

**ATS FIRMS AS OF SEPTEMBER 1, 2016**

ATS NAME	ATS ID	FIRM NAME	Comment
AQUA	AQUA	AQUA SECURITIES L.P.	
GLOBAL OTC	ARCA	ARCHIPELAGO TRADING SERVICES, INC.	
AX TRADING, LLC	AXTN	AX TRADING, LLC	
BARCLAYS ATS ("LX")	LATS	BARCLAYS CAPITAL INC.	
BARCLAYS DIRECTEX	BCDX	BARCLAYS CAPITAL INC.	Used LEHM prior to Jan 26, 2015
BIDS TRADING	BIDS	BIDS TRADING L.P.	
TRADEBOOK	BTBK	BLOOMBERG TRADEBOOK LLC	Ceased on September 1, 2016
APOGEE	APOG	CITADEL SECURITIES LLC	Ceased on April 2, 2015
CITI CROSS	CXCX	CITIGROUP GLOBAL MARKETS INC.	
LIQUIFI	LQFI	CITIGROUP GLOBAL MARKETS INC.	
MILLENNIUM	NYFX	CONVERGEX EXECUTION SOLUTIONS LLC	
VORTEX	VRTX	CONVERGEX EXECUTION SOLUTIONS LLC	Ceased on October 1, 2015
CROSSFINDER	CROS	CREDIT SUISSE SECURITIES (USA) LLC	
LIGHT POOL	LTPL	CREDIT SUISSE SECURITIES (USA) LLC	
DEALERWEB	DLTA	DEALERWEB INC.	
SUPERX	DBAX	DEUTSCHE BANK SECURITIES INC.	
FANTEX BROKERAGE SERVICES, LLC	FTEX	FANTEX BROKERAGE SERVICES, LLC	
FNC AG STOCK, LLC	FNCA	FNC AG STOCK, LLC	
SIGMA X	SGMA	GOLDMAN SACHS EXECUTION & CLEARING, L.P.	
IEX	IEXG	IEX SERVICES LLC	
INSTINET CONTINUOUS BLOCK CROSSING SYSTEM (CBX)	ICBX	INSTINET, LLC	
INSTINET CROSSING	XIST	INSTINET, LLC	Used INCA prior to Jun 16, 2014
IBKR ATS	IATS	INTERACTIVE BROKERS LLC	
POSIT	ITGP	ITG INC.	
JPM-X	JPMX	J.P. MORGAN SECURITIES LLC	
JET-X	JEFX	JEFFERIES EXECUTION SERVICES, INC.	Ceased on April 1, 2016
KCG MATCHIT	KCGM	KCG AMERICAS LLC	
LEVEL ATS	EBXL	EBX LLC	
LIQUIDNET ATS	LQNT	LIQUIDNET, INC.	
LIQUIDNET H2O	LQNA	LIQUIDNET, INC.	
LUMINEX TRADING & ANALYTICS LLC	LMNX	LUMINEX TRADING & ANALYTICS LLC	
MERRILL LYNCH (ATS-1)	MLVX	MERRILL LYNCH, PIERCE, FENNER & SMITH INC	Ceased on June 1, 2016
INSTINCT X	MLIX	MERRILL LYNCH, PIERCE, FENNER & SMITH INC	
MS POOL (ATS-4)	MSPL	MORGAN STANLEY & CO. LLC	
MS RETAIL POOL (ATS-6)	MSRP	MORGAN STANLEY & CO. LLC	
MS TRAJECTORY CROSS (ATS-1)	MSTX	MORGAN STANLEY & CO. LLC	
CROSSSTREAM	XSTM	NATIONAL FINANCIAL SERVICES LLC	
OTC LINK ATS	OTCR	OTC LINK LLC	
PDQ ATS	PDQX	PDQ ATS, INC.	Used PDQM prior to Jan 19, 2015
PRO SECURITIES ATS	PROS	PRO SECURITIES, L.L.C.	
RIVERCROSS	RCSL	RIVER CROSS SECURITIES, LP	
BLOCKCROSS	BLKX	STATE STREET GLOBAL MARKETS, LLC	Used PULX prior to Feb 2, 2015
TRIPLESHOT	TSBX	TRIPLESHOT, LLC	Ceased on March 1, 2016
UBS ATS	UBSA	UBS SECURITIES LLC	
USTOCKTRADE SECURITIES, INC.	USTK	USTOCKTRADE SECURITIES, INC.	
VARIABLE INVESTMENT ADVISORS, INC. ATS (VIAATS)	VIAT	VARIABLE INVESTMENT ADVISORS, INC.	
XE	WDNX	WEEDEN & CO.L.P.	