SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Wed Jan 06 2021 07:56:01 GMT-5 EST

4th Quarter, 2020

October 2020

S&P 500 Stocks Summary

							Non-Marketabl	e		
	Non-Directed		Market Orders as %		Marketable Limi	it	Limit Orders as	% 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 Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
41	100.0	10 38	8 92.68	(	0	0.00	3	7.32	0	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders	Non-Directe Orders(%)	d Market Orders	Market Orde	Marketable Lim	it 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	Net Payment Paid/Received for Other Orders(cent per hundred share	nts
Citadel Securities LLC(CDRG) VIRTU Americas LLC(NITE) JANE STREET CAPITAL, LLC(JNST)	23 12 6	53.49 27.91 13.95	21 11 6	55.26 28.95 15.79	0 0	0.00 0.00 0.00	2 1 0	40.00 20.00 0.00	Ö	0.00 0.00 0.00	0 0 0	0 0	0 0	0 0	0 0	0 0	0	0 0
NASDAQ Execution Services, LLC(NSDQ) New York Stock Exchange(NYSE)	1	2.33	0	0.00	0	0.00	1	20.00		0.00	0	0	0	0	0	0 0	0	0

October 2020

Non-S&P 500 Stocks Summary

							Non-Marketab	le		
	Non-Directed		Market Orders as 9	6	Marketable Limit		Limit Orders as	% of	Other Orders a	ıs %
Total Non-Directe	ed Orders as % o	f All	of Non-Directed	Total Marketable	Orders as % of No	in-	Non-Directed		of Non-Directer	d
Orders	Orders	Total Market Orde	rs Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
1.0	250	100.00 1.00	EO 100 C	n	0 0	00	n	0.00	0	0.00

Venues

Venue - Non- Non- directed Order Flow Order Citadel Securities	Directed Non-Direct rs Orders(%)		rs Market O	Marketable L rders(%) Orders	.imit Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Markets		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)	Limit Orders(cents	Net Payment	Net Payment Paid/Received for Other Orders(cent per hundred share	nts
LLC(CDRG)	551	52.48	551	52.48	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE) JANE STREET	327	31.14	327	31.14	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	o	0
CAPITAL, LLC(JNST)	83	7.90	83	7.90	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM) Two Sigma	67	6.38	67	6.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Securities, LLC(SOHO) UBS Securities,	19	1.81	19	1.81	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	ð	0
LLC(UBSS)	2	0.19	2	0.19	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	a	0
Instinet BlockCross(BLKX)	1	0.10	1	0.10	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

October 2020

Option Contracts Summary

							Non-Marketab	le		
	Non-Directed		Market Orders as	%	Marketable Limit		Limit Orders as	s % of	Other Orders as	%
Total Non-Directed	otal Non-Directed Orders as % of All			Total Marketable	Orders as % of Non		Non-Directed		of Non-Directed	
Orders	Orders	Total Market Order	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	1	0.00	) (1	nn	0 00	10	0	0.00	n	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 Flo	w 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)	

November 2020

S&P 500 Stocks Summary

						Non-Marketable			
	Non-Directed	Market Orders as %		Marketable Limit		Limit Orders as % of	F	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 Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	<b>Total Other Orders</b>	Orders	

178	100.00	177	99 44	0	0.00	1	0.56	0	0.00

170 100.00 177 33.44

venues																			
Venue - Non- directed Order I	Non-Directed Flow Orders	Non-Directed Orders(%)	I Market Orders	Market Order	Marketable Limi	: Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketa 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)	Limit Orders(cent	Net Payment	Net Payment Paid/Received for Other Orders(cen ) per hundred shan	nts
Citadel Securitie	es																		
LLC(CDRG)		97	53.89	97	54.80	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																			
LLC(NITE)		57	31.67	56	31.64	0	0.00	1	33.33	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)		15	8.33	15	8.47	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JN	ST)	7	3.89	7	3.95	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
New York Stock																			
Exchange(NYSE)	1	2	1.11	0	0.00	0	0.00	2	66.67	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																			
LLC(UBSS)		2	1.11	2	1.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

November 2020

Non-S&P 500 Stocks Summary

							Non-Marketable			
	Non-Directed al Non-Directed Orders as % of All		Market Orders as %		Marketable Lim	it	Limit Orders as %	of	Other Orders as	<b>%</b>
Total Non-Directe	d Orders as % of All		of Non-Directed	Total Marketable	Orders as % of N	lon-	Non-Directed		of Non-Directed	1
Orders	Orders	Total Market Orders	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
2	100 0	0 212	100.00		0	0.00		00	٥	0.00

Venues

Venue - Non- directed Order Fl	Non-Directed	Non-Directed Orders(%)	Market Orders	Market Orders	Marketable Limit	t 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	Net Payment Paid/Received for Other Orders(cent	ts
Citadel Securities						* *			•							•			
LLC(CDRG)		152	48.72	152	48.72	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas																			
LLC(NITE)		106	33.97	106	33.97	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																			
CAPITAL, LLC(JNS	T)	24	7.69	24	7.69	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)		23	7.37	23	7.37	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	٥	0
Two Sigma																			
Securities,																			
LLC(SOHO)		6	1.92	6	1.92	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	٥	0
UBS Securities,																			
LLC(UBSS)		1	0.32	1	0.32	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

November 2020

Option Contracts Summary

							Non-Marketabl	e		
	Non-Directed		Market Orders as	s %	Marketable Lim	it	Limit Orders as	% of	Other Orders as %	
<b>Total Non-Directed</b>	Orders as % of	All	of Non-Directed	Total Marketable	Orders as % of f	Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Order	rs Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	0	0.00	0 0	0.00	0	0.00	0	0.00	0 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 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)

December 2020

S&P 500 Stocks Summary

								Non-Marketabl	e		
	Non-Directed		Market Orders as %		Marketable Lim	it		Limit Orders as	% 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	J
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketal	ole Limit Orders	Orders	Total Other Orders	Orders	
71	100.0	0 7:	1 100.00		0	0.00	(	)	0.00	0	0.00

enues

Venue - Non- N	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit	t Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketabl		Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for Non-Marketable	Limit Orders(cents			
Citadel Securities LLC(CDRG)		37	52.11	37	52.11	0	0.00	0	0.00	0 0	100	0	0	0	0	0	0 0	)	0
VIRTU Americas																_		_	
LLC(NITE) JANE STREET		17	23.94	17	23.94	0	0.00	0	0.00	0 0	0.00	0	0	0	0	5	0 0		J
CAPITAL LLC(INST)		13	18 31	13	18 31	0	0.00	0	0.00	0 0	100	0	0	0	0	0	0 0	1	n

G1 Execution	

Services, LLC(ETMM) 4 5.63 4 5.63 0 0.00 0 0.00 0.00 0 0 0 0 0 0 0 0

## December 2020

## Non-S&P 500 Stocks Summary

							Non-Marketab	le		
	Non-Directed		Market Orders as %		Marketable Lim	ít	Limit Orders as	% of	Other Orders a	as %
Total Non-Directe	d Orders as % of	All	of Non-Directed	Total Marketable	Orders as % of N	Non-	Non-Directed		of Non-Directe	ed De
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	138 1	100.00 13	8 100.0	0	0	0.00	0	0.00	0	0.00

Venues

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)	Limit Orders(cents	Net Payment	Net Payment Paid/Received for Other Orders(cen per hundred share	nts
VIRTU Americas		48.55		48.55	0	0.00	0	0.00		0.00	0	0	0	0	0	0 0	0	0
JANE STREET	38	27.54		27.54	0	0.00	0	0.00		0.00	0	0	0	0	0	0 (	0	0
G1 Execution Services, LLC(ETMM) Two Sigma	9	6.52	9	6.52	0	0.00	0	0.00		0.00	0	0	0	0	0	0 (	0	0
Securities, LLC(SOHO)	4	2.90	4	2.90	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0

## December 2020

## Option Contracts Summary

							Non-Marketab	ile		
	Non-Directed		Market Orders as	%	Marketable Limit		Limit Orders as	s % of	Other Orders as 9	%
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	
	n	0.00	n n	00	0 00	n	0	0.00	0 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)