

Alternative Trading Systems with Form ATS  
on File with the SEC as of February 1, 2017

| 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) |
|--|--|---|
| Aqua Securities L.P.   |  | New York, NY  |
| Arbor Research and Trading LLC   | Clarity BidRate Alternative Trading System                                       | Barrington, IL  |
| ATS-1  | Morgan Stanley & Co. Incorporated  | New York, NY  |
| ATS-4  | Morgan Stanley & Co. Incorporated  | New York, NY  |
| ATS-6  | Morgan Stanley & Co. Incorporated  | New York, NY  |
| Automated Equity Finance Markets, Inc.   | AQS, EquiLend Clearing Services (ECS)  | New York, NY  |
| AX Trading, LLC  |  | New York, NY  |
| Barclays ATS   | LX   | New York, NY  |
| Barclays DirectEx  |  | New York, NY  |
| BGC Financial L.P.   |  | New York, NY  |
| BIDS Trading, L.P.   | BIDS Trading   | New York, NY  |
| BondVision US  |  | New York, NY  |
| Brilliquid LLC   | Brilliquid.com   | Short Hills, NJ   |
| Brokertec  | Brokertec Americas LLC   | Jersey City, NJ   |
| CitiBLOC   | CitiBLOC is owned and operated by Citigroup Global Markets, Inc. (CGMI)          | New York, NY  |
| CITICROSS  | Citi Cross is owned and operated by Citigroup Global Markets Inc. (CGMI)         | New York, NY  |
| CODA Markets, Inc  | CODA (f/k/a PDQ ATS & PDQ)   | Glenview, IL  |
| Creditex Securities Corporation  |  | New York, NY  |
| Credit Suisse Securities (USA) LLC   | CrossFinder  | New York, NY  |
| DBOT ATS, LLC  |  | Wilmington, DE  |
| Dealerweb, Inc.  | Dealerweb  | Jersey City, NJ   |
| Deutsche Bank Securities, Inc.   | SuperX   | New York, NY  |
| eBX LLC  | Level ATS  | Boston, MA  |
| Electronifie   | Electronifie Securities LLC  | New York, NY  |
| EquiLend LLC   |  | New York, NY  |
| eSpeed   |  | New York, NY  |
| FixCenter, LLC   |  | Long Island City, NY  |
| FNC AG Stock, LLC  |  | Grand Forks, ND   |
| GFI Securities LLC   | CreditMatch (LATG)   | New York, NY  |
| GFI Securities LLC   |  | New York, NY  |
| Global OTC   | Archipelago Trading Services, Inc.   | Chicago, IL   |
| HTDonline  | Hartfield, Titus & Donnelly, LLC   | Jersey City, NJ   |
| ICAP Trading System  | ICAP Corporates LLC  | Jersey City, NJ   |
| IDX Markets  | IDX Markets, LLC   | New York, NY  |
| Instinct X   |  | New York, NY  |
| Instinet Continuous Block Crossing System (CBX)                                | Instinet, LLC  | New York, NY  |

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| Instinet, LLC  | Instinet Crossing, Instinet BLX  | New York, NY      |
| Interactive Brokers LLC  | IBKR ATS   | Greenwich, CT     |
| J.P. Morgan ATS ("JPM-X")  | J.P. Morgan Securities LLC   | New York, NY      |
| JSVC LLC   |  | Honolulu, HI      |
| KCG BondPoint  | KCG BondPoint, a division of Knight Capital Americas LLC                       | Jersey City, NJ   |
| Lending Club Trading Market                                      | FOLIOfn Investments, Inc.  | McLean, VA        |
| Liquidity Finance LP   | Flow (by Liquidity Finance)  | Stamford, CT      |
| Liquidnet Fixed Income ATS                                       |  | New York, NY      |
| LiquidNet H2O ATS  |  | New York, NY      |
| Liquidnet Negotiation ATS  |  | New York, NY      |
| Luminex Trading & Analytics LLC                                  | Luminex  | Boston, MA        |
| Maps ECN   | Marco Polo Securities Inc.   | New York, NY      |
| MarketAxess Corporation Mid-X Trading System                     | Mid-X System; Mid-X  | New York, NY      |
| MarketAxess Corporation Single-Name CDS Central Limit Order Book | MarketAxess CDS CLOB   | New York, NY      |
| MatchIt  | KCG MatchIt  | Jersey City, NJ   |
| MBS Source eTrading, Inc.  | MBS Marketplace  | Mercer Island, WA |
| Millennium   | ConvergEx Execution Solutions LLC  | New York, NY      |
| MTS BondsPro   |  | New York, NY      |
| MuniAxis ATS   |  | Wellesley, MA     |
| National Financial Services, LLC                                 | CrossStream, CrossStream BLOX SM (BLOCK Liquidity Opportunity Cross)           | Boston, MA        |
| NPM Securities, LLC  |  | San Francisco, CA |
| NXP  | ConvergEx Execution Solutions  | New York, NY      |
| OpenBondX LLC  |  | Miami Beach, FL   |
| Orchard X  | Orchard Platform Markets LLC   | New York, NY      |
| OTC Link LLC   | OTC Link ATS   | New York, NY      |
| Ouisa Capital LLC  | Ouisa Capital  | New York, NY      |
| POSIT  |  | New York, NY      |
| PRO Securities, LLC  |  | Old Bridge, NJ    |
| REALCADRE LLC  |  | 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   |
| Spot Quote LLC   |  | Houston, TX       |
| Spread Zero LLC  | Spread Zero or Spread Zero ATS   | New York, NY      |
| State Street Global Markets LLC                                  | BlockCross ATS   | Boston, MA        |
| Structured Credit Connection                                     |  | New York, NY      |
| TMC Bonds, LLC   |  | New York, NY      |
| Tradeweb Direct LLC (f/k/a BondDesk Trading LLC)                 |  | New York, NY      |
| TruMid ATS   |  | New York, NY      |
| Tullet Prebon Financial Services LLC                             | tpCreditDeal   | Jersey City, NJ   |

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| UBS ATS   | UBS Securities LLC                              | New York, NY      |
| Ustocktrade   | Ustocktrade Securities, Inc.                    | Newton, MA        |
| Variable Investment Advisors, Inc.<br>ATS (VIA-ATS) | www.AGSTOCKTRADE.COM,<br>www.LIQUIDITYMAKER.COM | Sioux Falls, SD   |
| Venovate Marketplace Inc.                           |   | San Francisco, CA |
| XE  | Weeden & Co. LP                                 | Greenwich, CT     |
| Zanbato ATS   |   | Mountain View, CA |

### Ceased Operations

| <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> |
|---|---|--|
| RiverCross  | River Cross Securities, LLLP  | Bala Cynwyd, PA  |