SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Fri Jul 09 2021 08:47:15 GMT-4 EDT

2nd Quarter, 2021

April 2021

S&P 500 Stocks Summary

							Non-Marketab	le		
	Non-Directed		Market Orders as %		Marketable Lim	it	Limit Orders as	s % of	Other Orders	as %
Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of N	lon-	Non-Directed		of Non-Direct	ted
Orders	Orders	Total Market Orders	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
154	100.0	0 154	100.00		0	0.00	0	0.00	0	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit s(%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%	Net Payment Paid/Received for Market 6) 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) VIRTU Americas.	80	51.95	80	51.95	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
	41	26.62	41	26.62	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
	20	12.99	20	12.99	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services,																		
LLC(ETMM)	6	3.90	6	3.90	0	0.00	0	0.00	0	0.00	0	n	0	0	0	0	0	0
Two Sigma		3.30	· ·	3.30	ů .	0.00	•	0.00	Ü	0.00						•		•
Securities, LLC(SOHO)	5	3.25	5	3.25	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	2	1.30	2	1.30	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

April 2021

Non-S&P 500 Stocks Summary

								N	on-Marketable			
		Non-Directed		Market Orders as 5	6	Marketable Lim	it	L	mit Orders as % of		Other Orders as	% ن
Total	Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of I	ion-	N	on-Directed		of Non-Directed	1
Order	'S	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orde	rs C	rders	Total Other Orders	Orders	
	1 025	100.0	1.03	100	20	0	0.00	0	0.00		0	0.00

enues/

Venue - Non- Non-Di directed Order Flow Orders	rected Non-Di Orders		t Orders Mar	ket Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketa		Other Orders	Net Payment Paid/Received for Market (%) 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)	495	46.44	495	47.8	33	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,								-	****	-	****	-	-	-	-	-	-	-	-
LLC(NITE)	290	27.20	290	28.0	02	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNST)	172	16.14	172	16.6	52	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	31	2.91		0.0	20	^	0.00		0.00	31	100.00	0	0		0	0	0	0	
Two Sigma	31	2.91	U	0.0	30	· ·	0.00	U	0.00	31	100.00	U	U	U	U	U	U	U	U
Securities,																			
LLC(SOHO)	31	2.91	31	3.0	00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,						_													
LLC(ETMM) UBS Securities,	27	2.53	27	2.6	51	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	20	1.88	20	1.9	93	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

April 2021

Option Contracts Summary

							Non-Marketa	ble		
	Non-Directed		Market Orders as	%	Marketable Limit		Limit Orders a	s % of	Other Orders as %	
Total Non-Direct	ed Orders as % of	All	of Non-Directed	Total Marketable	Orders as % of No	n-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Orde	ers Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	0	0.00	0 0	00	0 0	00	0	0.00	0 0	00

enues

												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	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)

May 2021

S&P 500 Stocks Summary

								Non-Marke	table		
	Non-Direct	ted	Market On	iers as %	Market	table Limit		Limit Order	s as % of	Other (Orders as %
Total Non-Dire	ected Orders as 9	% of All	of Non-Dire	ected Total Marketabl	e Orders	as % of Non	-	Non-Direct	ed	of Non	-Directed
Orders	Orders	Total Ma	rket Orders Orders	Limit Orders	Directe	d Orders	Total Non-Marketable Limit Orders	Orders	Total Oth	ner Orders Orders	
	89	100.00	89	100.00	0	0.0	0	0	0.00	0	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders Citadel Securities	Non-Directed Orders(%)	Market Orders	Market Orders	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%	Net Payment Paid/Received for Market 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)	Paid/Received for Non-Marketable		Net Payment Paid/Received for s) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred share	ts
LLC(CDRG)	47	52.81	47	52.81	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE)	24	26.97	24	26.97	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	12	13.48	12	13.48	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																		
LLC(UBSS)	4	4.49	4	4.49	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM) Two Sigma	1	1.12	1	1.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	Ó	0	0
Securities, LLC(SOHO)	1	1.12	1	1.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

May 2021

Non-S&P 500 Stocks Summary

						Non-Mar	ketable		
	Non-Directed	Market O	rders as %	Marketa	ble Limit	Limit Ord	ers as % of	Other Orde	ers as %
Total Non-Directed	Orders as % of All	of Non-Di	irected Total	l Marketable Orders a	s % of Non-	Non-Dire	cted	of Non-Dire	ected
Orders	Orders	Total Market Orders Orders	Limit	t Orders Directed	Orders Total Non-Mark	cetable Limit Orders Orders	Total Of	ther Orders Orders	
471	100.00	471	100.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non-	Non-Directed	Non-Directed			Marketable Limi		Non-Marketable	Non-Marketab	lo.		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 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(%)	Market Orders	Market Orders		Marketable Limit Orders(%)	Limit Orders	Limit Orders(%		Other Orders(%		hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)		s) Other Orders(USD)		
Citadel Securities					.,	,			,		, ,				,	•	, ,		
LLC(CDRG)		232	49.26	232	49.26	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																			
LLC(NITE)	1	124	26.33	124	26.33	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNST)		70	14.86	70	14.86	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities,																			
LLC(SOHO)		19	4.03	19	4.03	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)		14	2.97	14	2.97	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution		14	2.97	14	2.97	0	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
Services,																			
LLC(ETMM)		12	2.55	12	2.55	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

May 2021

Option Contracts Summary

							Non-Marketal	ble		
	Non-Directed		Market Orders as	s %	Marketable Limit		Limit Orders a	s % of	Other Orders as	5 %
Total Non-Directed	Orders as % of	All	of Non-Directed	Total Marketable	Orders as % of No	ı.	Non-Directed		of Non-Directed	i t
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
()	0.00	0 (0.00	0 0	10	0	0.00	0	0.00

Venues

												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	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)

June 2021

S&P 500 Stocks Summary

Julilliary										
							Non-Marketable	2		
Non-Directed			Market Orders as %		Marketable Limit		Limit Orders as	Other Orders as %		
Total Non-Directed	Orders as % of All	0	of Non-Directed	Total Marketable	Orders as % of No	n-	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		
11"	100.0	117	100.00	0		00	0	0.00	0	0.00

enues

												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	d		Marketable	Limit	Non-Marketable	Non-Marketab	le		Market	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	Paid/Received for	Other Orders(cent	š
directed Order Flow	v Orders	Orders(%)	Market Orders	Market Or	rders(%) 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 share	s)
Citadel Securities																			
LLC(CDRG)		55	47.01	55	47.01	0	0.00	0	0.00	0 0	.00	0	0	0	0	0 (n	0	0

VIRTU Americas,																			
LLC(NITE)	40	34.19	40	34.19	0	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNST)	15	12.82	15	12.82	0	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities,																			
LLC(SOHO)	3	2.56	3	2.56	0	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)	2	1.71	2	1.71	0	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																			
LLC(UBSS)	2	1.71	2	1.71	0	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

June 2021

Non-S&P 500 Stocks

								Non-Marketable	e		
	Non-Directed			Market Orders as %		Marketable Lim	it	Limit Orders as	% of	Other Orders as %	
1	Total Non-Directed	Orders as % of All	c	of Non-Directed	Total Marketable	Orders as % of N	Ion-	Non-Directed		of Non-Directed	ı
c	Orders	Orders	Total Market Orders O	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	619	100.00	619	100.00	0)	0.00	0	0.00	0	0.00

Venues																		
Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	I Market Orders	Market Orders(Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%	Net Payment Paid/Received for Market () 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 Non-Marketable Limit Orders(cents per hundred share	Net Payment Paid/Received for (s) Other Orders(USD)		nts
Citadel Securities									_			_	_		_	_		
LLC(CDRG) VIRTU Americas.	324	51.92	324 5	2.34	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(NITE)	162	25.96	162 2	6.17	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	80	12.82	80 1	2.92	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																		
Securities, LLC(SOHO)	23	3.69	23	3.72	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0		
G1 Execution	23	3.09	23	3.72	· ·	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
Services,																		
LLC(ETMM)	15	2.40	15	2.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS) Instinet	15	2.40	15	2.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
BlockCross(BLKX)	5	0.80	0	0.00	0	0.00	0	0.00	5 1	00.00	0	0	0	0	0	0	0	0

June 2021

Option Contracts Summary

							Non-Marketal	ole		
	Non-Directed		Market Orders a	s %	Marketable Limit		Limit Orders a	s % of	Other Orders as %	
Total Non-Directed Orders as % of All		of Non-Directed Total Marketable		Orders as % of Non		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	1	0.00	0 00	n	0	0.00	0 (0.00

Net Payment
Paid/Received for Market
Orders(Icst) hundred shares;
Net Payment
Paid/Received for Market
Net Payment
Paid/Received for Market
Net Payment
Paid/Received for Marketable Limit
Orders(Icst) part
Non-Marketable
Non-Marketa Non-Directed Market Orders Market Orders(%) Orders Market Orders(%) Orders Venue - Non- Non-Directed Non-Directed Non-Marketable Non-Marketable