Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2020

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A This return/report is for:
- [ ] a multiemployer plan
- [ ] a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- [X] a single-employer plan
- [ ] a DFE (specify) ____

B This return/report is:
- [ ] the first return/report
- [ ] the final return/report
- [ ] an amended return/report
- [ ] a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. . . . . ▶ [ ]

D Check box if filing under:
- [X] Form 5558
- [ ] automatic extension
- [ ] the DFVC program
- [ ] special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 01/01/1999

2a Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
LOOP CAPITAL MARKETS, LLC

111 WEST JACKSON BLVD, STE 1901
CHICAGO, IL 60604

2b Employer Identification Number (EIN) 36-4164012

2c Plan Sponsor's telephone number 312-913-4912

2d Business code (see instructions) 523110

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/15/2021	ANTHONY SULLIVAN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/15/2021	ANTHONY SULLIVAN
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address [X] Same as Plan Sponsor

3b Administrator's EIN

3c Administrator's telephone number

4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report:
a Sponsor's name
c Plan Name

4b EIN

4d PN

5 Total number of participants at the beginning of the plan year	**5**	246
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**).		
a(1) Total number of active participants at the beginning of the plan year	**6a(1)**	193
a(2) Total number of active participants at the end of the plan year	**6a(2)**	199
b Retired or separated participants receiving benefits	**6b**	0
c Other retired or separated participants entitled to future benefits	**6c**	55
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	254
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f Total. Add lines **6d** and **6e**	**6f**	254
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	239
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	6
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2J 2K 3D

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply)

(1)	[X]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

(1)	[X]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

(1)	[X]	**R** (Retirement Plan Information)
(2)	[ ]	**MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
(3)	[ ]	**SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

(1)	[X]		**H** (Financial Information)
(2)	[ ]		**I** (Financial Information – Small Plan)
(3)	[X]	1	**A** (Insurance Information)
(4)	[X]		**C** (Service Provider Information)
(5)	[ ]		**D** (DFE/Participating Plan Information)
(6)	[ ]		**G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE A
(Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Insurance Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

▶ Insurance companies are required to provide the information pursuant to ERISA section 103(a)(2).

OMB No. 1210-0110

2020

This Form is Open to Public Inspection

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
LOOP CAPITAL MARKETS, LLC

D Employer Identification Number (EIN)
36-4164012

Part I **Information Concerning Insurance Contract Coverage, Fees, and Commissions** Provide information for each contract on a separate Schedule A. Individual contracts grouped as a unit in Parts II and III can be reported on a single Schedule A.

1 Coverage Information:

(a) Name of insurance carrier
VOYA RETIREMENT INSURANCE AND ANNUITY COMPANY

(b) EIN	**(c)** NAIC code	**(d)** Contract or identification number	**(e)** Approximate number of persons covered at end of policy or contract year	Policy or contract year	
				(f) From	**(g)** To
71-0294708	86509	DH1299	254	01/01/2020	12/31/2020

2 Insurance fee and commission information. Enter the total fees and total commissions paid. List in line 3 the agents, brokers, and other persons in descending order of the amount paid.

(a) Total amount of commissions paid	**(b)** Total amount of fees paid
0	0

3 Persons receiving commissions and fees. (Complete as many entries as needed to report all persons).

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

(a) Name and address of the agent, broker, or other person to whom commissions or fees were paid

(b) Amount of sales and base commissions paid	Fees and other commissions paid		**(e)** Organization code
	(c) Amount	**(d)** Purpose	

Part II Investment and Annuity Contract Information

Where individual contracts are provided, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

4	Current value of plan's interest under this contract in the general account at year end	**4**	1884137
5	Current value of plan's interest under this contract in separate accounts at year end	**5**	

6 Contracts With Allocated Funds:

a State the basis of premium rates ▶

b	Premiums paid to carrier	**6b**	
c	Premiums due but unpaid at the end of the year	**6c**	
d	If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, enter amount.	**6d**	

Specify nature of costs ▶

e Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity

(3) ☐ other (specify) ▶

f If contract purchased, in whole or in part, to distribute benefits from a terminating plan, check here ▶ ☐

7 Contracts With Unallocated Funds (Do not include portions of these contracts maintained in separate accounts)

a Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee

(3) ☐ guaranteed investment (4) ☒ other ▶ GROUP PENSION FUNDING

b	Balance at the end of the previous year			**7b**	1045010
c	Additions: (1) Contributions deposited during the year	**7c(1)**	164476		
	(2) Dividends and credits	**7c(2)**			
	(3) Interest credited during the year	**7c(3)**	15717		
	(4) Transferred from separate account	**7c(4)**	690559		
	(5) Other (specify below)	**7c(5)**	697		
	▶ *				
	(6) Total additions			**7c(6)**	871449
d	Total of balance and additions (add lines **7b** and **7c(6)**)			**7d**	1916459
e	Deductions:				
	(1) Disbursed from fund to pay benefits or purchase annuities during year	**7e(1)**	25713		
	(2) Administration charge made by carrier	**7e(2)**	4506		
	(3) Transferred to separate account	**7e(3)**			
	(4) Other (specify below)	**7e(4)**	2103		
	▶ *				
	(5) Total deductions			**7e(5)**	32322
f	Balance at the end of the current year (subtract line **7e(5)** from line **7d**)			**7f**	1884137

Part III Welfare Benefit Contract Information

If more than one contract covers the same group of employees of the same employer(s) or members of the same employee organizations(s), the information may be combined for reporting purposes if such contracts are experience-rated as a unit. Where contracts cover individual employees, the entire group of such individual contracts with each carrier may be treated as a unit for purposes of this report.

8 Benefit and contract type (check all applicable boxes)

- **a** ☐ Health (other than dental or vision)
- **b** ☐ Dental
- **c** ☐ Vision
- **d** ☐ Life insurance
- **e** ☐ Temporary disability (accident and sickness)
- **f** ☐ Long-term disability
- **g** ☐ Supplemental unemployment
- **h** ☐ Prescription drug
- **i** ☐ Stop loss (large deductible)
- **j** ☐ HMO contract
- **k** ☐ PPO contract
- **l** ☐ Indemnity contract
- **m** ☐ Other (specify) ▶

9 Experience-rated contracts:				
a Premiums: (1) Amount received	**9a(1)**			
(2) Increase (decrease) in amount due but unpaid	**9a(2)**			
(3) Increase (decrease) in unearned premium reserve	**9a(3)**			
(4) Earned (**(1)** + **(2)** - **(3)**)			**9a(4)**	
b Benefit charges (1) Claims paid	**9b(1)**			
(2) Increase (decrease) in claim reserves	**9b(2)**			
(3) Incurred claims (add **(1)** and **(2)**)			**9b(3)**	
(4) Claims charged			**9b(4)**	
c Remainder of premium: (1) Retention charges (on an accrual basis) --				
(A) Commissions	**9c(1)(A)**			
(B) Administrative service or other fees	**9c(1)(B)**			
(C) Other specific acquisition costs	**9c(1)(C)**			
(D) Other expenses	**9c(1)(D)**			
(E) Taxes	**9c(1)(E)**			
(F) Charges for risks or other contingencies	**9c(1)(F)**			
(G) Other retention charges	**9c(1)(G)**			
(H) Total retention			**9c(1)(H)**	
(2) Dividends or retroactive rate refunds. (These amounts were ☐ paid in cash, or ☐ credited.)			**9c(2)**	
d Status of policyholder reserves at end of year: (1) Amount held to provide benefits after retirement			**9d(1)**	
(2) Claim reserves			**9d(2)**	
(3) Other reserves			**9d(3)**	
e Dividends or retroactive rate refunds due. (Do not include amount entered in line **9c(2)**.)			**9e**	
10 Nonexperience-rated contracts:				
a Total premiums or subscription charges paid to carrier			**10a**	
b If the carrier, service, or other organization incurred any specific costs in connection with the acquisition or retention of the contract or policy, other than reported in Part I, line 2 above, report amount.			**10b**	

Specify nature of costs.

Part IV Provision of Information

11 Did the insurance company fail to provide any information necessary to complete Schedule A? ☐ Yes ☒ No

12 If the answer to line 11 is "Yes," specify the information not provided. ▶

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2020** **This Form is Open to Public Inspection.**

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
LOOP CAPITAL MARKETS, LLC

D Employer Identification Number (EIN)
36-4164012

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

VOYA RETIREMENT INSURANCE & ANNUITY

71-0294708

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

VOYA RETIREMENT INSURANCE & ANNUITY

71-0294708

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
26 64	SERVICE PROVIDER	69691	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

(a) Enter name and EIN or address (see instructions)

LPL FINANCIAL

04-3046611

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
99	SERVICE PROVIDER	0	Yes [X] No [ ]	Yes [ ] No [X]	23916	Yes [ ] No [X]

(a) Enter name and EIN or address (see instructions)

MESIROW FINANCIAL, INC.

36-3194849

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
99	SERVICE PROVIDER	0	Yes [X] No [ ]	Yes [ ] No [X]	6881	Yes [ ] No [X]

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

MESIROW FINANCIAL

36-3429599

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
99	SERVICE PROVIDER	0	Yes [X] No [ ]	Yes [ ] No [X]	6676	Yes [ ] No [X]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
LPL FINANCIAL	99	23916

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VOYA RETIREMENT INSURANCE & ANNUITY 71-0294708	OTHER FEES

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
MESIROW FINANCIAL, INC.	99	6881

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VOYA RETIREMENT INSURANCE & ANNUITY 71-0294708	OTHER FEES

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
MESIROW FINANCIAL	99	6676

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VOYA RETIREMENT INSURANCE & ANNUITY 71-0294708	OTHER FEES

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

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(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

Part III	**Termination Information on Accountants and Enrolled Actuaries (see instructions)** (complete as many entries as needed)

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2020

This Form is Open to Public Inspection

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
LOOP CAPITAL MARKETS, LLC

D Employer Identification Number (EIN)
36-4164012

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	10973	11930
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)	67658	82498
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	384474	322552
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	23883941	28219384
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)	1045010	1884137
(15) Other	1c(15)		

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	1d(1)		
	(2) Employer real property	1d(2)		
e	Buildings and other property used in plan operation	1e		
f	Total assets (add all amounts in lines 1a through 1e)	1f	25392056	30520501
	Liabilities			
g	Benefit claims payable	1g		
h	Operating payables	1h		
i	Acquisition indebtedness	1i		
j	Other liabilities	1j		
k	Total liabilities (add all amounts in lines 1g through1j)	1k	0	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	25392056	30520501

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

	Income		**(a)** Amount	**(b)** Total
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	2a(1)(A)	340480	
	(B) Participants	2a(1)(B)	2039830	
	(C) Others (including rollovers)	2a(1)(C)	130287	
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		2510597
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)		
	(B) U.S. Government securities	2b(1)(B)		
	(C) Corporate debt instruments	2b(1)(C)		
	(D) Loans (other than to participants)	2b(1)(D)		
	(E) Participant loans	2b(1)(E)	22378	
	(F) Other	2b(1)(F)	15717	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		38095
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
	(B) Common stock	2b(2)(B)		
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	902698	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		902698
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)		
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		0
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
	(B) Other	2b(5)(B)		
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		0

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		2866653
c Other income	2c		16321
d Total income. Add all **income** amounts in column (b) and enter total	2d		6334364
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	1134516	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		1134516
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: **(1)** Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)		
(4) Other	2i(4)	71403	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		71403
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		1205919
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		5128445
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [ ] Unmodified **(2)** [ ] Qualified **(3)** [X] Disclaimer **(4)** [ ] Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) [X] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [ ] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: MITCHELL & TITUS **(2)** EIN: 13-2781641

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	

			Yes	No	Amount
b	Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	**4b**		X	
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	**4c**		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	**4d**		X	
e	Was this plan covered by a fidelity bond?	**4e**	X		5000000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	**4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	**4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	**4k**		X	
l	Has the plan failed to provide any benefit when due under the plan?	**4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No

If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2020

This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 01/01/2020 and ending 12/31/2020

A Name of plan
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
LOOP CAPITAL MARKETS, LLC

D Employer Identification Number (EIN)
36-4164012

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions ..... | **1** |

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 71-0294708

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year ..... | **3** |

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) ..... | **6a** |

b Enter the amount contributed by the employer to the plan for this plan year ..... | **6b** |

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) ..... | **6c** |

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 a Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment)	**14a**	
b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14b**	
c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

19 If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

20 **PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation_____

LOOP CAPITAL MARKETS, LLC 401(k) PLAN

Financial Statements and Supplemental Schedule
As of December 31, 2020 and 2019 and
For the Year Ended December 31, 2020
With Independent Auditor's Report

MITCHELL TITUS
ACHIEVING EXCELLENCE TOGETHER

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Financial Statements and Supplemental Schedule
As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

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* All other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 have been omitted because they are not applicable.

MITCHELL TITUS

INDEPENDENT AUDITOR'S REPORT

To the Investment Committee
Loop Capital Markets, LLC 401(k) Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Loop Capital Markets, LLC 401(k) Plan (the Plan), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by VOYA Retirement Insurance and Annuity Company, the trustee of the Plan, except for comparing such information with the related information included in the financial statements. We have been informed by the Plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from the trustee as of December 31, 2020 and 2019 and for the year ended December 31, 2020, that the information provided to the Plan administrator by the trustee is complete and accurate.

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MITCHELL TITUS

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter

The supplemental schedule of assets (held at end of year) as of December 31, 2020 is required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and is presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedule.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

Mitchell & Titus, LLP

October 15, 2021

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Statements of Net Assets Available for Benefits
As of December 31, 2020 and 2019

	2020	2019
ASSETS		
Participant-directed investments, at fair value	$28,313,812	$23,962,572
Participant-directed investments, at contract value	1,884,137	1,045,010
	30,197,949	25,007,582
Receivables		
Notes receivable from participants	322,552	384,474
Total receivables	322,552	384,474
Net assets available for benefits	$30,520,501	$25,392,056

The accompanying notes are an integral part of these financial statements.

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2020

ADDITIONS	
Investment income	
Net appreciation in fair value of investments	$ 2,882,976
Interest and dividends	918,415
Net investment income	3,801,391
Interest income on notes receivable from participants	22,378
Contributions	
Participant contributions	2,039,830
Participant rollover contributions	130,286
Employer contributions	340,479
Total contributions	2,510,595
Total additions	6,334,364
DEDUCTIONS	
Benefits paid to participants	1,134,516
Administrative expenses	71,403
Total deductions	1,205,919
Net increase	5,128,445
Net assets available for benefits, beginning of year	25,392,056
Net assets available for benefits, end of year	$30,520,501

The accompanying notes are an integral part of these financial statements.

NOTE 1 DESCRIPTION OF PLAN

The following description of the Loop Capital Markets, LLC 401(k) Plan (the Plan) provides general information about the Plan's provisions. Loop Capital Markets, LLC (the Company) is the Plan sponsor. Participants should refer to the Plan document and summary Plan description for a more complete description of the Plan's provisions.

General

The Plan is a defined contribution plan covering full-time employees of the Company who have at least one year of service and are age 21 or older. The Loop Capital Markets, LLC 401(k) Plan Investment Committee (the Investment Committee) is responsible for the general administration of the Plan. VOYA Retirement Insurance and Annuity Company is the trustee and record keeper of the Plan, as described in Note 3. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA), as amended.

Contributions

Each year, participants may contribute up to 100% of their pretax annual compensation. Participants may also contribute amounts representing distributions from other qualified plans. Participants who have attained age 50 before the end of the year are eligible to make catch-up contributions. Matching contributions may be contributed at the discretion of the Company. All contributions are subject to certain limitations of the Internal Revenue Code (the Code).

The Plan offers participants various investment options to direct their elective contributions and they can change their investment options on a daily basis. The Company's contributions are invested in the same manner as that of the participant's elective contributions.

Participant Accounts

Each participant's account is credited with his or her contributions; the Company's matching contributions, if any, and an allocation of the investment's earnings, if any. Each participant's account is charged with an allocation of administrative expenses and investment losses, if any. Plan earnings are allocated based on the participant's share of net earnings or losses of their respective elected investment options. Allocations of administrative expenses are based on the participant's account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

NOTE 1 DESCRIPTION OF PLAN *(continued)*

Vesting

Participants are immediately vested in their contributions plus actual earnings thereon. Vesting in the Company's matching contributions is based on years of continuous service. A participant is 100% vested after six years of credited service.

Forfeitures

Upon termination of employment, participants forfeit their non-vested balances. If a participant is rehired within a five-year period, the forfeited contributions are reinstated. Forfeited balances of terminated participants' non-vested accounts are used to reduce future Company contributions. The unallocated forfeited balances as of December 31, 2020 and 2019 were $1,028 and $132, respectively.

Participant Loans

Participants may borrow from their accounts in increments of $1,000, up to a maximum equal to the lesser of $50,000 reduced by the excess, if any, of their highest outstanding balance of loans from the Plan during the one-year preceding period, or 50% of their vested balance. Loan terms range from one to five years; the Plan administrator may permit a longer repayment term for the purchase of a primary residence. A participant may not have more than two loans outstanding at once. The loans are secured by the balance in the participant's account and bear interest at a rate commensurate with local prevailing rates at the date of issuance as determined quarterly by the Plan administrator. Principal and interest are paid ratably through monthly payroll deductions. If a participant terminates employment with the Company, the loan is due and payable in its entirety. If the loan is not repaid, it will be automatically treated as a distribution to the participant.

Payment of Benefits

Upon separation from service with the Company because of disability, retirement or termination, a participant whose vested account balance exceeds $5,000 may receive a lump-sum payment. Upon separation from service because of death, benefit payments are made to the participant's selected beneficiary. A participant whose vested account balance is $5,000 or less and has not commenced receiving installment payments will automatically receive a lump-sum distribution equal to their vested account balance.

In-service withdrawals are available in certain limited circumstances, as defined by the Plan. Hardship withdrawals are allowed for participants incurring an immediate and heavy financial need, as defined by the Plan. Hardship withdrawals are strictly regulated by the Internal Revenue Service (IRS) and a participant must exhaust all other available loan and distribution options prior to requesting a hardship withdrawal.

NOTE 1 DESCRIPTION OF PLAN *(continued)*

Administrative Expenses

The Plan's administrative expenses are paid by either the Plan or the Company, as provided by the Plan's provisions. Administrative expenses paid by the Plan include recordkeeping and trustee fees. Expenses relating to purchases, sales or transfers of the Plan's investments are charged to the particular investment fund related to the expense. All other administrative expenses of the Plan are paid by the Company.

Plan Termination

Although it has not expressed any such intent, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event the Plan terminates, participants will become 100% vested in their accounts for any employer contributions.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

The Plan's financial statements have been prepared on the accrual basis of accounting.

Payment of Benefits

Benefits are recorded when paid.

Notes Receivable from Participants

Notes receivable from participants represent participant loans that are recorded at their unpaid principal balance plus any accrued but unpaid interest. Interest income on notes receivable from participants is recorded when it is earned. Related fees are recorded as administrative expenses when they are incurred. No allowance for credit losses has been recorded as of December 31, 2020 or 2019. If a participant ceases to make loan repayments and the Plan administrator deems the participant loan to be a distribution, then the participant loan balance is reduced and a benefit payment is recorded.

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP) requires management to make estimates that affect the amounts reported in the financial statements and accompanying notes and supplemental schedule. Actual results could differ from those estimates.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES *(continued)*

Investment Valuation and Income Recognition

Investments held by the Plan are stated at fair value (except for the non-benefit-responsive investment contract, which is reported at contract value; see Note 5).

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (*i.e.*, an exit price). See Note 4 for further discussion and disclosures related to fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded as earned and dividends are recorded on the ex-dividend date. Net depreciation includes the Plan's gains and losses on investments bought, sold, and held during the year.

The Investment Committee is responsible for determining the Plan's valuation policies and analyzing information provided by the investment custodians and issuers that is used to determine the fair value of the Plan's investments.

Accounting Pronouncement Adopted in the Current Year

In 2020, the Plan adopted Financial Accounting Standards Board (FASB) Accounting Standards Update (ASU) 2018-13, *Fair Value Measurement (Topic 820): Disclosure Framework—Changes to the Disclosure Requirements for Fair Value Measurement*. ASU 2018-13 eliminates, adds and modifies certain disclosure requirements for fair value measurements as part of the FASB's disclosure framework project. For all entities, amendments are effective for fiscal years, and interim periods within those fiscal years, beginning after December 15, 2019. The adoption of the ASU did not have a material impact on the Plan's financial statements.

NOTE 3 INVESTMENTS

The Plan administrator has elected the method of compliance permitted by 29 CFR 2520.103-8 of ERISA. The following investment information was obtained or derived from information provided to the Plan administrator and certified as complete and accurate by VOYA Retirement Insurance and Annuity Company, the trustee of the Plan. The investments held by Northwestern Mutual Investment Services, LLC were not certified.

	December 31, 2020	December 31, 2019
Assets certified by trustee		
Investments at fair value	$ 30,103,521	$ 24,928,951
Notes receivable from participants	322,552	384,474

	Year Ended December 31, 2020
Investment income certified by trustee	
Net appreciation in fair value of investments	$ 2,866,653
Interest and dividends	916,746
Net investment income certified by trustee	$ 3,783,399

	December 31, 2020	December 31, 2019
Investments not certified by trustee		
Investments held by Northwestern Mutual	$ 94,428	$ 78,631

	Year Ended December 31, 2020
Investment income not certified by trustee	
Net appreciation in fair value of investments	$ 16,323
Interest and dividends	1,669
	$ 17,992

NOTE 4 FAIR VALUE MEASUREMENTS

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (*i.e.,* an exit price). The fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets and liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). The three levels of the fair value hierarchy are described below:

Level 1: Unadjusted quoted prices in active markets that are accessible to the reporting entity at the measurement date for identical assets and liabilities.

Level 2: Inputs other than quoted prices in active markets for identical assets and liabilities that are observable either directly or indirectly for substantially the full term of the asset or liability. Level 2 inputs include the following:

- Quoted prices for similar assets and liabilities in active markets
- Quoted prices for identical or similar assets or liabilities in markets that are not active
- Observable inputs other than quoted prices that are used in the valuation of the asset or liabilities (*e.g.*, interest rate and yield curve quotes at commonly quoted intervals)
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means

Level 3: Unobservable inputs for the asset or liability (*i.e.*, supported by little or no market activity). Level 3 inputs include management's own assumption about the assumptions that market participants would use in pricing the asset or liability (including assumptions about risk).

The level in the fair value hierarchy within which the fair value measurement is classified is determined based on the lowest level input that is significant to the fair value measure in its entirety.

The following is a description of the valuation techniques and inputs used for each major class of assets measured at fair value by the Plan.

Common stock: Valued at the closing price per share as reported on the New York Stock Exchange.

Pooled separate accounts: Valued at the accumulation unit value (AUV), which uses the underlying net asset value of the mutual funds that the separate accounts invest in as a basis for calculation. The AUV for each investment option is determined once each business day.

NOTE 4 FAIR VALUE MEASUREMENTS (*continued*)

Money market funds: Valued at the reported closing market price.

The following tables set forth by level, within the fair value hierarchy, the Plan's assets carried at fair value at December 31, 2020 and 2019:

	Assets at Fair Value as of December 31, 2020		
	Level 1	**Level 2**	**Total**
Investments			
Common stock	$ 82,498	$ -	$ 82,498
Money market funds	11,930	-	11,930
Pooled separate accounts	-	28,219,384	28,219,384
Total investments at fair value	$ 94,428	$ 28,219,384	$ 28,313,812

	Assets at Fair Value as of December 31, 2019		
	Level 1	**Level 2**	**Total**
Investments			
Common stock	$ 67,658	$ -	$ 67,658
Money market funds	10,973	-	10,973
Pooled separate accounts	-	23,883,941	23,883,941
Total investments at fair value	$ 78,631	$ 23,883,941	$ 23,962,572

As of December 31, 2020 and 2019, the Plan has no investments classified as Level 3 assets.

NOTE 5 INVESTMENT CONTRACT WITH INSURANCE COMPANY

The Plan invests in a non-benefit-responsive guaranteed interest contract (GIC) with VOYA Retirement Insurance and Annuity Company, which maintains the contributions in a general account. The contract value of this asset was $1,884,137 and $1,045,010 at December 31, 2020 and 2019, respectively.

The account is credited with a guaranteed and fixed rate of return. The guaranteed interest contract is contractually obligated to repay the principal and specified interest rate that is guaranteed to the Plan by VOYA Retirement Insurance and Annuity Company. As the GIC is non-benefit responsive, fair value is the relevant measurement attribute for that portion of the net assets available for benefits attributable to the GIC. The GIC promises contract value for a benefit event, such as termination, death, disability or retirement. However, there is a market value adjustment, which is also called a surrender charge, when funds are withdrawn prior to their maturity or for a non-benefit event, such as an account withdrawal to change an investment option.

The GIC does not permit VOYA Retirement Insurance and Annuity Company to terminate the agreement prior to the scheduled maturity date. For the year ended December 31, 2020, the interest rate in the guaranteed interest account was 1%.

NOTE 6 RISKS AND UNCERTAINTIES

The Plan invests in investment securities that are exposed to various risks, such as interest rate, market volatility and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term. The changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

NOTE 7 PARTY-IN-INTEREST TRANSACTIONS

The Plan holds units of a guaranteed interest account with VOYA Retirement Insurance and Annuity Company, the trustee of the Plan, as well as invests in certain pooled separate accounts managed by VOYA Retirement Insurance and Annuity Company. These transactions qualify as party-in-interest transactions; however, they are exempt from the prohibited transactions rules under ERISA.

NOTE 8 INCOME TAX STATUS

The underlying, non-standardized prototype plan has received an opinion letter from the IRS dated March 31, 2018, stating that the form of the Plan is qualified under Section 401(a) of the Code and, therefore, the related trust is tax exempt. In accordance with Revenue Procedures 2014-6 and 2011-49, the Plan administrator has determined that it is eligible, and it has chosen, to rely on the current IRS prototype plan opinion letter. Once qualified, the Plan is required to operate in conformity with the Code to maintain its qualified status. The Plan administrator has indicated that it will take the necessary steps, if any, to ensure the Plan operations comply with the Code.

U.S. GAAP requires Plan management to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more-likely-than-not, based on the technical merits, to be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2020, there were no uncertain tax positions taken or are expected to be taken. The Plan has recognized no interest or penalties related to uncertain tax positions. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan is no longer subject to income tax examinations for years prior to 2017.

NOTE 9 RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500

There were no reconciling items involving the amounts shown per the financial statements and Form 5500 for the years ended December 31, 2020 and 2019.

NOTE 10 SUBSEQUENT EVENTS

Management evaluated subsequent events for the Plan through October 15, 2021, the date the financial statements were available for issuance. During that period, no additional events have taken place that are required to be recorded or disclosed in the financial statements.

SUPPLEMENTAL SCHEDULE

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year)
December 31, 2020

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, and Par or Maturity Date	(e) Fair Value
*	Voya Life Insurance & Co.	American Funds Am Balanced R6	$ 1,205,812
*	Voya Life Insurance & Co.	American Funds EuroPacific R6	1,715,751
*	Voya Life Insurance & Co.	American Funds Growth Fnd R6	3,069,885
*	Voya Life Insurance & Co.	American Funds New World R6	1,004,648
*	Voya Life Insurance & Co.	Ariel Fund Ins	1,652,348
*	Voya Life Insurance & Co.	BlkRck Liquid Fed Trst Fd Adm	780,389
*	Voya Life Insurance & Co.	Carillon Eagle Mid Cap Grw R6	1,299,052
*	Voya Life Insurance & Co.	Columbia Total Ret Bnd Fd I3	1,820,720
*	Voya Life Insurance & Co.	DFA Infl-Prot Sec Port Ins	661,125
*	Voya Life Insurance & Co.	DFA Real Estate Secs Port Ins	386,590
*	Voya Life Insurance & Co.	DFA US Large Cap Vl Port Ins	1,323,222
*	Voya Life Insurance & Co.	Fidelity Capital & Income Port	277,356
*	Voya Life Insurance & Co.	Janus Hndr Small Cap Val Fd N	434,895
*	Voya Life Insurance & Co.	JPMorgan SmCp Growth Fnd R6	422,246
*	Voya Life Insurance & Co.	PGIM Global Total Return Fd R6	260,987
*	Voya Life Insurance & Co.	Vangrd Instit Index Fnd Ins	6,461,516
*	Voya Life Insurance & Co.	Vangrd Int-Trm Bd Indx Fd Adm	898,413
*	Voya Life Insurance & Co.	Vangrd Mid-Cap Index Fund Adm	408,039
*	Voya Life Insurance & Co.	Vangrd Small-Cap Index Fnd Adm	211,303
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2015 Fd Inv	11,208
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2020 Fd Inv	94,318
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2025 Fd Inv	860,674
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2030 Fd Inv	715,131
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2035 Fd Inv	843,286
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2040 Fd Inv	218,147
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2045 Fd Inv	232,396
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2050 Fd Inv	611,582
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2055 Fd Inv	219,719
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2060 Fd Inv	86,503
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2065 Fd Inv	9,166
*	Voya Life Insurance & Co.	Vangrd Trgt Retire Inc Fd Inv	21,930
*	Voya Life Insurance & Co.	Voya Fixed Account (4450) Insurance Company General Account	1,884,137
*	Voya Life Insurance & Co.	Voya Gv Mny Mkt F A (Hld Acct)	1,027
	Northwestern Mutual	Morgan Stanley Common Stock	82,498
	Northwestern Mutual	Money Market Fund	11,930
*	Participant loans	Variable maturity dates, interest rates ranging from 3.25% to 7.00%	322,552
			$ 30,520,501

*Indicates a party-in-interest transaction.
Note: Cost information is not required for participant-directed investments and, therefore, has not been included.

Attachment to 2020 Form 5500
Schedule H, line 4i - Schedule of Assets
(Held at End of Year)
LOOP CAPITAL MARKETS, LLC 401(K) PLAN & TRUST
EIN 36-4164012
Plan#001
As Of December 31, 2020

(a)	(b) Identity of issue, borrower, lessor or similar party	(c) Description of investments including maturity date, rate of interest, collateral, par, or maturity date	(d)Cost	(e) Current Value
	American Funds Am Balanced R6	Registered Investment Company		$1,205,812
	American Funds EuroPacific R6	Registered Investment Company		$1,715,751
	American Funds Growth Fnd R6	Registered Investment Company		$3,069,885
	American Funds New World R6	Registered Investment Company		$1,004,648
	Ariel Fund Ins	Registered Investment Company		$1,652,348
	BlkRck Liquid Fed Trst Fd Adm	Registered Investment Company		$780,389
	Carillon Eagle Mid Cap Grw R6	Registered Investment Company		$1,299,052
	Columbia Total Ret Bnd Fd I3	Registered Investment Company		$1,820,720
	DFA Infl-Prot Sec Port Ins	Registered Investment Company		$661,125
	DFA Real Estate Secs Port Ins	Registered Investment Company		$386,590
	DFA US Large Cap VI Port Ins	Registered Investment Company		$1,323,222
	Fidelity Capital & Income Port	Registered Investment Company		$277,356
	Janus Hndr Small Cap Val Fd N	Registered Investment Company		$434,895
	JPMorgan SmCp Growth Fnd R6	Registered Investment Company		$422,246
	PGIM Global Total Return Fd R6	Registered Investment Company		$260,987
	Vangrd Instit Index Fnd Ins	Registered Investment Company		$6,461,516
	Vangrd Int-Trm Bd Indx Fd Adm	Registered Investment Company		$898,413
	Vangrd Mid-Cap Index Fund Adm	Registered Investment Company		$408,039
	Vangrd Small-Cap Index Fnd Adm	Registered Investment Company		$211,303
	Vangrd Trgt Retire 2015 Fd Inv	Registered Investment Company		$11,208
	Vangrd Trgt Retire 2020 Fd Inv	Registered Investment Company		$94,318
	Vangrd Trgt Retire 2025 Fd Inv	Registered Investment Company		$860,674
	Vangrd Trgt Retire 2030 Fd Inv	Registered Investment Company		$715,131
	Vangrd Trgt Retire 2035 Fd Inv	Registered Investment Company		$843,286
	Vangrd Trgt Retire 2040 Fd Inv	Registered Investment Company		$218,147
	Vangrd Trgt Retire 2045 Fd Inv	Registered Investment Company		$232,396
	Vangrd Trgt Retire 2050 Fd Inv	Registered Investment Company		$611,581
	Vangrd Trgt Retire 2055 Fd Inv	Registered Investment Company		$219,719
	Vangrd Trgt Retire 2060 Fd Inv	Registered Investment Company		$86,503
	Vangrd Trgt Retire 2065 Fd Inv	Registered Investment Company		$9,166
	Vangrd Trgt Retire Inc Fd Inv	Registered Investment Company		$21,930
	Northwestern Mutual	Brookerage Account		82,498
	Northwestern Mutual	Cash and cash alternatives		11,930
*	Voya Fixed Account (4450)	Insurance Company General Account		$1,884,137
*	Voya Gv Mny Mkt F A (Hld Acct)	Registered Investment Company		$1,027
		Participants Loans - Rates 3.25% to 10.25%		$322,552
	TOTAL			$30,520,501

* denotes party-in-interest
Column (d) is not required as the Plan's investments are totally participant directed.

LOOP CAPITAL MARKETS, LLC 401(k) PLAN

Financial Statements and Supplemental Schedule
As of December 31, 2020 and 2019 and
For the Year Ended December 31, 2020
With Independent Auditor's Report

MITCHELL TITUS
ACHIEVING EXCELLENCE TOGETHER

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Financial Statements and Supplemental Schedule
As of December 31, 2020 and 2019 and for the Year Ended December 31, 2020

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* All other schedules required by Section 2520.103-10 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 have been omitted because they are not applicable.

MITCHELL TITUS

INDEPENDENT AUDITOR'S REPORT

To the Investment Committee
Loop Capital Markets, LLC 401(k) Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Loop Capital Markets, LLC 401(k) Plan (the Plan), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on conducting the audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's (DOL) Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974 (ERISA), the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by VOYA Retirement Insurance and Annuity Company, the trustee of the Plan, except for comparing such information with the related information included in the financial statements. We have been informed by the Plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from the trustee as of December 31, 2020 and 2019 and for the year ended December 31, 2020, that the information provided to the Plan administrator by the trustee is complete and accurate.

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MITCHELL TITUS

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter

The supplemental schedule of assets (held at end of year) as of December 31, 2020 is required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and is presented for the purpose of additional analysis and is not a required part of the financial statements. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedule.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA.

Mitchell & Titus, LLP

October 15, 2021

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Statements of Net Assets Available for Benefits
As of December 31, 2020 and 2019

	2020	2019
ASSETS		
Participant-directed investments, at fair value	$28,313,812	$23,962,572
Participant-directed investments, at contract value	1,884,137	1,045,010
	30,197,949	25,007,582
Receivables		
Notes receivable from participants	322,552	384,474
Total receivables	322,552	384,474
Net assets available for benefits	$30,520,501	$25,392,056

The accompanying notes are an integral part of these financial statements.

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2020

ADDITIONS	
Investment income	
Net appreciation in fair value of investments	$ 2,882,976
Interest and dividends	918,415
Net investment income	3,801,391
Interest income on notes receivable from participants	22,378
Contributions	
Participant contributions	2,039,830
Participant rollover contributions	130,286
Employer contributions	340,479
Total contributions	2,510,595
Total additions	6,334,364
DEDUCTIONS	
Benefits paid to participants	1,134,516
Administrative expenses	71,403
Total deductions	1,205,919
Net increase	5,128,445
Net assets available for benefits, beginning of year	25,392,056
Net assets available for benefits, end of year	$30,520,501

The accompanying notes are an integral part of these financial statements.

NOTE 1 DESCRIPTION OF PLAN

The following description of the Loop Capital Markets, LLC 401(k) Plan (the Plan) provides general information about the Plan's provisions. Loop Capital Markets, LLC (the Company) is the Plan sponsor. Participants should refer to the Plan document and summary Plan description for a more complete description of the Plan's provisions.

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Contributions

Each year, participants may contribute up to 100% of their pretax annual compensation. Participants may also contribute amounts representing distributions from other qualified plans. Participants who have attained age 50 before the end of the year are eligible to make catch-up contributions. Matching contributions may be contributed at the discretion of the Company. All contributions are subject to certain limitations of the Internal Revenue Code (the Code).

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Each participant's account is credited with his or her contributions; the Company's matching contributions, if any, and an allocation of the investment's earnings, if any. Each participant's account is charged with an allocation of administrative expenses and investment losses, if any. Plan earnings are allocated based on the participant's share of net earnings or losses of their respective elected investment options. Allocations of administrative expenses are based on the participant's account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

NOTE 1 DESCRIPTION OF PLAN *(continued)*

Vesting

Participants are immediately vested in their contributions plus actual earnings thereon. Vesting in the Company's matching contributions is based on years of continuous service. A participant is 100% vested after six years of credited service.

Forfeitures

Upon termination of employment, participants forfeit their non-vested balances. If a participant is rehired within a five-year period, the forfeited contributions are reinstated. Forfeited balances of terminated participants' non-vested accounts are used to reduce future Company contributions. The unallocated forfeited balances as of December 31, 2020 and 2019 were $1,028 and $132, respectively.

Participant Loans

Participants may borrow from their accounts in increments of $1,000, up to a maximum equal to the lesser of $50,000 reduced by the excess, if any, of their highest outstanding balance of loans from the Plan during the one-year preceding period, or 50% of their vested balance. Loan terms range from one to five years; the Plan administrator may permit a longer repayment term for the purchase of a primary residence. A participant may not have more than two loans outstanding at once. The loans are secured by the balance in the participant's account and bear interest at a rate commensurate with local prevailing rates at the date of issuance as determined quarterly by the Plan administrator. Principal and interest are paid ratably through monthly payroll deductions. If a participant terminates employment with the Company, the loan is due and payable in its entirety. If the loan is not repaid, it will be automatically treated as a distribution to the participant.

Payment of Benefits

Upon separation from service with the Company because of disability, retirement or termination, a participant whose vested account balance exceeds $5,000 may receive a lump-sum payment. Upon separation from service because of death, benefit payments are made to the participant's selected beneficiary. A participant whose vested account balance is $5,000 or less and has not commenced receiving installment payments will automatically receive a lump-sum distribution equal to their vested account balance.

In-service withdrawals are available in certain limited circumstances, as defined by the Plan. Hardship withdrawals are allowed for participants incurring an immediate and heavy financial need, as defined by the Plan. Hardship withdrawals are strictly regulated by the Internal Revenue Service (IRS) and a participant must exhaust all other available loan and distribution options prior to requesting a hardship withdrawal.

NOTE 1 DESCRIPTION OF PLAN *(continued)*

Administrative Expenses

The Plan's administrative expenses are paid by either the Plan or the Company, as provided by the Plan's provisions. Administrative expenses paid by the Plan include recordkeeping and trustee fees. Expenses relating to purchases, sales or transfers of the Plan's investments are charged to the particular investment fund related to the expense. All other administrative expenses of the Plan are paid by the Company.

Plan Termination

Although it has not expressed any such intent, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event the Plan terminates, participants will become 100% vested in their accounts for any employer contributions.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

The Plan's financial statements have been prepared on the accrual basis of accounting.

Payment of Benefits

Benefits are recorded when paid.

Notes Receivable from Participants

Notes receivable from participants represent participant loans that are recorded at their unpaid principal balance plus any accrued but unpaid interest. Interest income on notes receivable from participants is recorded when it is earned. Related fees are recorded as administrative expenses when they are incurred. No allowance for credit losses has been recorded as of December 31, 2020 or 2019. If a participant ceases to make loan repayments and the Plan administrator deems the participant loan to be a distribution, then the participant loan balance is reduced and a benefit payment is recorded.

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP) requires management to make estimates that affect the amounts reported in the financial statements and accompanying notes and supplemental schedule. Actual results could differ from those estimates.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES *(continued)*

Investment Valuation and Income Recognition

Investments held by the Plan are stated at fair value (except for the non-benefit-responsive investment contract, which is reported at contract value; see Note 5).

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (*i.e.*, an exit price). See Note 4 for further discussion and disclosures related to fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded as earned and dividends are recorded on the ex-dividend date. Net depreciation includes the Plan's gains and losses on investments bought, sold, and held during the year.

The Investment Committee is responsible for determining the Plan's valuation policies and analyzing information provided by the investment custodians and issuers that is used to determine the fair value of the Plan's investments.

Accounting Pronouncement Adopted in the Current Year

In 2020, the Plan adopted Financial Accounting Standards Board (FASB) Accounting Standards Update (ASU) 2018-13, *Fair Value Measurement (Topic 820): Disclosure Framework—Changes to the Disclosure Requirements for Fair Value Measurement*. ASU 2018-13 eliminates, adds and modifies certain disclosure requirements for fair value measurements as part of the FASB's disclosure framework project. For all entities, amendments are effective for fiscal years, and interim periods within those fiscal years, beginning after December 15, 2019. The adoption of the ASU did not have a material impact on the Plan's financial statements.

NOTE 3 INVESTMENTS

The Plan administrator has elected the method of compliance permitted by 29 CFR 2520.103-8 of ERISA. The following investment information was obtained or derived from information provided to the Plan administrator and certified as complete and accurate by VOYA Retirement Insurance and Annuity Company, the trustee of the Plan. The investments held by Northwestern Mutual Investment Services, LLC were not certified.

	December 31, 2020	December 31, 2019
Assets certified by trustee		
Investments at fair value	$ 30,103,521	$ 24,928,951
Notes receivable from participants	322,552	384,474

	Year Ended December 31, 2020
Investment income certified by trustee	
Net appreciation in fair value of investments	$ 2,866,653
Interest and dividends	916,746
Net investment income certified by trustee	$ 3,783,399

	December 31, 2020	December 31, 2019
Investments not certified by trustee		
Investments held by Northwestern Mutual	$ 94,428	$ 78,631

	Year Ended December 31, 2020
Investment income not certified by trustee	
Net appreciation in fair value of investments	$ 16,323
Interest and dividends	1,669
	$ 17,992

NOTE 4 FAIR VALUE MEASUREMENTS

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (*i.e.,* an exit price). The fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets and liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). The three levels of the fair value hierarchy are described below:

Level 1: Unadjusted quoted prices in active markets that are accessible to the reporting entity at the measurement date for identical assets and liabilities.

Level 2: Inputs other than quoted prices in active markets for identical assets and liabilities that are observable either directly or indirectly for substantially the full term of the asset or liability. Level 2 inputs include the following:

- Quoted prices for similar assets and liabilities in active markets
- Quoted prices for identical or similar assets or liabilities in markets that are not active
- Observable inputs other than quoted prices that are used in the valuation of the asset or liabilities (*e.g.*, interest rate and yield curve quotes at commonly quoted intervals)
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means

Level 3: Unobservable inputs for the asset or liability (*i.e.*, supported by little or no market activity). Level 3 inputs include management's own assumption about the assumptions that market participants would use in pricing the asset or liability (including assumptions about risk).

The level in the fair value hierarchy within which the fair value measurement is classified is determined based on the lowest level input that is significant to the fair value measure in its entirety.

The following is a description of the valuation techniques and inputs used for each major class of assets measured at fair value by the Plan.

Common stock: Valued at the closing price per share as reported on the New York Stock Exchange.

Pooled separate accounts: Valued at the accumulation unit value (AUV), which uses the underlying net asset value of the mutual funds that the separate accounts invest in as a basis for calculation. The AUV for each investment option is determined once each business day.

NOTE 4 FAIR VALUE MEASUREMENTS (*continued*)

Money market funds: Valued at the reported closing market price.

The following tables set forth by level, within the fair value hierarchy, the Plan's assets carried at fair value at December 31, 2020 and 2019:

	Assets at Fair Value as of December 31, 2020		
	Level 1	**Level 2**	**Total**
Investments			
Common stock	$ 82,498	$ -	$ 82,498
Money market funds	11,930	-	11,930
Pooled separate accounts	-	28,219,384	28,219,384
Total investments at fair value	$ 94,428	$ 28,219,384	$ 28,313,812

	Assets at Fair Value as of December 31, 2019		
	Level 1	**Level 2**	**Total**
Investments			
Common stock	$ 67,658	$ -	$ 67,658
Money market funds	10,973	-	10,973
Pooled separate accounts	-	23,883,941	23,883,941
Total investments at fair value	$ 78,631	$ 23,883,941	$ 23,962,572

As of December 31, 2020 and 2019, the Plan has no investments classified as Level 3 assets.

NOTE 5 INVESTMENT CONTRACT WITH INSURANCE COMPANY

The Plan invests in a non-benefit-responsive guaranteed interest contract (GIC) with VOYA Retirement Insurance and Annuity Company, which maintains the contributions in a general account. The contract value of this asset was $1,884,137 and $1,045,010 at December 31, 2020 and 2019, respectively.

The account is credited with a guaranteed and fixed rate of return. The guaranteed interest contract is contractually obligated to repay the principal and specified interest rate that is guaranteed to the Plan by VOYA Retirement Insurance and Annuity Company. As the GIC is non-benefit responsive, fair value is the relevant measurement attribute for that portion of the net assets available for benefits attributable to the GIC. The GIC promises contract value for a benefit event, such as termination, death, disability or retirement. However, there is a market value adjustment, which is also called a surrender charge, when funds are withdrawn prior to their maturity or for a non-benefit event, such as an account withdrawal to change an investment option.

The GIC does not permit VOYA Retirement Insurance and Annuity Company to terminate the agreement prior to the scheduled maturity date. For the year ended December 31, 2020, the interest rate in the guaranteed interest account was 1%.

NOTE 6 RISKS AND UNCERTAINTIES

The Plan invests in investment securities that are exposed to various risks, such as interest rate, market volatility and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term. The changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for benefits.

NOTE 7 PARTY-IN-INTEREST TRANSACTIONS

The Plan holds units of a guaranteed interest account with VOYA Retirement Insurance and Annuity Company, the trustee of the Plan, as well as invests in certain pooled separate accounts managed by VOYA Retirement Insurance and Annuity Company. These transactions qualify as party-in-interest transactions; however, they are exempt from the prohibited transactions rules under ERISA.

NOTE 8 INCOME TAX STATUS

The underlying, non-standardized prototype plan has received an opinion letter from the IRS dated March 31, 2018, stating that the form of the Plan is qualified under Section 401(a) of the Code and, therefore, the related trust is tax exempt. In accordance with Revenue Procedures 2014-6 and 2011-49, the Plan administrator has determined that it is eligible, and it has chosen, to rely on the current IRS prototype plan opinion letter. Once qualified, the Plan is required to operate in conformity with the Code to maintain its qualified status. The Plan administrator has indicated that it will take the necessary steps, if any, to ensure the Plan operations comply with the Code.

U.S. GAAP requires Plan management to evaluate uncertain tax positions taken by the Plan. The financial statement effects of a tax position are recognized when the position is more-likely-than-not, based on the technical merits, to be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2020, there were no uncertain tax positions taken or are expected to be taken. The Plan has recognized no interest or penalties related to uncertain tax positions. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan is no longer subject to income tax examinations for years prior to 2017.

NOTE 9 RECONCILIATION OF FINANCIAL STATEMENTS TO FORM 5500

There were no reconciling items involving the amounts shown per the financial statements and Form 5500 for the years ended December 31, 2020 and 2019.

NOTE 10 SUBSEQUENT EVENTS

Management evaluated subsequent events for the Plan through October 15, 2021, the date the financial statements were available for issuance. During that period, no additional events have taken place that are required to be recorded or disclosed in the financial statements.

SUPPLEMENTAL SCHEDULE

LOOP CAPITAL MARKETS, LLC 401(k) PLAN
Schedule H, Line 4(i)—Schedule of Assets (Held at End of Year)
December 31, 2020

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Description of Investment, Including Maturity Date, Rate of Interest, Collateral, and Par or Maturity Date	(e) Fair Value
*	Voya Life Insurance & Co.	American Funds Am Balanced R6	$ 1,205,812
*	Voya Life Insurance & Co.	American Funds EuroPacific R6	1,715,751
*	Voya Life Insurance & Co.	American Funds Growth Fnd R6	3,069,885
*	Voya Life Insurance & Co.	American Funds New World R6	1,004,648
*	Voya Life Insurance & Co.	Ariel Fund Ins	1,652,348
*	Voya Life Insurance & Co.	BlkRck Liquid Fed Trst Fd Adm	780,389
*	Voya Life Insurance & Co.	Carillon Eagle Mid Cap Grw R6	1,299,052
*	Voya Life Insurance & Co.	Columbia Total Ret Bnd Fd I3	1,820,720
*	Voya Life Insurance & Co.	DFA Infl-Prot Sec Port Ins	661,125
*	Voya Life Insurance & Co.	DFA Real Estate Secs Port Ins	386,590
*	Voya Life Insurance & Co.	DFA US Large Cap Vl Port Ins	1,323,222
*	Voya Life Insurance & Co.	Fidelity Capital & Income Port	277,356
*	Voya Life Insurance & Co.	Janus Hndr Small Cap Val Fd N	434,895
*	Voya Life Insurance & Co.	JPMorgan SmCp Growth Fnd R6	422,246
*	Voya Life Insurance & Co.	PGIM Global Total Return Fd R6	260,987
*	Voya Life Insurance & Co.	Vangrd Instit Index Fnd Ins	6,461,516
*	Voya Life Insurance & Co.	Vangrd Int-Trm Bd Indx Fd Adm	898,413
*	Voya Life Insurance & Co.	Vangrd Mid-Cap Index Fund Adm	408,039
*	Voya Life Insurance & Co.	Vangrd Small-Cap Index Fnd Adm	211,303
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2015 Fd Inv	11,208
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2020 Fd Inv	94,318
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2025 Fd Inv	860,674
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2030 Fd Inv	715,131
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2035 Fd Inv	843,286
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2040 Fd Inv	218,147
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2045 Fd Inv	232,396
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2050 Fd Inv	611,582
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2055 Fd Inv	219,719
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2060 Fd Inv	86,503
*	Voya Life Insurance & Co.	Vangrd Trgt Retire 2065 Fd Inv	9,166
*	Voya Life Insurance & Co.	Vangrd Trgt Retire Inc Fd Inv	21,930
*	Voya Life Insurance & Co.	Voya Fixed Account (4450) Insurance Company General Account	1,884,137
*	Voya Life Insurance & Co.	Voya Gv Mny Mkt F A (Hld Acct)	1,027
	Northwestern Mutual	Morgan Stanley Common Stock	82,498
	Northwestern Mutual	Money Market Fund	11,930
*	Participant loans	Variable maturity dates, interest rates ranging from 3.25% to 7.00%	322,552
			$ 30,520,501

*Indicates a party-in-interest transaction.
Note: Cost information is not required for participant-directed investments and, therefore, has not been included.