

IM Equity Approved Broker List

As of June 30, 2024

Approved Entity

- 1 Abel Noser, LLC
- 2 ABG Sundal Collier ASA
- 3 ABN AMRO Bank N.V.
- 4 African Alliance Securities Trading Ltd.
- 5 Allen & Company LLC
- 6 Alterna Securities, Inc.
- 7 Ambit Capital Private Limited
- 8 Arqaam Capital Limited
- 9 Auerbach Grayson & Company LLC
- 10 Axis Capital Limited
- 11 B. Riley Securities, Inc.
- 12 Barclays Capital Inc.
- 13 Barclays Capital Securities Limited
- 14 Bativala & Karani Securities India Private Limited
- 15 Beech Hill Securities, Inc.
- 16 Berenberg Capital Markets LLC
- 17 Bernstein Autonomous LLP
- 18 BGC Financial, L.P.
- 19 BMO Capital Markets Corp.
- 20 BMO Capital Markets Limited
- 21 BNP Paribas
- 22 BNP Paribas Securities (Asia) Limited
- 23 BNP Paribas Securities Corp.
- 24 BNP Paribas Securities Services
- 25 BOFA Securities, Inc.
- 26 BRAC EPL Stock Brokerage Limited
- 27 Bradesco Securities, Inc.
- 28 Brasil Plural Securities LLC
- 29 BTG Pactual US Capital, LLC
- 30 BTIG Limited
- 31 BTIG, LLC
- 32 Cabrera Capital Markets, LLC
- 33 Canaccord Genuity LLC
- 34 Cantor Fitzgerald & Co.
- 35 Cantor Fitzgerald Europe
- 36 Capital Institutional Services, Inc.
- 37 Carnegie Investment Bank AB

Approved Entity

- 38 CGS-CIMB Securities (Hong Kong) Limited
- 39 Charles Schwab & Co., Inc.
- 40 China International Capital Corporation Hong Kong Securities Limited
- 41 China Renaissance Securities (Hong Kong) Limited
- 42 CIBC World Markets Corp.
- 43 Citadel Securities Institutional LLC
- 44 CITIC Securities Co., Ltd.
- 45 Citigroup Global Markets Inc.
- 46 Citigroup Global Markets Limited
- 47 CL Securities Taiwan Company Limited
- 48 CLSA Americas, LLC
- 49 CLSA Limited
- 50 Cowen And Company, LLC
- 51 Cowen Execution Services Limited
- 52 Credit Agricole Corporate and Investment Bank
- 53 Credit Suisse (Hong Kong) Limited
- 54 Credit Suisse Securities (Europe) Limited
- 55 Credit Suisse Securities (USA) LLC
- 56 Daiwa Capital Markets Europe Limited
- 57 Daiwa Capital Markets Hong Kong Limited
- 58 Dalal & Broacha Stock Broking Pvt. Ltd.
- 59 DAM Capital Advisors Limited
- 60 Danske Bank A/S
- 61 DBS Vickers Securities (Singapore) Pte Ltd.
- 62 Decker & Co, LLC
- 63 Deutsche Bank AG
- 64 Deutsche Bank Securities Inc.
- 65 Deutsche Securities Asia Ltd.
- 66 Dhanki Securities Private Limited
- 67 Dinosaur Financial Group, L.L.C.
- 68 DNB Bank ASA
- 69 Dolat Capital Market Pvt. Ltd.
- 70 EFG-HERMES-KSA
- 71 Emkay Global Financial Services Limited
- 72 Equity Bank Kenya Limited
- 73 Evercore Group L.L.C.
- 74 Exane

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- 75 Exotix Partners LLP
- 76 Fidentis Equities SVSA
- 77 Financial Brokerage Group
- 78 Flow Traders B.V.
- 79 Flow Traders US Institutional Trading LLC
- 80 Forte Securities Limited
- 81 Frank Russell Company
- 82 Goldman Sachs & Co. LLC
- 83 Goldman Sachs Do Brasil Banco Multiplo SA
- 84 Goldman Sachs Gao Hua Securities Company Limited
- 85 Goldman Sachs International
- 86 Goldman Sachs Saudi Arabia Company
- 87 Goodbody Stockbrokers
- 88 Green Street Trading, LLC
- 89 Guggenheim Securities, LLC
- 90 Haitong International Securities (USA) Inc.
- 91 Hive Markets Limited
- 92 Ho Chi Minh City Securities Corporation
- 93 Hongkong And Shanghai Banking Corporation Limited (The)
- 94 HSBC Bank PLC
- 95 HSBC Securities (USA) Inc.
- 96 ICICI Securities Limited
- 97 IFL Securities
- 98 Imperial Capital, LLC
- 99 ING Bank NV
- 100 Instinet Europe Limited
- 101 Instinet Pacific Limited
- 102 Instinet, LLC
- 103 Investec Bank PLC
- 104 Investec Capital Services (India) Private Limited
- 105 ITAU BBA USA Securities, Inc.
- 106 J & E Davy
- 107 J.P. Morgan Saudi Arabia Company
- 108 J.P. Morgan Securities (Taiwan) Limited
- 109 J.P. Morgan Securities LLC
- 110 J.P. Morgan Securities PLC
- 111 Jane Street Execution Services, LLC

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112 Jane Street Financial Ltd
 113 Janney Montgomery Scott LLC
 114 Jefferies International Ltd.
 115 Jefferies LLC
 116 JM Financial Institutional Securities Limited
 117 JMP Securities LLC
 118 Joh. Berenberg, Gossler & Co. KG
 119 JonesTrading Institutional Services LLC
 120 JonesTrading International Limited
 121 Keefe, Bruyette & Woods, Inc.
 122 Kepler Cheuvreux
 123 Kestrel Capital (East Africa) Limited
 124 Keybank Capital Markets Inc.
 125 Kim Eng Securities (Hong Kong) Limited
 126 Korea Investment And Securities Co., Ltd.
 127 Kotak Securities Ltd
 128 Liberum Capital Limited
 129 Liquidnet Asia Limited
 130 Liquidnet Europe Ltd.
 131 Liquidnet, Inc.
 132 Loop Capital Markets LLC
 133 Luminex Trading & Analytics LLC
 134 Macquarie Bank Limited
 135 Macquarie Capital (Europe) Limited
 136 Macquarie Capital (USA) Inc.
 137 Macquarie Futures USA LLC
 138 Macquarie Securities (Australia) Limited
 139 Meridian Equity Partners, Inc.
 140 Merrill Lynch International
 141 Mirabaud Securities Limited
 142 Mirae Asset Daewoo Co., Ltd.
 143 Mischler Financial Group, Inc.
 144 Mizuho International PLC
 145 Mizuho Securities USA LLC
 146 MKM Partners LLC
 147 Morgan Stanley & Co. International PLC
 148 Morgan Stanley & Co. LLC

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149 Morgan Stanley Saudi Arabia
 150 Motilal Oswal Securities Limited
 151 MUFG Securities EMEA PLC
 152 Nagarmal (Murarilal) Saraf
 153 Needham & Company, LLC
 154 NH Investment & Securities Co., Ltd.
 155 Nomura International PLC
 156 Nomura Securities International, Inc.
 157 Nordea Bank Abp
 158 Northern Trust Securities LLP
 159 Numis Securities Ltd.
 160 Nuvama Wealth Management Limited
 161 Oddo BHF SCA
 162 Oppenheimer & Co. Inc.
 163 Optiver VOF
 164 Panmure Gordon (UK) Limited
 165 Pantelakis Securities S.A.
 166 Peel Hunt LLP
 167 Penserra Securities, LLC
 168 PGM Global Inc.
 169 Piper Jaffray & Co.
 170 PKO Bank Polski SA
 171 Raymond James & Associates, Inc.
 172 RBC Capital Markets, LLC
 173 RBC Europe Limited
 174 Redburn Atlantic
 175 Rencap Securities, Inc.
 176 Robert W. Baird & Co. Incorporated
 177 Rosenblatt Securities Inc.
 178 Sabb Securities Ltd.
 179 Saigon Securities Incorporation
 180 Samsung Securities Co., Ltd.
 181 Sanford C. Bernstein & Co. LLC
 182 Sanford C. Bernstein (Hong Kong) Limited
 183 Santander US Capital Markets LLC
 184 Scotia Capital (USA) Inc.
 185 SEB Securities, Inc.

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186 SG Americas Securities, LLC
 187 Shinhan Securities Co., Ltd.
 188 Siebert Williams Shank & Co., LLC
 189 Skandinaviska Enskilda Banken AB
 190 SMBC Nikko Securities America, Inc.
 191 Societe Generale
 192 Spark Institutional Equities Private Limited
 193 Standard Bank of South Africa Limited (The)
 194 State Street Bank and Trust Company
 195 Stephens Inc.
 196 Stifel Nicolaus Europe Limited
 197 Stifel, Nicolaus & Company, Incorporated
 198 StoneX Financial Inc.
 199 Stuart Frankel & Co., Incorporated
 200 Susquehanna Financial Group, LLLP
 201 Susquehanna International Securities Limited
 202 Svenska Handelsbanken AB
 203 Swiss Capital SA
 204 TD Securities (USA) LLC
 205 TEB Yatirim Menkul Degerler AS
 206 Telsey Advisory Group LLC
 207 Topline Securities Limited
 208 Truist Securities, Inc.
 209 Tullett Prebon Financial Services LLC
 210 UBS AG
 211 UBS Securities Asia Ltd.
 212 UBS Securities LLC
 213 Van Lanschot Kempen Wealth Management N.V.
 214 Viet Capital Securities Joint Stock Company
 215 Virtu Americas LLC
 216 Virtu Europe Trading Limited
 217 Virtu ITG Hong Kong Limited
 218 Webush Securities Inc.
 219 Wells Fargo Securities, LLC
 220 William Blair & Company L.L.C.
 221 Winterflood Securities Ltd.
 222 Wood & Company Financial Services, A.S.

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As of June 30, 2024 (cont'd)

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- 223 XMS Capital Partners, LLC
- 224 XP Investments US, LLC
- 225 Xtellus Capital Partners, Inc.
- 226 Zuercher Kantonalbank

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