SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Thu Oct 14 2021 09:05:57 GMT-4 EDT

3rd Quarter, 2021

July 2021

S&P 500 Stocks Summary

							Non-Marketable			
	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as 9	% of	Other Orders as	%
Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of No	n-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Orders	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
647	100.0	0 647	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 Ord	Marketable Limit	: Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketal Limit Orders(%	ole 6) 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)	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 shares	Net Payment Paid/Received for () Other Orders(USD)		nts
Citadel Securities LLC(CDRG)	324	49.92	324	50.08	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	174	26.81	174	26.89	•	0.00		0.00		0.00	0	0	0	0	0	0	0	0
JANE STREET	1/4	20.61	1/4	20.09	o .	0.00	0	0.00	0	0.00	U	U	U	U	U	U	U	U
CAPITAL, LLC(JNST)	97	14.95	97	14.99	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities,																		
LLC(SOHO)	21	3.24	21	3.25	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services,																		
LLC(ETMM)	16	2.47	16	2.47	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS) Instinet	15	2.31	15	2.32	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
BlockCross(BLKX)	2	0.31	0	0.00	0	0.00	0	0.00	2 10	00.00	0	0	0	0	0	0	0	0

July 2021

Non-S&P 500 Stocks Summary

							Non-Marketa	ble		
	Non-Direct	ed	Market Ord	ers as %	Marketable Limit		Limit Orders	s % of	Other Orders as 9	%
Total Non-Direct	ted Orders as 9	6 of All	of Non-Dire	cted Total Marketable	Orders as % of No	n-	Non-Directed		of Non-Directed	
Orders	Orders	Total Mar	ket Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	106	100.00	106	100.00	0 0	nn	0	0.00	0 0	00.0

/enues

Venue - Non- I	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orde	Marketable Limi	it Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketa		Other Orders(9	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)	Limit Orders(cents	Net Payment Paid/Received for s) Other Orders(USD)		s
Citadel Securities																			
LLC(CDRG)		97	51.87	97	52.15	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																			
LLC(NITE)		52	27.81	52	27.96	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNST)		21	11.23	21	11.29	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities,																			
LLC(SOHO)		8	4.28	8	4.30	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)		5	2.67	5	2.69	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																			
LLC(UBSS)		3	1.60	3	1.61	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																			
BlockCross(BLKX)		1	0.53	0	0.00	0	0.00	0	0.00	1 1	00.00	0	0	0	0	0	0	0	0

July 2021

Option Contracts Summary

							Non-Marketab	le		
	Non-Directed		Market Orders as	%	Marketable Limi	t	Limit Orders as	% of	Other Orders as	as %
Total Non-Directed	Orders as % of	All	of Non-Directed	Total Marketable	Orders as % of N	on-	Non-Directed		of Non-Directed	ed De
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	n	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)

August 2021

S&P 500 Stocks

S	u	n	1	n	а	r	y

							Non-Marke	table		
	Non-Direct	ted	Market O	rders as %	Marketable Limi		Limit Order	s as % of	Other O	rders as %
Total Non-D	irected Orders as	% of All	of Non-Di	rected Total Marketab	le Orders as % of N	on-	Non-Directe	ed	of Non-l	Directed
Orders	Orders	Total M	arket Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Oth	er Orders Orders	
	222	100.00	222	100.00	0	100	0	0.00	0	0.00

Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	i Market Orders	Market Orde	Marketable Limi rs(%) Orders	t 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 Paid/Received for SO Other Orders(USD)		ts
Citadel Securities																		
LLC(CDRG)	112	50.45	112	50.45	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE)	58	26.13	58	26.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	38	17.12	38	17.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																		
Services,	_		_															
LLC(ETMM)	7	3.15	7	3.15	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities,																		
LLC(SOHO)		1.80	4	1.80		0.00		0.00		0.00	0	0		^		0	0	
UBS Securities,	*	1.00	*	1.00	·	0.00	· ·	0.00	U	0.00	·	· ·	U	0	U	U	U	0
LLC(UBSS)	2	1.35	2	1.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	3	1.35	3	1.35	U	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U

August 2021

Non-S&P 500 Stocks Summary

							Non-Market	able		
	Non-Direct	ed	Market Or	ders as %	Marketable Limit		Limit Orders	as % of	Other Orde	rs as %
Total Non-Dir	ected Orders as 9	6 of All	of Non-Dir	ected Total Marketable	Orders as % of No	n-	Non-Directed	ı	of Non-Dire	ected
Orders	Orders	Total N	Market Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	1 100	100.00	1 100	100.00	0 0	nn	0	0.00	٥	0.00

directed Order Flow	Non-Directed Orders	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 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	Net Payment Paid/Received fo Other Orders(cer per hundred shar	nts
Citadel Securities LLC(CDRG)	,	617	51.50	617	51.94	0	0.00	0	0.00	0	0.00	0		0	0			0	
VIRTU Americas,	,	01/	51.50	617	51.94	U .	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
LLC(NITE)	3	314	26.21	314	26.43	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET												_	_	_	_	_		_	
CAPITAL, LLC(JNST) G1 Execution	1	166	13.86	166	13.97	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services,																			
LLC(ETMM)		35	2.92	35	2.95	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities,																			
LLC(SOHO)		34	2.84	34	2.86	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,						-				-		-	-	-	-	-	-	-	-
LLC(UBSS)		22	1.84	22	1.85	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)		10	0.83	0	0.00	0	0.00	0	0.00	10 10	00.00	0	0	0	0	0	0	0	0

August 2021

Option Contracts Summary

							Non-Marketable			
	Non-Directed		Market Orders	ıs %	Marketable Limi	it	Limit Orders as 9	6 of	Other Orders as	%
Total Non-Directed	Orders as % of /	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	
	n	0.00	n	0.00	0	0.00	0	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 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)	

September 2021

S&P 500 Stocks

Julilliary									
						Non-Marketable			
	Non-Directed	Market Orders as %		Marketable Limit		Limit Orders as % o	f	Other Orders as %	
Total Non-Directe	d Orders as % of All	of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed	
Orders	Orders	Total Market Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	

Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	Market Orders	Market Orders(Marketable Limit %) Orders	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		ts
Citadel Securities LLC(CDRG)	142	52.79	142	52.79	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	71	26.39	71	26.39	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	41	15.24	41	15.24	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO) G1 Execution	9	3.35	9	3.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services, LLC(ETMM) UBS Securities,	3	1.12	3	1.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	3	1.12	3	1.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

September 2021

Non-S&P 500 Stocks Summary

							Non-Marketa	ible		
	Non-Directed			ers as %	Marketable Limit		Limit Orders	as % of	Other Orders as %	
Total Non-Direc	cted Orders as 9	6 of All	of Non-Dire	cted Total Marketable	Orders as % of No	n-	Non-Directed		of Non-Directed	
Orders	Orders	Total Ma	arket Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	218	100.00	218	100.00	0 0	nn	n	0.00	0 (0.00

Venue - Non- Non-Dire	cted Non-Direct	ted		Marketabl	e limit	Non-Marketable	Non-Marketa	ble		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	Net Payment Paid/Received for Other Orders(cent	
directed Order Flow Orders	Orders(%)		s Market O	rders(%) Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders	%) Other Orders	Other Orders(9	6) Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)		s) Other Orders(USD)		
Citadel Securities																		
LLC(CDRG)	96	43.84	96	44.04	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE)	77	35.16	77	35.32	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	27	12.33	27	12.39	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																		
Services,																		
LLC(ETMM)	12	5.48	12	5.50	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																		
Securities,																		
LLC(SOHO)	3	1.37	3	1.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																		
LLC(UBSS) Instinet	3	1.37	3	1.38	0	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
Instinet BlockCross(BLKX)		0.46		0.00		0.00		0.00		00.00	0	0	0	0	0	0		

September 2021

Option Contracts Summary

								Non-Market	table		
	Non-Directed			Market Orders as %				Limit Orders	as % of	Other Ore	ders as %
Total Non-Dire	ital Non-Directed Orders as % of All		of Non-Dire	of Non-Directed Total Marketable			n-	Non-Directe	Non-Directed		
Orders	Orders	Total M	arket Orders Orders	Limit Orders	Direct	ed Orders	Total Non-Marketable Limit Orders	Orders	Total Otl	her Orders Orders	
	0	0.00	0	0.00	0	0	00	0	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 chares)	Orders(USD)	hundred chares)	Limit Orders(LISD)	nor hundred chares	Other Orders(USD)	nor hundred chares)