

**Alternative Trading Systems  
Effective Registrations as of November 1, 2013**

<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>
Apogee Aqua Securities L.P.	Citadel Securities LLC	Chicago, IL New York, NY
Arbor Research and Trading Inc. ATS-1 ATS-1 (Merrill Lynch) ATS-2 (Merrill Lynch) ATS-4 ATS-5 ATS-6	Clarity BidRate Alternative Trading System Morgan Stanley & Co. Incorporated Instinct X Morgan Stanley & Co. Incorporated Morgan Stanley & Co. Incorporated Morgan Stanley & Co. Incorporated	Barrington, IL New York, NY New York, NY New York, NY New York, NY New York, NY New York, NY
Automated Equity Finance Markets, Inc. Barclays ATS Barclays DirectEx BGC Financial L.P. BIDS Trading, L.P.	AQS LX Barclays Capital, Inc. BGC Financial BIDS Trading	New York, NY New York, NY New York, NY New York, NY New York, NY
BLOOMBERG TRADEBOOK LLC, as operator of BLOOMBERG TRADEBOOK SYSTEM	TRADEBOOK	New York, NY
BLOOMBERG TRADEBOOK LLC, as operator of BLOOMBERG TRADEBOOK TBX SYSTEM	Tradebook TBX and IOIX	New York, NY
BondDesk Trading LLC Bonds.Com, Inc. Brilliquid LLC Brokertec	BondPro Brilliquid.com ICAP Electronic Broking LLC	New York, NY Boca Raton, FL Short Hills, NJ Jersey City, NJ
CITI CREDIT CROSS CITICROSS	CITI CREDIT CROSS is owned and operated by Citigroup Global Markets Inc. (CGMI) Citi Cross is owned and operated by Citigroup Global Markets Inc. (CGMI)	New York, NY New York, NY
ConvergEx Cross ConvergEx Millennium		New York, NY New York, NY
Credit Suisse Securities (USA) LLC	CrossFinder	New York, NY
Credit Suisse Securities (USA) LLC	Light Pool	New York, NY
Curian Clearing, LLC Dealerweb, Inc. DEEP ATS, LLC	Dealerweb	Denver, CO Jersey City, NJ Houston, TX
Deutsche Bank Securities, Inc. eBX LLC	SuperX Level ATS	New York, NY Boston, MA

Fantax Brokerage Services		San Francisco, CA
FixCenter, LLC		New York, NY
FNC AG Stock, LLC		Grand Forks, ND
Folio Investing Note Trader Platform	Foliofn Investment, Inc.	McLean, VA
FOLIOfn Investments, Inc.		McLean, VA
GATE US LLC		New York, NY
GETMatched ATS		Chicago, IL
GFI Securities LLC		New York, NY
Global OTC	Archipelago Trading Services, Inc.	Chicago, IL
Grant Street Securities, Inc.		Pittsburgh, PA
Hartfield, Titus & Donnelly LLC	HTDOnline	Jersey City, NJ
IATMarkets, LLC		New York, NY
ICAP Trading System	ICAP Corporates	Jersey City, NJ
ICE Creditbook	Creditex Securities Corp.	New York, NY
IEX ATS	IEX Services LLC	New York, NY
Instinet Continuous Block Crossing System (CBX)	Instinet, LLC	New York, NY
Instinet Crossing Real-Time Trading Services (RTTS)	Instinet, LLC	New York, NY
Interactive Brokers LLC		Greenwich, CT
J.P. Morgan ATS ("JPM-X")	J.P. Morgan Securities LLC	New York, NY
JET-X		New York, NY
KCG BondPoint	KCG BondPoint, a division of Knight Capital Americas LLC	Jersey City, NJ
Knight Capital Americas LLC	Knight Match	Jersey City, NJ
LavaFlow ECN	Citigroup Financial Products Inc.	New York, NY
Lending Club Trading Market	FOLIOfn Investments, Inc.	Arlington, VA
LiquidNet H2O ATS		New York, NY
Liquidnet Negotiation ATS		New York, NY
LiquidPoint NXP		Chicago, IL
LIQUIFI	LIQUIFI is owned and operated by Citigroup Global Markets, Inc. (CGMI) and CitiCross (CX) are functionalities of LIQUIFI and may be referred as such	New York, NY
Maps ECN	Marco Polo Securities	New York, NY
MarketAxess Corporation Mid-X Trading System	Mid-X System	New York, NY
MarketAxess Corporation Single-Name CDS Central Limit Order Book	MarketAxess CDS CLOB	New York, NY
Mismi, Inc.		New York, NY
MTS Market International, inc.		New York, NY
MuniAxis Lebenthal LLC		New York, NY
National Financial Services, LLC	CrossStream, CrossStream BLOX SM (BLOCK Liquidity Opportunity Cross)	Boston, MA
OTC Link LLC		New York, NY
PDQ ATS Inc.		Glenview, IL
POSIT		New York, NY

PRO Securities, LLC		Newark, NJ
Real Time Platform	Creditex Securities Corp.	New York, NY
RiverCross	River Cross Securities, LLLP	Bala Cynwyd, PA
Schwab BondSource	Chales Schwab & Co. Inc.	San Francisco, CA
Second Market, Inc.		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
Spread Zero LLC	Spread Zero or Spread Zero ATS	New York, NY
State Street Global Markets LLC	BlockCross ATS	Boston, MA
Sterling Trader Execution Services, Inc.	Sterling ATS	Chicago, IL
Sterling Trader Execution Services, Inc.	Sterling ECN	Chicago, IL
Structured Credit Connection		New York, NY
Sutter Securities Incorporated	Zanbato ATS	San Francisco, CA
TheMuniCenter, L.L.C.		New York, NY
TradeWeb L.L.C.		Jersey City, NJ
Tripleshot, LLC		Boston, MA
Tullet Prebon Financial Services LLC		New York, NY
UBS ATS	UBS Securities LLC	Stamford, CT
Variable Investment Advisors, Inc. ATS (VIAATS)	www.AGSTOCKTRADE.COM, www.LIQUIDITYMAKER.COM	Sioux Falls, SD
Vega-Chi US Limited		New York, NY
VortEx		New York, NY
Wells Fargo Securities, LLC XE	Wells Fargo Liquidity Crosser Weeden & Co.	New York, NY
Xpert Securities, Inc.		Greenwich, CT
		San Mateo, CA

#### Cessation of Operations Reports Recently Filed

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Alerus Securities		Grand Forks, ND
Phoenix Derivatives Group, LLC		New York, NY
PPG West, LLC		New York, NY
Pragma OneCross	Pragma Securities, LLC	Greenwich, CT