

SEC Equity Market Structure Members and Market Structure FINRA Fines

Member Firms with no Market Structure FINRA Fines

AARP Inc.
Carnegie Mellon University
Cornell University
FINRA
Headlands Technologies LLC
IEX Group Inc.
Invesco Ltd.
MIT and AlphaSimplex Group
T. Rowe Price Group
Thomson Reuters

Member Firms with one or more Market Structure FINRA Fines

BARCLAYS CAPITAL INC. (19714)

01. [2005003076702](#) Action date: 11/16/2007 Size: 163 KB
02. [2006004056501](#) Action date: 10/12/2009 Size: 148 KB
03. [2009017479101](#) Action date: 11/09/2010 Size: 232 KB
04. [2009016999401](#) Action date: 12/20/2010 Size: 197 KB
05. [2009019847301](#) Action date: 06/10/2011 Size: 332 KB
06. [2008012808801](#) Action date: 12/22/2011 Size: 353 KB
07. [2010023164201](#) Action date: 01/15/2013 Size: 162 KB
08. [2011028810101](#) Action date: 01/17/2013 Size: 157 KB
09. [2010021557301](#) Action date: 06/07/2013 Size: 367 KB
10. [2013037879401](#) Action date: 10/14/2013 Size: 454 KB
11. [2010023435301](#) Action date: 11/01/2013 Size: 245 KB
12. [2011025586901](#) Action date: 12/17/2013 Size: 216 KB
13. [2011026679201](#) Action date: 12/26/2013 Size: 675 KB
14. [2010023567201](#) Action date: 01/09/2014 Size: 240 KB
15. [2013036917401](#) Action date: 06/04/2014 Size: 374 KB
16. [2013035856601](#) Action date: 09/17/2014 Size: 169 KB
17. [2013037819801](#) Action date: 12/10/2014 Size: 619 KB
18. [2011030505401](#) Action date: 01/08/2015 Size: 189 KB
19. [2013038781101](#) Action date: 05/12/2015 Size: 182 KB

BATS TRADING, INC. (136734) or DIRECT EDGE ECN LLC (135981)

01. [2006004619501](#) Action date: 11/16/2007 Size: 196 KB
02. [2007008910601](#) Action date: 12/07/2009 Size: 337 KB
03. [2008012541301](#) Action date: 08/24/2010 Size: 157 KB
04. [2008014870001](#) Action date: 05/24/2011 Size: 112 KB
05. [2006006862401](#) Action date: 08/14/2011 Size: 129 KB
06. [2010023690301](#) Action date: 03/27/2012 Size: 140 KB

BLOOMBERG TRADEBOOK LLC (40881)

01. [2012033435501](#) Action date: 11/21/2014 Size: 178 KB
02. [2012034869801](#) Action date: 12/23/2014 Size: 160 KB

CANTOR FITZGERALD and CO. (134)

01. [2005003036801](#) Action date: 04/25/2006 Size: 100 KB
02. [2005001812301](#) Action date: 10/05/2006 Size: 134 KB
03. [2005002507802](#) Action date: 01/09/2007 Size: 102 KB
04. [2005001796701](#) Action date: 08/11/2009 Size: 515 KB
05. [2006006491201](#) Action date: 08/11/2009 Size: 130 KB
06. [2007007309701](#) Action date: 07/22/2009 Size: 184 KB
07. [2008012332902](#) Action date: 12/23/2010 Size: 262 KB
08. [2008016384101](#) Action date: 02/17/2011 Size: 109 KB
09. [2009016134601](#) Action date: 06/07/2011 Size: 135 KB
10. [2006006144001](#) Action date: 08/14/2011 Size: 180 KB
11. [2011026837401](#) Action date: 08/21/2012 Size: 238 KB
12. [2009020199901](#) Action date: 09/07/2012 Size: 265 KB
13. [2012031677201](#) Action date: 04/02/2013 Size: 161 KB
14. [2012031646901](#) Action date: 12/09/2013 Size: 368 KB
15. [2012034096601](#) Action date: 11/25/2014 Size: 280 KB
16. [2013035720201](#) Action date: 12/10/2014 Size: 220 KB

CITADEL SECURITIES LLC (116797)

01. [2006004936201](#) Action date: 01/08/2009 Size: 119 KB
02. [2005003619101](#) Action date: 09/24/2010 Size: 264 KB
03. [2009017006101](#) Action date: 11/21/2011 Size: 237 KB
04. [2007010875201](#) Action date: 05/28/2013 Size: 2702 KB
05. [2009018256501](#) Action date: 05/28/2013 Size: 187 KB
06. [2011027985401](#) Action date: 09/26/2013 Size: 164 KB
07. [2010021590501](#) Action date: 09/27/2013 Size: 279 KB
08. [2011029287501](#) Action date: 12/23/2013 Size: 163 KB
09. [2010022334505](#) Action date: 06/16/2014 Size: 444 KB
10. [2012031643001](#) Action date: 09/25/2014 Size: 224 KB
11. [2012033129701](#) Action date: 10/15/2014 Size: 157 KB

CONVERGEX EXECUTION SOLUTIONS, LLC (35693)

01. [2005000207401](#) Action date: 03/29/2007 Size: 109 KB
02. [2007009278701](#) Action date: 09/06/2011 Size: 170 KB
03. [2006007321901](#) Action date: 01/24/2012 Size: 134 KB
04. [2010021483401](#) Action date: 04/24/2012 Size: 267 KB
05. [2009017656801](#) Action date: 08/01/2012 Size: 147 KB
06. [2012033096901](#) Action date: 04/08/2014 Size: 336 KB
07. [2013035825701](#) Action date: 03/04/2015 Size: 341 KB

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