

# Broker - Held NMS Stocks and Options Order Routing Public Report - Q4 2020

Gordon, Haskett Capital Corp.



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# October 2020

S&P 500 Stocks

Summary				
			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)

#### October 2020

Non-S&P 500 Stocks

# Summary

		Marketable	Non-Marketable	
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Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
of All Orders	Directed Orders	Orders	Orders	Directed Orders
0	0	0	0	0

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								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	ed	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)

# November 2020

S&P 500 Stocks

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Orders as %	as % of Non-	NonDirected	NonDirected	% of Non-
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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 -		Paid/Received	for Market	for Marketable	Limit	Marketable	Limit	Paid/Received	for Other
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0

### November 2020

Non-S&P 500 Stocks

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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
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### December 2020

S&P 500 Stocks

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of All Orders	Directed Orders	Orders	Orders	Directed Orders
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