SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Tue Oct 13 2020 10:58:08 GMT-4 EDT

3rd Quarter, 2020

July 2020

S&P 500 Stocks Summary

								Non-Marketa	ible		
	Non-Direct	ted	Market Or	ders as %		Marketable Limit		Limit Orders	as % of	Other Order	rs as %
Total Non-Direct	cted Orders as 9	% of All	of Non-Dir	ected Total	l Marketable	Orders as % of Non-		Non-Directed	l	of Non-Direc	cted
Orders	Orders	Total Ma	rket Orders Orders	Limit	t Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	47	100.00	47	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 Orde	Marketable Limi ers(%) Orders	t 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) Other Orders(USD)		nts
Citadel Securities LLC(CDRG)	29	61.70	29	61.70	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE) G1 Execution	14	29.79	14	29.79	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services, LLC(ETMM) JANE STREET	3	6.38	3	6.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
CAPITAL, LLC(JNST)	1	2.13	1	2.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

July 2020

Non-S&P 500 Stocks Summary

						No	n-Marketable			
	Non-Directed	Market Orde	ers as %	Marketabl	e Limit	Lin	mit Orders as % of		Other Orders as	%
Total Non-Directed	Orders as % of All	of Non-Direc	ted Total Ma	arketable Orders as !	6 of Non-	No	on-Directed		of Non-Directed	J
Orders	Orders	Total Market Orders Orders	Limit Ord	ders Directed O	rders Total Non-Mark	etable Limit Orders Or	ders To	otal Other Orders	Orders	
147	100.00	146	99.32	0	0.00	1	0.68	0		0.00

/enues

Venue - Non- Non-D directed Order Flow Orders		ed Market Orders	i Market Orde	Marketable Limi	it Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketak 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	Net Payment Paid/Received for Other Orders(cent per hundred share	its
Citadel Securities																		
LLC(CDRG)	73	48.67	73	50.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas	49	32.67		22.55	ė.			0.00										
LLC(NITE) G1 Execution	49	32.67	49	33.56	0	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
Services.																		
LLC(ETMM)	11	7.33	11	7.53	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma	**	7.33	**	7.33	9	0.00	•	0.00		0.00	•	•		•	•	•	•	
Securities,																		
LLC(SOHO)	6	4.00	6	4.11	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	5	3.33	5	3.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																		
BlockCross(BLKX)	2	1.33	0	0.00	0	0.00	0	0.00	2	100.00	0	0	0	0	0	0	0	0
UBS Securities,																		
LLC(UBSS)	2	1.33	2	1.37	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Choe BZX U.S.																		
Equities																		
Exchange(BATS)	1	0.67	0	0.00	0	0.00	1	50.00	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	1	0.67	0	0.00	0	0.00	1	50.00	0	0.00	0	0	0	0	0	0	0	٥
Services, LLC(NSDQ)	1	0.07	· ·	0.00	o .	0.00		30.00		0.00		·	·	· ·	· ·	· ·		U

July 2020

Option Contracts Summary

							Non-Marketab	ile		
	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 Nor	i .	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	nn	0 00	n	0	0.00	n	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	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)

August 2020

S&P 500 Stocks Summary

	Non-Directed		Market Orders a	is % Total Marketable	Marketable Limit		Non-Marketable Limit Orders as %	of	Other Orders as %									
Total Non-Directed Orders 82	Orders	Total Market O	rders Orders	Limit Orders	Orders as % of Non- Directed Orders 0 0.0	Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Order	of Non-Directed rs Orders 0 0.0	10								
/enues																		
											Net Payment	Net Payment Paid/Received for		Net Payment Paid/Received for		Net Payment Paid/Received for		Net Payment
/enue - Non- directed Order Flow Citadel Securities	Non-Directed Orders	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(%)	Paid/Received for Market Orders(USD)	Market Orders(cents per hundred shares)	Paid/Received for Marketable Limit Orders(USD)	Marketable Limit Orders(cents per hundred shares)	Non-Marketable		Paid/Received for	Paid/Received for Other Orders(cents per hundred shares)
LC(CDRG) /IRTU Americas		39	10.21	39 48.1	5	0	0.00	0 0	.00	0 0	.00	0	0	0	0	0	0	0 0
LC(NITE)		33	34.02	32 39.5	1	0	0.00	1 6	.25	0 0	.00	0	0	0	0	0	0	0 0
New York Stock Exchange(NYSE)		15	15.46	0 0.0	0	0	0.00	15 93	.75	0 0	.00	0	0	0	0	0	0	0 (
ANE STREET CAPITAL, LLC(JNST) Two Sigma		5	5.15	5 6.1	7	D	0.00	0 0	.00	0 0	.00	0	0	0	0	0	0	0 0
Securities, LC(SOHO) S1 Execution		3	3.09	3 3.7	0	0	0.00	0 0	.00	0 0	.00	0	0	0	0	0	0	0 0
Services, LC(ETMM)		2	2.06	2 2.4	7	0	0.00	0 0	.00	0 0	1.00	0	0	0	0	0	0	0 0
August 2020																		
Non-S&P 500 Stocks Summary																		
	Non-Directed		Market Orders a	is % Total Marketable	Marketable Limit		Non-Marketable Limit Orders as % Non-Directed	of	Other Orders as % of Non-Directed									
	Orders	Total Market O	rders Orders	Limit Orders		Total Non-Marketable Limit Orders	Orders	Total Other Order		10								
/enues											Net Payment	Net Payment Paid/Received for	Net Payment	Net Payment Paid/Received for	Net Payment	Net Payment Paid/Received for		Net Payment
/enue - Non- directed Order Flow	Non-Directed Orders	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(%)	Paid/Received for Market	Market Orders(cents per hundred shares)	Paid/Received for Marketable Limit Orders(USD)	Marketable Limit	Paid/Received for	Non-Marketable Limit Orders(cents	Paid/Received for	Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities				279 53.4		0	0.00				1.00	,				0		0 0
/IRTU Americas .LC(NITE)				174 33.3	3	0	0.00			0 0	1.00	0	0	0	0	0	0	0 0
ANE STREET CAPITAL, LLC(JNST) G1 Execution			5.93	31 5.9		0	0.00				.00	0	0	0	0	0	0	0 0
ervices, LC(ETMM) Iwo Sigma		25	4.78	25 4.7	9	0	0.00	0 0	.00	0 0	1.00	0	0	0	0	0	0	0 0
Securities, LC(SOHO)		11	2.10	11 2.1	1	0	0.00	0 0	.00	0 0	1.00	0	0	0	0	0	0	0 0
JBS Securities, LC(UBSS)		2	0.38	2 0.3	8	0	0.00	0 0	.00	0 0	1.00	0	0	0	0	0	0	0 0
nstinet BlockCross(BLKX)		1	0.19	0 0.0	0	0	0.00	0 0	.00	1 100	.00	0	0	0	0	0	0	0 0
August 2020																		
Option Contracts Summary										_								
Total Non-Directed	Non-Directed Orders as % of A Orders	.ll Total Market O		Total Marketable Limit Orders	Marketable Limit Orders as % of Non-	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Directed Orders	of Total Other Order	Other Orders as % of Non-Directed									
0		0.00			0 0.0				0 0.0	10								
/enues																		
/enue - Non- directed Order Flow	Non-Directed	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)	Orders(cents per	Paid/Received for Non-Marketable	Limit Orders(cents	Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
	Orders	Orders(76)	Warket Orders	Market Orders(%)	Olders	marketable Lillit Grueis(18)	Lillit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Orders(03D)	nunureu snares)	Orders(OSD)	nunureu snares)	Limit Orders(USD)	per nunureu sitares	other orders(03D)	per nunureu snares)
September 2020 S&P 500 Stocks Summary																		
Total Non-Directed Orders	Orders	Total Market O	rders Orders	Total Marketable Limit Orders	Directed Orders	Total Non-Marketable Limit Orders		of Total Other Order										
197	10	0.00	197 10	0.00	0.0	0	0 0	.00	0 0.0	10								
/enues												Net Payment		Net Payment		Net Payment		
/enue - Non-	Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Net Payment Paid/Received for Market	Paid/Received for Market Orders(cents per	Paid/Received for Marketable Limit	Paid/Received for Marketable Limit Orders(cents per		Paid/Received for Non-Marketable Limit Orders(cents	Paid/Received for	Other Orders(cents
directed Order Flow	Orders	Orders(%)	Market Orders	Market Orders(%)		Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Orders(USD)		Orders(USD)					per hundred shares)

Citadel Securities																		
LLC(CDRG)	109	55.33	109	55.33	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																		
LLC(NITE)	62	31.47	62	31.47	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																		
Services,																		
LLC(ETMM)	10	5.08	10	5.08	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	10	5.08	10	5.08	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																		
Securities,																		
LLC(SOHO)	6	3.05	6	3.05	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

September 2020

Non-S&P 500 Stocks Summary

Non-Marketable
Limit Orders as % of Other Orders as % of Non-Directed
Orders Total Other Orders Orders

0 0.00 0 0.00

Venue - Non- directed Order Flo	Non-Directed	Non-Directed Orders(%)	Market Orders	Market Orde	Marketable Limit	: Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketal Limit Orders(9		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		ts
Citadel Securities																			
LLC(CDRG)		204	50.25	204	50.62	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																			
LLC(NITE)		142	34.98	142	35.24	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)		30	7.39	30	7.44	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNST	7)	13	3.20	13	3.23	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities,																			
LLC(SOHO)		11	2.71	11	2.73	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																			
BlockCross(BLKX)		3	0.74	0	0.00	0	0.00	0	0.00	3 10	0.00	0	0	0	0	0	0	0	0
UBS Securities,																			
LLC(UBSS)		3	0.74	3	0.74	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

September 2020

Option Contracts Summary

							Non-Marketa	ble		
	Non-Directed		Market Orders a	ıs %	Marketable Limit		Limit Orders	as % of	Other Orders as	s %
Total Non-Directed	Orders as % of A	All	of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed	d
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Order	s Orders	
	n	0.00	1	0.00	0 00	n	n	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 Flor	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)	ner hundred shares	Other Orders(USD)	ner hundred shares)