

Broker - Held NMS Stocks and Options Order Routing Public Report - Q3 2020

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July 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	0	0	0	0

Venues

									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
Venue - Non	-			Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
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
Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)

July 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
0	0	0	0	0

Venues

										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
Venue -	Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
directed	1 I	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
Order Fl	low	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)

August 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	0	0	0	0

Venues

								Net Payment	Paid/ Received	Net Payment Paid/ Received	Net Payment Paid/ Received for Non - Marketable		Net Payment Paid/ Received
Venue - Non-				Non -									for Other
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
Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)
1													

0

August 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
0	0	0	0	0

Venues													
								Net Payment	Paid/ Received	Net Payment Paid/ Received	Net Payment Paid/ Received for Non - Marketable	Net Payment	Net Payment Paid/ Received
Venue - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
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
Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)

September 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	0	0	0	0

Venues

										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
Venue	- Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
directe	d	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
Order	Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)

September 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
0	0	0	0	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
Venue - Non-				Non -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
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
Order Flow	Orders (%)	(%)	Limit Orders (%)	Limit Orders (%)	(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)