SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Wed Jan 05 2022 04:32:20 GMT-5 EST

4th Quarter, 2021

S&P 500 Stocks Summary

							Non-Marketable	•		
	Non-Directed	Ma	arket Orders as %		Marketable Limit		Limit Orders as	% of	Other Orders a	s %
Total Non-Directed	Orders as % of All	of	Non-Directed '	Total Marketable	Orders as % of No	n-	Non-Directed		of Non-Directe	d
Orders	Orders	Total Market Orders On	ders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
711	100.00	710	99.86	0	0.	.00	1	0.14	0	0.00

directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Market 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	Net Payment Paid/Received fo Other Orders(cen per hundred shar	nts
Citadel Securities LLC(CDRG)		844	48.18	343	48.31	0	0.00		100.00	0	0.00	0	0	0	0	0	0 (2	0
VIRTU Americas,	-	144	40.10	343	40.31	·	0.00	1	100.00	0	0.00	· ·	0	0	0	0		,	0
LLC(NITE)	1	191	26.75	191	26.90	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0
JANE STREET CAPITAL, LLC(JNST)		134	18.77	134	18.87	0	0.00		0.00		0.00	٥	0	•	•	0	0 (
G1 Execution		134	10.//	134	10.07	0	0.00	U	0.00	· ·	0.00	U	U	o .	o .	U		,	U
Services,																			
LLC(ETMM)		23	3.22	23	3.24	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (0	0
Two Sigma Securities,																			
LLC(SOHO)		17	2.38	17	2.39	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (0	0
Instinet																			
BlockCross(BLKX) UBS Securities.		3	0.42	0	0.00	0	0.00	0	0.00	3 10	0.00	0	0	0	0	0	0 (0	0
LLC(UBSS)		2	0.28	2	0.28	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0

October 2021

Non-S&P 500 Stocks Summary

							Non-Marketable			
	Non-Directed	N	Market Orders as %		Marketable Limit	t	Limit Orders as % of	of	Other Orders as	% د
Total Non-Directed	Orders as % of All	c	of Non-Directed	Total Marketable	Orders as % of N	on-	Non-Directed		of Non-Directed	ı
Orders	Orders	Total Market Orders O	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
116	100.0		100.00			0.00		20		0.00

Venue - Non- Non-Direc				Marketable		Non-Marketable				Net Payment Paid/Received for Market	Net Payment Paid/Received for Market Orders(cents per	Paid/Received for Marketable Limit	Orders(cents per	Paid/Received for Non-Marketable	Limit Orders(cents	Net Payment Paid/Received for		ts
directed Order Flow Orders	Orders(%)	Market Orders	Market O	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 share	Other Orders(USD)) per hundred share	:S)
Citadel Securities		55.00		FC 00														
LLC(CDRG)	67	55.83	67	56.30	U	0.00	U	0.00	U	0.00	U	U	U	U	U	U	0	U
VIRTU Americas, LLC(NITE)	26	21.67	26	21.85		0.00		0.00		0.00						0	0	
JANE STREET	20	21.07	20	21.05	0	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
CAPITAL, LLC(JNST)	18	15.00	18	15.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution	10	13.00	10	13.13	ů	0.00	· ·	0.00	· ·	0.00			0	0	•	0	0	0
Services,																		
LLC(ETMM)	4	3.33	4	3.36	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																		
Securities,																		
LLC(SOHO)	3	2.50	3	2.52	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																		
BlockCross(BLKX)	1	0.83	0	0.00	0	0.00	0	0.00	1 1	100.00	0	0	0	0	0	0	0	0
UBS Securities,																		
LLC(UBSS)	1	0.83	1	0.84	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

October 2021 Option Contracts

Summary

	Non-Directed		Market Orders	as %	Marketable Lin	iit	Limit Orders as	s % of	Other Orders as 9	%
Total Non-Directe	Non-Directed Orders as % of All		of Non-Directed	Total Marketable	Orders as % of	Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Orde	rs Orders	Limit Orders	Directed Order	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

													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)

November 2021

S&P 500 Stocks

Summary

								Non-Marketa	ble		
		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders a	ıs % of	Other Orders a	is %
1	Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of No	1-	Non-Directed		of Non-Directe	d.
	Orders	Orders	Total Market Orders (Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	811	100.0	n 808	99.6	2	3 0	37	0	0.00	n	0.00

Venues

Venue - Non- Non-Directe directed Order Flow Orders	d Non-Directe Orders(%)	ed Market Orders	i Market Orde	Marketable Lin	nit 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 Non-Marketable Limit Orders(USD)	Limit Orders(cents	Net Payment	Net Payment Paid/Received for Other Orders(cents	s
Citadel Securities	Orders(70)	Walket Olders	i Walket Older	is(/6) Olueis	Warketable Lillit Orders(%)	Lillit Orders	Lillit Orders(/a) Other Orders	Other Orders(/	ij Gruers(G3D)	nunureu snares)	Orders(03D)	nunureu snares)	Lillit Orders(03D)	per fiultureu sitare.) Other Orders(O3D)	per nunureu snare:	>1
LLC(CDRG)	398	49.01	398	49.26	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (0	0
VIRTU Americas,																		
LLC(NITE)	204	25.12	203	25.12	1	33.33	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	164	20.20	164	20.30	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0
Two Sigma																		
Securities,																		
LLC(SOHO)	20	2.46	19	2.35	1	33.33	0	0.00	0	0.00	0	0	0	0	0	0 0	0	0
G1 Execution																		
Services,																		
LLC(ETMM)	19	2.34	19	2.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (3	0
UBS Securities,			_															
LLC(UBSS)	6	0.74	5	0.62	1	33.33	0	0.00	0	0.00	0	0	0	0	0	0 (3	0
Instinet																		
BlockCross(BLKX)		0.12		0.00		0.00		0.00		00.00								

November 2021

Non-S&P 500 Stocks Summary

								Non-Marketab	le		
	Non-Directed		Market Orders as %		Marketable Limi	it		Limit Orders as	% 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-Directed	
Orders	Orders	Total Market Orders	Orders	Limit Orders	Directed Orders	т	otal Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
1,016	5 100.0	1,016	100.00	0		0.00		0	0.00	0 (0.00

enues/

											Net Payment		Net Payment		Net Payment			
Venue - Non- Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketab	_		Net Payment Paid/Received for Market	Paid/Received for Market Orders(cents per	Net Payment Paid/Received for Marketable Limit	Paid/Received for Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable	Paid/Received for Non-Marketable	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cent	
directed Order Flow Orders	Orders(%)	Market Orders	Market Orders		Marketable Limit Orders(%)	Limit Orders	Limit Orders(%		Other Orders(%		hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)) Other Orders(USD)		
Citadel Securities	Oracis(n)	Market Orders	Market Orders	(A) Clucis	marketable Ellint Gracis(x)	Limit Orders	Limit Orders(A	other orders	Other Orders()	o, oracis(osb)	nunarea shares,	010013(030)	nunuicu snurcs)	Limit Orders(OSD)	per manarea sinare.	, outer orders(osb)	per numureu snure	.51
	530	52.17	530	52.22	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE)	273	26.87	273	26.90	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
	155	15.26	155	15.27	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																		
Services,																		
LLC(ETMM)	26	2.56	26	2.56	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																		
Securities,		2.07		2.07		0.00		0.00	0	0.00	0							
LLC(SOHO)	21	2.07	21	2.07	U	0.00	0	0.00	U	0.00	U	0	U	0	U	U	0	U
UBS Securities, LLC(UBSS)	10	0.98	10	0.99	0	0.00	0	0.00	0	0.00	0	0		0	0			
Instinet	10	0.98	10	0.99	0	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
BlockCross(BLKX)	1	0.10	0	0.00	0	0.00	0	0.00	1 1	00.00	0	0	0	0	0	0	0	n

November 2021

Option Contracts Summary

							Non-Marketabi	e		
	Non-Directed		Market Orders as	s %	Marketable Lim	it	Limit Orders as	% of	Other Orders a	ıs %
Total Non-Directed	Orders as % of A	All .	of Non-Directed	Total Marketable	Orders as % of N	Non-	Non-Directed		of Non-Directe	.d
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	0.00	0	0.00)	0.00	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 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)	per hundred shares)	Other Orders(USD)	per hundred shares)

December 2021

S&P 500 Stocks Summary

							Non-Market	Non-Marketable					
	Non-Direc	ted	Market C	Orders as %	Marketable Limit		Limit Orders	as % of	Other Orders	s as %			
Total Non-Di	rected Orders as	% of All	of Non-D	irected Total Marketabl	e Orders as % of No	n-	Non-Directe	d	of Non-Direct	ted			
Orders	Orders	Total M	larket Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Of	ther Orders Orders				
	826	100.00	826	100.00	0 0	00	0	0.00	0	0.00			

Venues

Venue - Non- Non-Direct directed Order Flow Orders Citadel Securities	ted Non-Directe Orders(%)	ed Market Order	s Market Ore	Marketable Li ders(%) Orders	imit Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Market 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(cen per hundred share	nts
LLC(CDRG)	383	46.26	383	46.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE) JANE STREET	219	26.45	219	26.55	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
CAPITAL, LLC(JNST)	166	20.05	166	20.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM) Two Sigma	25	3.02	25	3.03	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Securities, LLC(SOHO) UBS Securities,	22	2.66	22	2.67	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(UBSS)	10	1.21	10	1.21	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	3	0.36	0	0.00	0	0.00	0	0.00	3 1	00.00	0	0	0	0	0	0	0	0

December 2021

Non-S&P 500 Stocks Summary

							Non-Marketab	le		
	Non-Directed	ı	Market Orders as 9		Marketable Limi	t	Limit Orders as	Other Orders as %		
Total Non-Directed	d Orders as % o	of All	of Non-Directed	Total Marketable	Orders as % of N	on-	Non-Directed		of Non-Directed	d
Orders	Orders	Total Market Order	rs Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
26	54	100.00 26	4 100.0	0	0 (0.00	0	0.00	0	0.00

renues

Venue - Non- directed Order Flo	Non-Directed ow Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limi	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)		Net Payment Paid/Received for s) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares	
Citadel Securities																_			
LLC(CDRG)		117	44.32	117	44.32	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	j)
VIRTU Americas,		78	20.55	70	20.55														
LLC(NITE)		78	29.55	78	29.55	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	j.	J
JANE STREET CAPITAL, LLC(JNST	r).	F.0.	19.70	52	19.70														
G1 Execution	')	52	19.70	52	19.70	0	0.00	U	0.00	U	0.00	U	U	U	U	U	0 (,	J
Services.																			
LLC(ETMM)		11	4.17	11	4.17	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (0	0
Two Sigma		11	4.17	11	4.17	0	0.00	0	0.00	0	0.00	0	· ·	0	•	0		,	,
Securities,																			
LLC(SOHO)		4	1.52	4	1.52	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (a	0
UBS Securities,						-		-		-		-	-	-	-	-			
LLC(UBSS)		2	0.76	2	0.76	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 0	J	0

December 2021

Option Contracts Summary

						Non-Marketable		
	Non-Directed	Market Orders as	%	Marketable Limit		Limit Orders as % o	f	Other Orders as %
Total Non-	Directed Orders as % of A	I 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

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	Ordore	Ordore(%)	Market Orders	Market Orders(%)	Ordore	Marketable Limit Orders(9/)	Limit Ordore	Limit Ordors(%)	Other Orders	Other Order(%)	Ordere(USD)	hundred charee)	Ordore/USD)	hundred chares)	Limit Ordore(USD)	nor hundred chares	Other Orders(USD)	nor hundred charge)