

**Alternative Trading Systems
Active Filers as of November 1, 2011**

ATS Name / BD	Date of Initial Filing	Location
Alerus Securities	8/13/2002	Grand Forks, ND
Aqua Securities L.P.	7/23/2007	New York, NY
ArcaEdge	3/16/2000	Chicago, IL
Assent ATS	11/14/2008	Hoboken, NJ
ATS-1	11/3/2005	New York, NY
ATS-1	10/25/1999	New York, NY
ATS-2	2/28/2007	New York, NY
ATS-4	4/10/2006	New York, NY
ATS-5	1/31/2007	New York, NY
ATS-6	6/18/2007	New York, NY
Automated Equity Finance Markets, Inc.	12/29/2008	New York, NY
AX Trading, LLC (f/k/a X41)	3/7/2011	Stamford, CT
Ballista Securities, LLC	10/9/2008	New York, NY
Barclays ATS	11/17/2008	New York, NY
BGC Financial, L.P.	5/10/1999	New York, NY
BIDS Trading, L.P.	11/3/2006	New York, NY
BlockCrossTM ATS	3/16/2007	Boston, MA
Bloomberg Tradebook LLC (TBKX)	3/2/2010	New York, NY
Bloomberg Tradebook LLC (Tradebook)	5/11/1999	New York, NY

BondDesk Trading LLC	4/19/2000	New York, NY
Bonds.Com, Inc.	2/5/2010	Boca Raton, FL
BrokerTec	4/15/2000	Jersey City, NJ
Charles River Equity Cross'g Nwk (CREX)	8/30/2007	Burlington, MA
Citadel Securities LLC	7/6/2010	Chicago, IL
ConvergEx Cross	1/10/2007	New York, NY
ConvergEx Millennium	3/8/2010	New York, NY
Credit Suisse Securities (USA) LLC (CrossFinder)	10/21/2005	New York, NY
LavaFlow ECN	12/14/2005	New York, NY
Curian Clearing, LLC	6/12/2006	Denver, CO
DBSI ATS	8/24/2009	New York, NY
DEEP ATS, LLC	4/25/2006	Houston, TX
eBX LLC (d/b/a Level ATS)	7/7/2006	Boston, MA
Electronic Securities Processing (ESP) LLC	6/5/2007	New York, NY
EWT	1/13/2011	Beverly Hills, CA
FixCenter, LLC	8/31/2011	New York, NY
Folio Investing Note Trader Platform (Prosper)	6/19/2009	McClean, VA
FOLIOfn Investments, Inc.	3/1/2000	Vienna, VA
GATE US LLC	12/28/2009	New York, NY
GETMatched (f/k/a GETCO Execution Services)	2/7/2008	Chicago, IL
GFI Securities LLC	5/12/1999	New York, NY
Grant Street Securities, Inc.	3/14/2000	Pittsburgh, PA

Hilliard Farber & Co. Inc.	1/23/2009	Jersey City, NJ
HTDOnline	12/2/2002	Jersey City, NJ
IATMarkets, LLC	12/26/2000	New York, NY
ICAP Trading System	8/23/1999	Jersey City, NJ
Instinet Continuous Bloc Cross (CBX)	11/14/2003	Jersey City, NJ
Instinet Cross'g / Real-Time Trad'g Svc (RTTS)	11/14/2003	Jersey City, NJ
Interactive Brokers LLC	10/27/2010	Greenwich, CT
Israel A. Englander & Co.	1/14/2004	New York, NY
JPM-X ATS	5/19/2009	New York, NY
Knight BondPoint	6/21/2000	Atlanta, GA
Knight Match	6/21/2006	Jersey City, NJ
Credit Suisse Securities (USA) LLC (Light Pool)	3/5/2010	New York, NY
Lending Club Trading Market	8/29/2008	Arlington, VA
LiquidNet H2O ATS	10/11/2005	New York, NY
Liquidnet Negotiation ATS	5/9/2000	New York, NY
LiquidPoint NXP	10/13/2010	Chicago, IL
LIQUIFI	10/27/2005	New York, NY
MAPS ECN	8/28/2008	New York, NY
MarketAxess Corporation	8/20/1999	New York, NY
Mismi, Inc.	10/9/2008	New York, NY
National Financial Services, LLC	3/21/2006	Boston, MA
Niphix Trading System	4/26/1999	Peoria, IL

NX ATS	7/29/2010	New York, NY
PDQ ATS	8/22/2008	Glenview, IL
Phoenix Derivatives LLC	2/5/2010	New York, NY
Pipeline Trading Systems, LLC	2/23/2004	New York, NY
POSIT	1/31/2002	New York, NY
Pragma OneCross	8/26/2009	Greenwich, CT
ProSecurities	6/19/2009	Newark, NJ
Real Time	10/30/2006	New York, NY
River Cross Securities, LP	3/28/2007	Bala Cynwyd, PA
Schwab Bond Source	5/4/1999	San Francisco, CA
Second Market, Inc.	2/22/2011	New York, NY
SIGMA ATS	7/13/2005	Jersey City, NJ
Spread Zero	2/2/2009	New York, NY
Structured Credit Connection	12/7/2009	New York, NY
TheMuniCenter LLC	11/27/2000	New York, NY
Track ECN	11/2/1999	Brooklyn, NY
TradeWeb LLC	4/19/2001	Jersey City, NJ
Tullet Liberty Securities, Inc.	5/11/1999	New York, NY
UBS ATS	3/17/2008	Stamford, CT
Variable Investment Advisors, Inc. Alternative Trading System	7/17/2002	Sioux Falls, SD
VortEx	10/10/2007	New York, NY
Wells Fargo Securities, LLC	8/20/2010	New York, NY

XE	5/6/2008	Greenwich, CT
Xpert Financial	11/4/2010	San Mateo, CA

New Systems

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FixCenter, LLC	8/31/2011	New York, NY

Deleted Systems

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MidSouth Capital LLC	9/26/2011	Atlanta, GA