

June 22, 2018

The Honorable Mike Crapo
Chairman
Comm. on Banking, Housing, and Urban Affairs
United States Senate
Washington, DC 20510

The Honorable Sherrod Brown
Ranking Member
Comm. on Banking, Housing, and Urban Affairs
United States Senate
Washington, DC 20510

Dear Chairman Crapo and Ranking Member Brown:

The undersigned people, at a minimum and representing small businesses in 49 of 50 states (there are no small brokerage firms headquartered in Wyoming...YET), strongly urge Congress to pass bipartisan legislation, **The Small Business Audit Correction Act of 2018 (S 3004)**, co-sponsored by Senators Tom Cotton (R-AR) and Doug Jones (D-AL), which would request a specific exemption for small, privately held, non-custodial brokers and dealers in good standing from Title One of Sarbanes-Oxley requirement to hire a Public Company Accounting Oversight Board (PCAOB)-registered audit firm.

The legislative and regulatory burden for small businesses in our industry is substantial and small firms are struggling to survive. The signs are clear, small businesses face disproportionate compliance and audit costs and while we have seen increases in regulations and compliance costs, possibly the most unreasonable and unfair is that a small, privately held, non-custodial brokerage firm like ours is required by law and regulation to hire an expensive Public Company Accounting Oversight Board (PCAOB)-registered audit firm.

The PCAOB audit requirement makes sense for public companies and Broker-Dealers that carry customer funds or securities, because the investing public and markets are potentially at much greater risk from these companies. Conversely, the PCAOB requirements make no sense for privately-held, small non-custodial firms that do not carry customer funds or securities. Currently, a 3-person, non-public small business is held to the same standards as Merrill Lynch; this is not right, fair or reasonable.

The one-size-fits-all PCAOB audit standards that were designed for significantly more complex companies, and are priced exorbitantly, have been devastating to small businesses around the country. We simply cannot sustain the human and financial resource burden that these audits place on our small firms, time and money that we should be dedicating to our customers, and we urgently need legislative relief.

Our economy is powered by small business. Our future job growth depends on small business. Our future economic prosperity and competitiveness depends on the ability of our small businesses to innovate and grow into industry leaders across the country. As small business owners and operators across the country, we are asking for your help with this bipartisan issue of helping small businesses. Please help our firms and our community of small businesses by supporting our efforts to get the Small Business Audit Correction Act supported in Committee, brought to the floor of the Senate and House, and passed. Passing this Act will provide significant and much needed relief for small businesses and our customers around the country.

Thank you for your attention to this important issue. If you have any questions or would like additional information, please contact Paige Pierce at paige@paige-pierce.com or (801) 733-9909.

Thank you,

The Small Business Audit Correction Act of 2018

State	Name		Small Firm
AL	Marc	Whitehead	Harbor Financial Services, LLC
AK	John	Guthrie	PT Securities, LLC
AR	Mark	Chambers	Thrasher & Chambers, Inc.
AR	Mary Ellen	Williams	Lieblong & Associates, Inc.
AR	Robert	Keenan	St. Bernard Financial Services, Inc.
AZ	James	Williams	Gogan & Williams
AZ	Bruce	Hilby	Hilby Wilson Inc.
AZ	Patrick	Conway	Fairport Capital, Inc.
AZ	Mark	Howells	M. S. Howells & Co.
CA	Gary	Ching	NPB Financial Group, LLC
CA	Neal	Nakagir	NPB Financial Group, LLC
CA	Shirley	Coria	NNPB Financial Group, LLC
CA	Richard	Leach	Investment Security Corporation
CA	James	Fox	James Fox Securities, Inc.
CA	Morris	Midkiff	Midkiff & Stone Capital Group, Inc.
CA	William	O'Connor	O'Connor & Company Securities Inc.
CA	Audrey	McMahon	Ares Investor Services, LLC
CA	Jose	Portillo	RH Investment Corporation
CA	Howard	Feigenbaum	Sharemaster
CA	Jeffrey	Joslin	Stock Traders
CA	Debra	Draughan	Top Capital Advisors, Inc.
CA	Christopher	Mates	Opus Financial Partners
CA	Stephen	Perry	JCP Securities
CA	Deborah	Higgins	Higgins Capital Management, Inc.
CA	Eduardo	Tovar	Private Portfolio, Inc.
CA	Gary S	Sherwold	G.W. Sherwold Associates, Inc
CA	Eduard	Bagdasarian	Intrepid Investment Bankers LLC
CA	Michael	Kane	Transactiondrivers, LLC
CA	James	Reilly	Stonepine Advisors, LLC
CA	Joseph Delaney	Delaney	J.V. Delaney & Associates
CA	Thomas	Courtney	The Courtney Group, LLC
CA	Kevin Breard	Breard	Breard & Associates Inc CPAs
CA	Thomas	Korzenecki	Grand Avenue Capital Partners, LLC
CA	Allen	Chi	Mainspring Capital Management, LLC
CA	Glen	Haddock	Investment Architects, Inc.
CA	Charles	Painter	Painter, Smith And Amberg Inc.
CA	Maria	Boyd	Investment Placement Group
CA	Lisa	Roth	Tessera Capital Partners LLC
CA	Michelle	Thomas	WBB Securities LLC
CA	Matthew	Miller	WBB Securities, LLC
CA	Richard	Levenson	Western Financial Corporation
CA	Gil	Mogavero	JMP Securities LLC
CA	Randy	Fox	Atel Securities Corporation
CA	Donald	Mahon	Bayridge Securities, LLC

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State	Name	Name	Small Firm
CA	Stephen	Nasser	Coit Capital Securities LLC
CA	Lloyd	Leanse	Prager & Co., LLC
CA	Robert	Blum	Robert Blum Municipals, Inc.
CA	Marieanne	Jorajuria	Sharespost Financial Corporation
CA	Alan	Carlisle	Sofi Securities LLC
CA	Weiming	Ho	Integral Financial LLC
CA	Paul	Magnuson	Silicon Valley Securities
CA	Mark	Rogers	N4 Financial, Inc.
CA	Maia	Mcgehee	Mercury Securities, LLC
CA	Shieva	Rajae	EQIS Capital Management, Inc.
CA	Elizabeth	Collins	Financial Telesis Inc.
CA	Robert	Santos	Arrowroot Partners, LLC
CA	Joseph	Helmer	Caldwell Securities, Incorporated
CA	Nusheen	Javadizadeh	Rjj Pasadena Securities, Inc.
CA	Daniel	Roberts	Roberts & Ryan Investments Inc.
CA	Carolie	Smith	Alamo Capital
CA	Allison	Kent-Aster	Alamo Capital
CA	Jerry	Sanada	Alliance Advisory & Securities, Inc.
CA	Anthony	Duckworth	Investment Architects, Inc
CO	Phil	Antico	Withum Smith And Brown
CO	Blaine	Stahlman	Professional Broker-Dealer Financial Planning, Inc
CO	Chester	Hebert	Colorado Financial Service Corporation
CO	Roberta	Babitz	Andrews Partners
CO	Maxine	Johnson	Kessler Company Investments, Inc.
CO	John	Vansant	Cascade Financial Management, Inc.
CO	Caspar	Ooms	Clearcreek Securities, LLC
CO	Robert	Kessler	Kessler & Company Investments, Inc.
CO	Adam	Carmel	Larimer Capital Corporation
CO	Gordon	Yale	The Yale Group, Inc.
CO	Patricia	Kramer	Destiny Capital Securities Corporation
CO	Stephen	Kohn	Stephen A. Kohn & Associates, Ltd.
CO	Doug	Brode	Christian Financial Services LLC
CT	Robert	Malik	Charter Oak Asset Management, Inc.
CT	Pasquale	Lavecchia	Lavecchia Capital LLC
CT	William	Poon	Casimir Capital L.P.
CT	Michael	Butler	Cfs Securities, Inc.
CT	Eugene	Mauro	Quattro M Securities Inc.
DC	Gregory	Bowes	Albright Securities LLC
DC	John	Mckenna	Hamilton Clark Sustainable Capital, Inc.
DC	Elizabeth	Avery	Kalorama Capital, LLC
DC	Larry	Scully	Scully Capital Securities Corp.
DE	David	Monahan	Coastal Equities
DE	Stephen	Sweeny	Brittingham, Inc.
DE	Charles	Reiling	Coastal Equities, Inc.

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State	Name	Small Firm
FL	Sarah	Vegneron Renaissance Regulatory Services
FL	Jed	Bandes Mutual Trust Co. Of America Securities
FL	Mark	Beloyan Tradespot Markets Inc.
FL	Victoria	Ragland Equity Investment Services, Inc
FL	Ruben	Araneda Bci Securities, Inc.
FL	Indra	Campbell Arca Capital Investments, Inc.
FL	David	Wilson Equifinancial LLC
FL	Susan	Escobio Southern Trust Securities, Inc.
FL	Clifton	Morris Mcduffie/Morris Financial Group, Inc.
FL	S. David	Moche Cornwall Partners, LLC
FL	Michael	Petagna American Municipal Securities, Inc.
FL	Laura	Crosby-Brown Stillpoint Capital LLC
FL	Robert	Schlitt Schlitt Investor Services, Inc.
FL	Karen	Fischer BG Strategic Advisors
FL	Patricia	Wells Valor Financial Securities Llc
GA	John	Curran Fintech Securities
GA	Bruce	Williamson Fortress Group, Inc.
GA	Marion	Glover Glover Capital, Inc.
GA	Phyllis	Johnson H & L Equities, LLC
GA	Aaron	Prisco Propel Advisory Group, Inc.
GA	Jeffrey	Villwock Lanier Securities LLC
GA	Caroline	Wisniewski Bridge Capital Associates, Inc.
GU	Sandra	Mckeever Asia Pacific Financial Management Group, Inc.
HI	Min Won	Yang Sun's Brothers Securities Inc.
IA	Timothy	Weitzel Weitzel Financial Services, Inc.
IA	Harley	Whitfield American Equity Capital, Inc.
ID	Christopher	Miller Allegis Investment Services LLC
ID	Ryan	Carlson American Independent Securities Group, LLC
IL	Darrell	Butler Billow Butler & Company, LLC
IL	Christopher	Wurtzinger Forest Securities, Inc.
IL	Margaret	Wiermanski Rapid Execution Services, LLC
IL	Frederic	Floberg Tcc Securities, LLC
IL	Donald	Grava Vgl Global LLC
IL	Gregory	Taunt Iasg Alternatives, LLC
IL	Randall	Mitterling Liccar Securities, LLC
IL	Donald	Despain Despain Financial Corporation
IL	Kevin	Nicol Nicol Investors Corporation
IL	Kenneth	Sweet Reliance Worldwide Investments, LLC
IL	James	Correll Correll Co. Investment Services Corp.
IL	Tim	Ogara Shannon Advisors LLC
IL	Charles	Millington Millington Investments, LLC
IL	Frank	Chauner Chauner Securities, Inc.
IL	Stephen	Mack Mack Investment Securities, Inc.
IL	Suzanne	Bond Inland Securities Corporation

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State	Name		Small Firm
IN	Melvin	Brewer	Cornerstone Financial Services, Inc.
IN	John	Evanich	Atis, Inc
IN	Randall	Mitterling	Applied Capital, LLC
IN	John	Simmons	Morris Group, Inc.
IN	George	Steel	Planned Investment Co., Inc.
IN	Tom	Faust	Edward Opperman, CPA
IN	Timothy	Peoples	American Equity Investment Corporation
IN	Edward	Opperman	Edward Opperman CPA
KS	John	Stepp	Central States Capital Markets, LLC
KS	Robert	Hamman	First Asset Financial Inc.
KS	Kristopher	Miller	Tandem Securities, Inc.
KS	Margaret	Hornbeck	Truenorth, Inc.
KY	Stanley	Kerrick	Lexington Investment Company, Inc.
LA	Raymond	Thompson	Dorsey & Company, Inc.
LA	Brian	Marcotte	Johnson Rice & Company LLC
LA	Craig	Lewis	Lewis Financial Group, LLC
MA	David	Oldaker	Northern Capital Securities Corporation
MA	H. Don	Drake	O'neil Securities Inc.
MA	Stephen	Oleary	Aeris Partners LLC
MA	Paige	Rand	Agc Partners
MA	Michael	O'hara	Consensus Securities LLC
MA	Sumner	Kaufman	Kaufman & Company, LLC
MA	Tina	Maloney	Winslow, Evans & Crocker, Inc.
MA	Kristin	Kennedy	Wood (Arthur W.) Company, Inc.
MA	Lawrence	Martel	O'Neil Securities, Incorporated
MA	Matthew	Stumpf	AGC Partners
MA	John	Mccarty	Charles River Brokerage, LLC
MA	Richard	Murphy	North Bridge Capital, LLC
MA	Dayna	Gant	Apple Lane Group LLC
MA	Gilbert	Moreira	Donegal Securities, Inc.
MA	William	Mccance	Advisory Group Equity Services Ltd.
MA	Bruce	Fox	Advisory Group Equity Services, Ltd
MA	Sherry	Horn	North Bridge Capital
MD	Craig	Fischer	Atlantic Securities, Inc.
MD	David	Pringle	Fells Point Research LLC
MD	Carol	Greenwald	Potomac Investment Company
MD	Frederick	Holloway	Holloway & Associates, Inc.
MD	Ernest	Brittingham	International Money Management Group, Inc.
MD	Thomas	Schmidt	TLS Financial Services, Inc.
MI	Edward	Schwartz	Gregory J. Schwartz & Co., Inc.
MI	Laura	Powers	Gregory J. Schwartz & Co., Inc.
MI	Gregory	Papesh	Dart, Papesh & Company, Incorporated
MI	Randall	Hansen	Centennial Securities Company, Inc.
MI	Jordan	Powers	Centennial Securities

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State	Name		Small Firm
MI	Mark	Cleland	Donnelly Penman & Partners
MI	John	Butterfield	Jack V. Butterfield Investment Company
MI	Thomas	Swiat	Olmsted & Mulhall, Inc.
MI	Jason	Welch	Wwk Investments, Inc.
MI	Erica	Momany	Koehler Financial, LLC
MI	Craig	Adams	Confidential Management Financial Services, Inc.
MN	Todd	Johnson	Cedar Point Capital, LLC
MN	Anthony	Pence	Blacktorch Securities, LLC
MN	Michelle	Sandberg	Dougherty & Company LLC
MN	Jeannie	Sonstegard	Craig-Hallum Capital Group LLC
MN	Tyler	O'neill	Craig-Hallum Capital Group LLC
MN	Kimberly	Chapman	DST Market Services, LLC
MN	Patricia	Bartholomew	Craig-Hallum Capital Group LLC
MN	Basil	Joseph	Van Clemens & Co. Incorporated
MN	Philip	Wright	Brokerbank Securities, Inc.
MN	Todd	Morgan	Stannard Financial Services, LLC
MN	Thomas	Laird	T. E. Laird Securities, LLC
MN	Thomas	Laird	T. E. Laird Securities, LLC
MN	Thomas	Martinson	Martinson & Company, Ltd.
MO	Deborah	Castiglioni	Cutter & Company, Inc.
MO	Boyd	Atteberry	Financial Planning Consultants, Inc.
MO	Leann	Knuth	Labrunerie Group
MO	Alexander	Labrunerie	Labrunerie Financial Services, Inc.
MO	Michael	Dardis	Commerce Brokerage Services, Inc.
MO	Anton	Burch	Burch & Company, Inc
MO	Sandra	Dershem-Vega	Country Club Financial Services, Inc.
MO	Marco	Listrom	Valdes & Moreno, Inc.
MO	Jenifer	Burch	Burch & Company, Inc.
MO	Patrick	Hosty	Neighborly Securities
MO	Dana	Bjornson	George K. Baum Capital Advisors, Inc.
MO	David	Miller	General Securities Corp
MO	Trinity	Lee	Heim, Young & Associates, Inc.
MO	Dean	Young	Heim, Young & Associates, Inc.
MO	Deborah	Mertz	J.A. Glynn Investments LLC
MO	Catherine	Marshall	Huntleigh Securities Corporation
MO	Norman	Conley	J.A. Glynn Investments, LLC
MO	Robert	Chambers	Huntleigh Securities Corp
MO	Robert	Hillard	Arlington Securities, Inc.
MS	James	Coker	Coker & Palmer
MT	Kimberly	Smith	S.G. Long & Company
NC	Larry	Forrest	Smith Point Capital Ltd
NC	Gregory	Leneave	Anderson Leneave & Co.
NC	Charlie	Lucas	Elevation, Llc
NC	Bennett	Cole	Falconbridge Capital Markets, LLC

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State	Name		Small Firm
NC	John	Fennebresque	Fennebresque & Co., LLC
NC	Debra	Gilboy	P.R. Gilboy & Associates, Inc.
NC	Robert	Abbott	South Atlantic Enterprises, Inc.
NC	Fredrick	Fisher	Milestone Investments, Inc.
NC	Andrew	Burch	Carolina Securities, Inc.
NC	Melissa	Hoots	Falcon Square Capital, LLC
NC	William	Sykes	Sykes Financial Services LLC
ND	Garry	Pierce	Garry Pierce Financial Services, LLP
ND	Brian	Kraft	Alerus Securities Corporation
NE	Mark	Bell	COR Clearing LLC
NE	Danielle	Hampton	First National Capital Markets
NE	Shirley	Overly	Haley Securities, Inc.
NE	Todd	Engle	Kuehl Capital Corporation
NE	Thomas	Teckmeyer	Teckmeyer Financial Services LLC
NE	John	Detisch	Weitz Securities, Inc.
NH	John	Clarke	1st Bccw Capital Corp
NH	Robert	Macleod	Bigelow Capital Securities LLC
NH	Thomas	Lewry	Curbstone Financial Management Corporation
NH	James	Tovey	JLT Capital Partners LLC
NH	William	King	JSI Transaction Advisors, LLC
NH	Laura	Crosby-Brown	Pronet Financial Partners LLC
NH	Lisa	Durgan	Secure Planning, Inc.
NH	Douglas	Drozdowski	SWN Securities LLC
NJ	Daryl	Hersch	Celadon Financial Group LLC
NJ	David	Sokolower	Repex & Co., Inc.
NJ	Alan	Achtel	Aca/Prudent Investors Planning Corporation
NJ	John	Iannone	Quantex Clearing, LLC
NJ	John	Kuhn	Avatar Capital Group LLC
NJ	Granville	Ungerleider	Whitemarsh Capital Advisors
NJ	Juan	Espinosa	Apto Partners, LLC
NJ	Mark	Furman	Cvf Securities, Inc.
NJ	August	Cellitti	Securevest Financial Group
NJ	Anthony	Cianci	Fox Chase Capital Partners, LLC
NJ	John	Frontero	Cross Point Capital LLC
NJ	Brent	Hippert	Hardcastle Trading Usa LLC
NJ	Andrew	Macinnes	Brilliquid LLC
NJ	Kevin	Hull	Robert A. Stanger & Company, Inc.
NJ	Sheldon	Grodsky	Grodsky Associates, Inc.
NJ	Randolph	Rogers	Merrion Securities, LLC
NM	Randall	Dry	Thornnburg Securities Corp.
NV	Kim	Schmidt	Elmcore Securities
NV	Sean	Deson	Deson & Co.
NV	Felix	Danciu	Elmcore Securities LLC
NY	Bonnie	Mann Falk	Mazars USA LLP

The Small Business Audit Correction Act of 2018

State	Name	Small Firm
NY	Charles	Pagano Mazars USA LLP
NY	Bruce	Jackson Carver Cross Securities Corp.
NY	Gary	Hoch Gary Hoch Agency, Inc.
NY	John	Rogers Intercoastal Capital Markets, Inc.
NY	Austin	Rybsstein A.C.R. Securities, Inc.
NY	Eytan	Feldman Old City Securities LLC
NY	George	Reichle A. P. Securities, Inc.
NY	Parbati	Bhattacharya Westrock Capital Management, Inc.
NY	Dominick	Scianandre Hudson Heritage Capital Management, Inc.
NY	Samantha	Larew Manning & Napier Investor Services, Inc.
NY	Michelle	O'Brien Manning & Napier Investor Services, Inc.
NY	Maureen	O'Brien Dynamo Consulting, LLC
NY	Carl	Lanzisera Federated Securities
NY	Gloria	Scheiman TG Private Capital
NY	Arthur	Loomis Northeast Capital & Advisory, Inc.
NY	Richard	Carlesco Ibn Financial Services, Inc.
NY	James	Westmacott Westco Investment Corp.
NY	Barbara	Fulcher Westco Investment Corp
NY	Wendy	Lanton Lantern Investments
NY	Dawn	Haye Glaucon Capital Partners, LLC.
NY	Janice	Parise Sddco Group
NY	Robert	Aufhauser Aufhauser Securities, Inc.
NY	Robert	Solomon Beekman Securities, Inc.
NY	W. Stewart	Cahn Cahn Capital Corp.
NY	Ronald	Pasternak Dbot Ats, Llc
NY	E. Magnus	Oppenheim E. Magnus Oppenheim & Co. Inc.
NY	Howard	Spindel Surya Capital Securities LLC
NY	Garfield	Miller Aegis Energy Advisors Corp.
NY	Victor	Park Alternative Asset Investment Management Securities
NY	Kevin	Hourihan Ashmore Investment Management (Us) Corporation
NY	Oliver	Cromwell Bentley Securities Corporation
NY	Ian	Green Brokerageselect
NY	W. Stewart	Cahn Cahn Capital Corp.
NY	Michael	Steinberg Ccb International Overseas (Usa) Inc.
NY	David	Wong Colonial Securities, Inc.
NY	Michael	Kraus HT Capital Securities, LLC
NY	John	Kiremidjian NB Markets, Inc.
NY	Gerhard	Summerer DZ Financial Markets LLC
NY	Jason	Eveleth Exane, Inc.
NY	Scott	Abrams Financo Securities, LLC
NY	Ilan	Lessick Gmp Securities, LLC
NY	William	Hunnicuttt Hunnicutt & Co. LLC
NY	Henry	Marshall Hunter, Keith, Marshall & Co., Incorporated
NY	Bishen	Pertab ICICI Securities Inc.

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State	Name		Small Firm
NY	Howard	Spindel	IIP Securities LLC
NY	Robert	Rabinowitz	J.H. Darbie & Co., Inc.
NY	John	Loofbourrow	John W. Loofbourrow Associates, Inc.
NY	Leslie	Feldman	Eureka Capital Markets, L
NY	Sam	Kopkind	Lwpartners Capital Group LLC
NY	Lawrence	May	May Capital Group, LLC
NY	Lawrence	Walther	Maybank Kim Eng Securities Usa Inc.
NY	George	Ramirez	Mfr Securities, Inc.
NY	Ann-Marie	Baker	Muzinich Capital LLC
NY	Steven	Perlstein	Mvp Financial, LLC
NY	Robert	Snider	Omnicap, LLC
NY	Ruben	Brache	Opening Night Capital, LLC
NY	Kenneth	Boyar	Palico LLC
NY	Patrick	O'meara	Profor Advisors
NY	Robert	Hackel	R. F. Lafferty & Co., Inc.
NY	Larry	Kimmel	Redburn (Usa) Llc
NY	M. Allison	Steiner	Rhone Group Advisors LLC
NY	Martin	Pollock	Eurekacap Partners Inc
NY	David	Deblase	South Street Securities LLC
NY	Steven	Jafarzadeh	Stonehaven, LLC
NY	Michael	Cardello	Terra Capital Markets LLC
NY	George	Schinkel	The Klein Group, LLC
NY	William	Robertson	Tm Capital Corp.
NY	Charles	Gerber	Triumph Global Securities, Ltd.
NY	David	Shields	Wellington Shields & Co., LLC
NY	Michael	Lowenberg	White Mountain Capital, LLC
NY	David	Rappaport	Investec Securities (US). LLC
NY	John	Luttenberger	Macro Risk Advisors LLC
NY	Alexander	Mack	Middlemarch Securities LLC
NY	Robert	Kent	Morningside Securities, LLC
NY	Brent	Hippert	Ashton Stewart & Co.
NY	John	Parmigiani	Allied Millenial
NY	Michael	Mangieri	Seven Points Capital, LLC
NY	Andrew	Epstein	Gordon, Haskett
NY	Raymond	Mendez	Brittany Capital Group, Inc.
NY	Constantine	Baris	Longship Alternative Asset Mgmt, LLC
NY	Robert	Stearns	Longship Alternative Asset Management
NY	Steven	Rubenstein	Arrow Investments, Inc.
NY	Allan	Goldstein	Trade Informatics Llc
NY	Joseph	Lanzisera	Excel Securities & Associates, Inc.
NY	Scott	Zollo	Mutual Funds Associates Inc.
NY	Wayne	Holly	Sage, Ruddy & Co., Inc.
NY	John	Maceranka	The Windmill Group, Inc.
NY	Olaf	Neubert	Topcap Partners, Inc.

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State	Name	Small Firm
NY	John	Pisapia Chelsea Financial Services
NY	Teresa	Davies Burke & Quick Partners LLC
NY	Philip	Coombe Coombe Financial Services, Inc.
NY	Jerome	Keenan International Equity Services, Inc.
NY	Steven	Blecher Morgan Joseph Triartisan, LLC
NY	Stephen	Distante Vanderbilt Securities, LLC
OH	Frank	Panzeca Clark Schaefer Hackett CPAs & Advisors
OH	Peter	Nerone Great American Advisors, Inc.
OH	John	Seibert J. D. Seibert & Company, Inc.
OH	Salvatore	Raffa Northcoast Research Partners
OH	Martin	Rizzo Northcoast Research Partners, LLC
OH	Timothy	Henahan Baker & Co., Inc.
OH	Dock	Treece Treece Financial Services Corp.
OH	Melissa	Henahan Baker & Co., Inc
OK	James	Oplotnik Access Investments, Inc.
OR	Edward	Curiel DLX Financial Group, L LLC
OR	Richard	Goud HP Securities, Inc.
OR	William	Campbell Equilibrium Capital Services, LLC
OR	Tanya	Durkee Urbach Paulson Investment Company, LLC
PA	Leona	Robinson Robinson & Robinson, Inc.
PA	Betty	Rainier Beaconsfield Financial Services, Inc.
PA	Richard	Rainier Beaconsfield Financial Services, Inc.
PA	Mark	Karbiner Pm Securities, LLC DbA Phoenix Capital Resources
PA	John	Marsden JRM Securities
PA	Peter	Engelbach J. Alden Associates, Inc.
PA	Steven	Segal Park City Capital, Inc.
PA	Kevin	Kornfield Kevin Hart Kornfield & Company, Inc.
PA	James	Oconnor Bestvest Investments, Ltd.
PA	Dale	Pope Mercap Securities, LLC
PA	Mark	Cresap Cresap, Inc.
PA	W. Dean	Karrash Burke, Lawton, Brewer & Burke, LLC
PA	Brian	Anderson Nestlerode & Loy, Inc.
PA	Judy	Loy Nestlerode & Loy, Inc.
PR	John	Holman Esh Capital, LLC
PR	Ramon	Thomas Rd Capital Group, Inc.
RI	Wilson	Saville Barrett & Company
RI	David	Izzi Brown, Lisle/Cummings, Inc.
RI	Karen	Bacon Diversified Resources, LLC
SC	Nelson	Arrington V. M. Manning & Co., Inc.
SC	Edward	Dowaschinski Dunes Securities Corporation
SC	Edward	Dowaschinski Dunes Securities Corporation
SC	Joan	Grava Palmetto Advisory Group
SC	Derrick	Grava Palmetto Advisory Group
SC	Kenneth	Wilson TRC Markets LLC

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State	Name	Small Firm
SD	Gregory	Wilson Variable Investment Advisors, Inc.
TN	Raymond	Brandon Brandon Investments, Inc.
TN	Dan	Mayfield Sanderlin Securities, Llc
TN	Lisa	James Wiley Bros Aintree Capital, LLC
TN	Joel	Oertling Avondale Partners, LLC
TN	James	Murphy Avondale Partners, LLC
TN	David	Wiley Iii Wiley Bros.-Aintree Capital, LLC
TN	David	James Pnfp Capital Markets, Inc.
TN	Thomas	Altfillisch Western Equity Group, Inc.
TX	Byron	Treat Great Nation Investment Corporation
TX	Dante	Fichera Independent Investment Bankers, Corp.
TX	Jason	Rivera Acc Securities, LLC
TX	Billy	Sims Brazos Securities, Inc.
TX	Travis	Duren Crescent Securities Group, Inc.
TX	Chad	Bailey Guidestone Financial Services
TX	Lewis	Fisher L. B. Fisher & Company
TX	Daniel	Dooley Maplewood Investment Advisors, Inc.
TX	John	Mauldin Mauldin Securities, LLC
TX	James	Davis Texas Corporate Capital Advisors
TX	Katherine	Cook Venovate Marketplace, Inc.
TX	Jeremy	Halpin Guidestone Financial Services
TX	Carla	Wright Signal Securities, Inc.
TX	Ivan	Singleton Signal Securities, Inc.
TX	Robert	Bagley Bullish Bob Bagley Securities, Inc.
TX	Robbi	Jones Kipling Jones & Co., Ltd.
TX	Melinda	Legaye Moody Securities, LLC
TX	Kevin	Regan RHCA Securities, LLC
TX	William	Wilson SP Securities LLC
TX	William	Hoover Steward Securities Group LLC
TX	Patrick	Smetek Sunbelt Securities, Inc.
TX	Randal	Ferguson First Western Securities, Inc.
TX	Craig	Kilpatrick First Western Securities
TX	Ilonka	Nobles Nobles & Richards, Inc.
TX	Linde	Murphy ME Allison & Co
TX	Christopher	Allison M. E. Allison & Co., Inc.
TX	David	Mcnally Mcnally Financial Services Corporation
TX	Heather	Nelson ME Allison
TX	Tiffany	Fisher CNS Securities, LLC
TX	Richard	Sadow Forte Securities LLC
TX	Timothy	Kohn Investors Brokerage Of Texas, Ltd.
TX	Scott	Taylor Scott T. Taylor, Ltd.
UT	James	Dowd North Capital Private Securities Corporation
UT	Stephanie	Holt North Capital Private Securities
UT	Betsy	Voter Michael Best

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State	Name		Small Firm
UT	Eric	Vos	Moreton Capital Markets LLC
UT	Paige	Pierce	PSP Consulting
VA	Francis	Stiff	Cheval Capital, Inc.
VA	Robert	Mann	First Georgetown Securities, Inc.
VA	Shawn	Mclaughlin	Mclaughlin Ryder Investments, Inc.
VA	Jennifer	Szaro	Lara, May & Associates, LLC
VA	Nicole	Saunders	Northwest Financial Advisors
VA	Robert	Moreschi	Eastern Point Securities, Inc.
VA	Kenneth	Smither	Smither & Company Capital Markets, LLC
VA	Donna	Arles	Wealthforge Securities
VA	Mark	Dempsey	Navy Federal Brokerage Services, LLC
VT	Brian	Mckenna	D.B. Mckenna & Co., Inc.
VT	Donald	Mckenna	D. B. Mckenna & Co., Inc.
WA	Dick	Smith	Down Under Enterprises
WA	Michael	Keller	FSIC
WA	James	Humbard	A&A Securities LLC
WA	Sean	Grubb	Northwest Investment Advisors, Inc.
WA	Tim	Vorpahl	Vorpahl Wing Securities
WI	Richard	Peterson	Liberty Investment Counsel, Ltd.
WI	Tami	Strang	Buttonwood Partners, Inc.
WI	Mari	Buechner	Coordinated Capital Securities, Inc.
WI	Gennady	Bekasov	Hewins Brokerage Services, LLC
WI	Michael	Losse	Willow Cove Investment Group, Inc.
WV	Jacob	Doyle	Financial West Group
WV	Timothy	Bidwell	Hazlett, Burt & Watson, Inc.
WV	Ami	Shaver	United Brokerage Services, Inc.
WV	Rose	Wilson	Wesbanco Securities, Inc.