
Transamerica Financial Advisors, Inc.	918	570 Carillon Parkway St. Petersburg FL 33716-1202	01/01/22	16164	727-248-3491 727-299-1800	Peter J. Lugo, Brad Mullikin
Triad Advisors LLC	895	5155 Peachtree Parkway Suite 3220 Norcross GA 30092	01/01/22	25803	800-720-4003	Jeffrey Rosenthal
UBS Financial Services Inc.	033	1200 Harbor Boulevard Weehawken NJ 07086	01/01/22	8174	201-352-3000 201-352-3676	Susan Markunas
UBS Financial Services Incorporated of PR	177	250 Munoz Rivera Avenue Hato Rey PR 00918	01/01/22	13042	201-352-3676 787-250-3681	Doel R. García, Susan Markunas
Universal Financial Services Inc.	1442	Metro Office Park Calle 1 Lote 10 Guaynabo PR 00968	01/01/22	131558	787-793-7202	Jose C. Benitez
Winlo Management Group, LLC	2131	151 Calle San Francisco Suite 200 San Juan PR 00901	01/01/22	288383	704-756-3072 800-688-3824	Erin Osborne
<b>GRAND TOTAL: 57</b>						