SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Mon Apr 05 2021 10:41:37 GMT-4 EDT

1st Quarter, 2021

January 2021

S&P 500 Stocks Summary

							Non-Marketable			
	Non-Directed		Market Orders as %		Marketable Limi	it	Limit Orders as 9	% of	Other Orders as	s %
Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of N	ion-	Non-Directed		of Non-Directed	d
Orders	Orders	Total Market Orders	orders .	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
291	100.0	0 291	100.00		0	0.00	0	0.00	0	0.00

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Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	Market Orders	Market Order:	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%	Net Payment Paid/Received for Market G) Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)		Net Payment Paid/Received for s) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cen per hundred share	ts
Citadel Securities LLC(CDRG)	150	51.55	150	51.55	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	80	27.49	80	27.49	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST) G1 Execution	33	11.34	33	11.34	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services, LLC(ETMM) Two Sigma	12	4.12	12	4.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Securities, LLC(SOHO) UBS Securities.	12	4.12	12	4.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	4	1.37	4	1.37	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

January 2021

Non-S&P 500 Stocks Summary

							Non-Marketable			
	Non-Directe	d	Market Orders	as %	Marketable Limit		Limit Orders as 9	6 of	Other Orders as 9	%
Total Non-Direct	ted Orders as %	of All	of Non-Directed	d Total Marketable	Orders as % of N	on-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Or	ders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	072	100.00	073 1/	20.00			0 /	000	0 (200

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Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	Market Orders	Market Orden	Marketable Limit	t Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%	Net Payment Paid/Received for Market G) Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Limit Orders(cents	Net Payment Paid/Received for s) Other Orders(USD)		nts
Citadel Securities LLC(CDRG)	536	54.86	536	55.14	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																		
LLC(NITE)	291	29.79	291	29.94	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST) G1 Execution	79	8.09	79	8.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services, LLC(ETMM) Two Sigma	39	3.99	39	4.01	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Securities, LLC(SOHO) UBS Securities,	19	1.94	19	1.95	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	8	0.82	8	0.82	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	5	0.51	0	0.00	0	0.00	0	0.00	5 1	00.00	0	0	0	0	0	0	0	0

January 2021

Option Contracts Summary

							IN.	on-iviarketable			
	Non-Directed		Market Orders as 5	%	Marketable Lir	nit	Li	imit Orders as % of		Other Orders as %	
Total Non-Directed	Orders as % of Al	1	of Non-Directed	Total Marketable	Orders as % of	Non-	N	on-Directed		of Non-Directed	
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Order	s Total Non-Marketable Limit Ord	ers O	rders	Total Other Orders	Orders	
(0 0	.00	0.0	00	0	0.00	0	0.00	0	0.0	00

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												Net Payment		Net Payment		Net Payment		
											Net Payment	Paid/Received for	Net Payment	Paid/Received for	Net Payment	Paid/Received for		Net Payment
											Paid/Received for	Market	Paid/Received for	Marketable Limit	Paid/Received for	Non-Marketable	Net Payment	Paid/Received for
Venue - Non-	Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Market	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	Paid/Received for	Other Orders(cents
directed Order Flov	Orders	Orders(%)	Market Orders	Market Orders(%)	Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares	Other Orders(USD)	per hundred shares)

February 2021

S&P 500 Stocks Summary

	58 34 11	Market Orders 51.41 23.29 13.65 4.42 4.42	Market Orders(%) 128 51.4 58 23.3 11 4.4 11 4.7 2.4	11 C C C C C C C C C C C C C C C C C C	0	Non-Marketable Limit Orders 0.00 0.00 0.00	Non-Marketable	00	0 (0.00	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for Non-Marketable Limit Orders(USD)	Limit Orders(cents) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares
1	28 58 34 11	51.41 23.29 13.65 4.42 4.42	128 51.4 58 23.2 34 13.6 11 4.4	11 C C C C C C C C C C C C C C C C C C	0 0	0.00 0.00 0.00	0 0.0 0 0.0 0 0.0	00	0 0	0.00	0)	0	0	0 (0	0
	58 34 11	23.29 13.65 4.42 4.42	58 23.2 34 13.8 11 4.4 11 4.4	29 0	0	0.00	0 0.0	00	0 (
	34 11 11	13.65 4.42 4.42	34 13.6 11 4.6 11 4.6	12 C	0	0.00	0 0.0			0.00	0)	0	0	0 (0)
	11	4.42	11 4.4	12 0	0	0.00		00	0								
	11	4.42	11 4.4	12 0			0 0.0		0 (0.00	0		0	0	0 (0	0
	11	4.42	11 4.4	12 0			0 0.0	00	0 (0.00	0)	0	0	0 (0	0
					U	0.00											
	7	2.81	7 2.8	31 0			0 0.0	00	0 (0.00	0)	D	0	0 (0	0
					0	0.00	0 0.0	00	0 0	0.00	0)	0	0	0 (0	0
on-Directed rders as % of All rders	Total Market O	of Non-Directed	Total Marketable					Other Orders as % of Non-Directed s Orders									
	00	675 10	00.00	0 0.00	0	0 0	.00	0.0	00								
										Net Payment					Net Payment Paid/Received for		Net Payment
on-Directed ders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Market	Market Orders(cents per hundred shares)	Marketable Limit	Marketable Limit Orders(cents per hundred shares)		Limit Orders(cents	Paid/Received for	
3	76	55.21	376 55.7	70 0	0	0.00	0 0.0	00	0 0	0.00	0		0	0	0 (0	0
1	44	21.15	144 21.3	33 0	0	0.00	0 0.0	00	0 0	0.00	0		0	0	0 (0	0
	75	11.01	75 11.1	11 0	0	0.00	0 0.0	00	0 0	0.00	0		0	0	0 (0	0
	33	4.85	33 4.8	39 C	0	0.00	0.0	00	0 0	0.00	0		0	0	0 (0	0
					_								_			_	
	29	4.26	29 4.3	80 C	0	0.00	0 0.0	00	0 (0.00	0)	0	0	0 (0	0
	18	2.64	18 2.6	57 0	0	0.00	0 0.0	00	0 0	0.00	0		0	0	0 (0	0
	6	0.88	0 0.0	00 0	0	0.00	0 0.0	00	6 100	00.00	0		0	0	0 (0	0
						Non-Marketable											
on-Directed rders as % of All rders		of Non-Directed orders Orders	Total Marketable Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Orders		00								
											Not Payment		Net Payment		Not Payment		
on-Directed	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market) Orders(USD)		Paid/Received for Marketable Limit	Paid/Received for Marketable Limit	Non-Marketable	Paid/Received for Non-Marketable Limit Orders(cents	Paid/Received for	
on-Directed				Marketable Limit			of										
ders		rders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders		s Orders									
	n-Directed ders as % of All ders 100. n-Directed ders 100. n-Directed ders as % of All ders 0. n-Directed ders as % of All ders n-Directed ders as % of All ders n-Directed ders as % of All ders	Market Co	April Apri	Market Orders Market Orders Market Orders			Page 18 10 10 10 10 10 10 10	Market Orders as % of Market Orders as % of Market Dries as % of Marke	Market Drivers Mark	Market Drieber Market Orders as X of Content of the reas x of All Total Market Orders or X orders Total Orders or X orders or X orders Total Orders or X orders or X orders Total Orders or X orders Total Orders or X orders or X orders Total Orders or X orders Total Orders or X orders or X orders Total Orders or X orders	Market Orders Market Order	Market Color Color Market Color Color Market Color Color Market Color Colo	Market Orders Market Order	Marie Mari	Contract Contract	March Colora Marc	Part Part

 Venue - Nondirected Order Flow Orders
 Non-Directed Orders(%)
 Non-Directed Market Orders
 Market Orders(%)
 Market Orders(%)
 Market Orders(%)
 Orders
 Marketable Limit Orders(%)
 Net Payment
Paid/Received for Market
Market
Orders(Isch) Fander
Market
Orders(Isch) Fander
Orders(USD) Fande

88	60.27	88	60.27	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
24	16.44	24	16.44	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
24	16.44	24	16.44	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
5	3.42	5	3.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
4	2.74	4	2.74	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
1	0.68	1	0.68	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
	24	24 16.44 24 16.44	24 16.44 24 24 16.44 24 5 3.42 5 4 2.74 4	24 16.44 24 16.44 24 16.44 24 16.44 5 3.42 5 3.42 4 2.74 4 2.74	24 16.44 24 16.44 0 24 16.44 24 16.44 0 5 3.42 5 3.42 0 4 2.74 4 2.74 0	24 16.44 24 16.44 0 0.00 24 16.44 24 16.44 0 0.00 5 3.42 5 3.42 0 0.00 4 2.74 4 2.74 0 0.00	24 16.44 24 16.44 0 0.00 0 24 16.44 24 16.44 0 0.00 0 5 3.42 5 3.42 0 0.00 0 4 2.74 4 2.74 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 24 16.44 24 16.44 0 0.00 0 0.00 5 3.42 5 3.42 0 0.00 0 0.00 4 2.74 4 2.74 0 0.00 0 0.00	24 16.44 24 16.44 0 0.00 0 0.00 0 24 16.44 24 16.44 0 0.00 0 0.00 0 5 3.42 5 3.42 0 0.00 0 0.00 0 4 2.74 4 2.74 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 5 3.42 5 3.42 0 0.00 0 0.00 0 0.00 4 2.74 4 2.74 0 0.00 0 0.00 0 0.00	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 0.00 0 5 3.42 5 3.42 0 0.00 0 0.00 0 0.00 0 0.00 0 4 2.74 4 2.74 0 0.00 0 0.00 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 0.00 0 0 24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 0.00 0 <th>24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 0 0 0 24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0</th> <th>24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0</th> <th>24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0</th> <th>24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0</th> <th>24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0</th>	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0 0 0 0 24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0	24 16.44 24 16.44 0 0.00 0 0.00 0 0.00 0

March 2021

Non-S&P 500 Stocks Summary

							Non-Market	able		
	Non-Directed		Market Orders as %		Marketable Lir	nit	Limit Orders	as % of	Other Orders a	as %
Total Non-Directed	Orders as % of	FAII	of Non-Directed	Total Marketable	Orders as % of	Non-	Non-Directe	i	of Non-Directe	ed be
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Order	s Total Non-Marketable Limit Order	rs Orders	Total Other Orde	rs Orders	
73	9	100.00 73	9 100.00)	0	0.00	0	0.00	0	0.00

V	e	n	u	e	5	

Venue - Non- Non-Directed	Non-Directed			Marketable Limir		Non-Marketable	Non-Marketal	le		Net Payment Paid/Received for Market	Net Payment Paid/Received for Market Orders(cents per	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cent	
directed Order Flow Orders	Orders(%)	Market Orders	Market Orde	rs(%) Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders(9) Other Orders	Other Orders(9	%) Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares) Other Orders(USD)	per hundred share	es)
Citadel Securities																		
	247	46.69	247	49.01	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																		
	137	25.90	137	27.18	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	74	13.99	74	14.68	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet					_													
BlockCross(BLKX)	25	4.73	0	0.00	0	0.00	0	0.00	25 1	100.00	0	0	0	0	0	D	0	0
G1 Execution																		
Services,	16	2.00		3.17		0.00		0.00			0	0						
LLC(ETMM) Two Sigma	16	3.02	16	3.17	U	0.00	U	0.00	U	0.00	U	0	U	U	U	U	0	0
Securities,																		
LLC(SOHO)	15	2.84	15	2.98	0	0.00	0	0.00	0	0.00	0	0	0	0	0	n	0	0
UBS Securities,	13	2.04	13	2.30	0	0.00	U	0.00	· ·	0.00	0	·		· ·	0		· ·	0
LLC(UBSS)	15	2.84	15	2.98	0	0.00	0	0.00	0	0.00	0	0	0	0	0	n	0	0

March 2021

Option Contracts Summary

							Non-Marketable	e		
	Non-Directed		Market Orders a	ıs %	Marketable Limi	it	Limit Orders as	% of	Other Orders as	%
Total Non-Directed	Orders as % of A	All	of Non-Directed	Total Marketable	Orders as % of N	Ion-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	0	0.00	0	0.00	0	0.00	٥	0.00	0	0.00

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