

# Broker - Held NMS Stocks and Options Order Routing Public Report - Q1 2020

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## January 2020

S&P 500 Stocks

Summary

Orders as %	Market Orders as % of Non-	Limit Orders as % of	NonDirected	Other Orders as % of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
0	0	n	n	0

### Vanues

	venues													
ſ														
- 1												Net Payment		
١										Net Payment	Net Payment	Paid/ Received		
١								Net Payment	Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment
- 1							Net Payment	Paid/ Received	Paid/ Received	for Marketable	for Non -	Marketable	Net Payment	Paid/ Received
١	Venue - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
١	directed	Non - Directed	Market Orders	Marketable	Marketable	Other Orders	for Market	Orders(cents per	Limit	Orders(cents per	Limit	Orders(cents per	for Other	Orders(cents per
ı	Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)
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## January 2020

Non-S&P 500 Stocks

## Summary

		Marketable	Non-Marketable	
Non-		Limit Orders as	Limit Orders as	
Directed	Market Orders	% of	% of	Other Orders as
Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
n	n	n	n	0

### Venues

-	venues													
										Net Payment		Net Payment Paid/ Received		
ı								Net Payment	Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment
۱							Net Payment	Paid/ Received	Paid/ Received	for Marketable	for Non -	Marketable	Net Payment	Paid/ Received
ŀ	Venue - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
ŀ	directed	Non - Directed	Market Orders	Marketable	Marketable	Other Orders	for Market	Orders(cents per	Limit	Orders(cents per	Limit	Orders(cents per	for Other	Orders(cents per
ŀ	Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)
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# February 2020

S&P 500 Stocks

# Summary

Orders as %	as % of Non-	Limit Orders as % of NonDirected	NonDirected	Other Orders as % of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
0	0	0	0	0

	venues													
										Net Payment		Net Payment Paid/ Received		
١								Net Payment	Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment
۱							Net Payment	Paid/ Received	Paid/ Received	for Marketable	for Non -	Marketable	Net Payment	Paid/ Received
ľ	Venue - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
ı	directed	Non - Directed	Market Orders	Marketable	Marketable	Other Orders	for Market	Orders(cents per	Limit	Orders(cents per	Limit	Orders(cents per	for Other	Orders(cents per
ı	Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)

# February 2020

Non-S&P 500 Stocks

# Summary

		Marketable	Non-Marketable	
Non-		Limit Orders as	Limit Orders as	
Directed	Market Orders	% of	% of	Other Orders as
Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
n	n	n	n	0

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venues										
						Net Payment		Net Payment Paid/ Received		
					Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment Paid/ Received
Venue - Non-		Non -	Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
	 	 Marketable Limit Orders (%)		Orders(cents per hundred shares)	7	Orders(cents per hundred shares)		Orders(cents per hundred shares)		Orders(cents per hundred shares)

# March 2020

S&P 500 Stocks

Summary

		Marketable	Non-Marketable	
Non-		Limit Orders as	Limit Orders as	
Directed	Market Orders	% of	% of	Other Orders as
Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
0	n	n	0	0

### Venues

	venues													
										Net Payment		Net Payment Paid/ Received		
۱									Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment
	/enue - Non-				Non -				,					Paid/ Received for Other
ı	lirected	Non - Directed						Orders(cents per		Orders(cents per		Orders(cents per		Orders(cents per
ı	Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)
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# March 2020

Non-S&P 500 Stocks

Summary

		Marketable	Non-Marketable	
Non-		Limit Orders as	Limit Orders as	
Directed	Market Orders	% of	% of	Other Orders as
Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
n	n	n	n	0

### Venues

										Net Payment	Net Payment	Net Payment Paid/ Received		
								Net Payment	Net Payment	Paid/ Received	Paid/ Received	for Non -		Net Payment
							Net Payment	Paid/ Received	Paid/ Received	for Marketable	for Non -	Marketable	Net Payment	Paid/ Received
Venu	ie - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
direc	ted	Non - Directed	Market Orders	Marketable	Marketable	Other Orders	for Market	Orders(cents per	Limit	Orders(cents per	Limit	Orders(cents per	for Other	Orders(cents per
Orde	r Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)