SECURITIES EQUITY GROUP - Held NMS Stocks and Options Order Routing Public Report Generated on Mon Jan 09 2023 06:43:50 GMT-5 EST

5 EST 4th Quarter, 2022

October 2022

S&P 500 Stocks Summary

								Non-Market	able		
	Non-Directe	ed	Market Or	ders as %	Market	table Limit		Limit Order	as % of	Other Or	rders as %
Total Non-Direct	cted Orders as %	of All	of Non-Dir	ected Total Market	table Orders	as % of Non	-	Non-Directe	d	of Non-E	Directed
Orders	Orders	Total Ma	rket Orders Orders	Limit Orders	Directe	d Orders	Total Non-Marketable Limit Orders	Orders	Total Other O	rders Orders	
	740	100.00	740	100.00	0	0.0	0	0	0.00	0	0.00

/onuos

Venue - Non- directed Order Flow	Non-Directed v Orders	Non-Directed Orders(%)	Market Orders	Market Orde	Marketable Limit rs(%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketabl Limit Orders(%	e 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 Other Orders(USD)	Net Payment Paid/Received for Other Orders(cen per hundred shar	ts
Citadel Securities LLC(CDRG)		258	34.77	258	34.86	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	n	0
G1 Execution		230	34.77	230	34.00		0.00	Ü	0.00		0.00					•			
Services, LLC(ETMM)		192	25.88	192	25.95	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,		132	23.00	192	23.53	·	0.00	0	0.00		0.00	0	0	0	0	0		0	U
LLC(NITE)		189	25.47	189	25.54	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)		85	11.46	85	11.49	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities, LLC(SOHO)		10	1.35	10	1.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)		6	0.81	6	0.81	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)		2	0.27	0	0.00	0	0.00	0	0.00	2 10	0.00	0	0	0	0	0	0	0	0

October 2022

Non-S&P 500 Stocks Summary

								Non-Marketab	le		
		Non-Directed		Market Orders as 9		Marketable Limit		Limit Orders as	% of	Other Orders as	%
Te	otal Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed	1
0	rders	Orders	Total Market Orders	s Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	273	100 (10 27	3 100 0	n	0 00	n	0	0.00	0	0.00

/enues

Venue -		Non-Directed			Marketable Limi		Non-Marketable				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
	d Order Flow Orders	Orders(%)	Market Orders	Market Orde	ers(%) 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	es) Other Orders(USD)	per hundred share	.s)
LLC(CDR	Securities	93	33.94	93	34.07	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
	Americas,	33	33.34	33	34.07	•	0.00		0.00	•	0.00	•	•	•	•	•		•	
LLC(NITI		70	25.55	70	25.64	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Exec	cution																		
Services	s,																		
LLC(ETN		68	24.82	68	24.91	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Jane Str	reet Capital,																		
LLC(JNS		38	13.87	38	13.92	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Sec																			
LLC(UBS		3	1.09	3	1.10	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																			
	oss(BLKX)	1	0.36	0	0.00	0	0.00	0	0.00	1 1	100.00	0	0	0	0	0	0	0	0
Two Sig																			
Securitie																			
LLC(SOH	HO)	1	0.36	1	0.37	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

October 2022
Option Contracts

Summary

Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-

	Non-Directed		Market Orders	as %	Marketable Lim	it	Limit Orders as	% of	Other Orders as	%
Total Non-Directed	Orders as % of A	All .	of Non-Directed	d Total Marketable	Orders as % of f	Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Orde	rs 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	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 2022

S&P 500 Stocks

Summary				
				Non-Marketable
	Non-Directed	Market Orders as %	Marketable Limit	Limit Orders as % of

	Non-Directed		Market Orde	rs as %	Marketable I	imit	Limit Orders as %	of	Other Orders as %	
Total Non-Directed	Orders as % of	All	of Non-Direc	ted Total Marketab	le Orders as %	f Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market O	rders Orders	Limit Orders	Directed Ord	ers Total Non-Marketable Limit C	Orders Orders	Total Other Orders	Orders	
104	1 1	00.00	104	100.00	0	0.00	0 0	0.00	0.0	0

ν	enue:	5

Venue - Non-	Non-Directed	Non-Directed			Marketable Limi	t	Non-Marketable	Non-Marketab	le		Net Payment Paid/Received for Market	Net Payment Paid/Received for Market Orders(cents per	Net Payment Paid/Received for Marketable Limit				Net Payment	Net Payment Paid/Received for Other Orders(cent	
directed Order Flow	Orders	Orders(%)	Market Orders	Market Orde	rs(%) 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	s) Other Orders(USD)	per hundred share	:s)
Citadel Securities																			
LLC(CDRG)		43	41.35	43	41.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (ð	0
VIRTU Americas,																			
LLC(NITE)		29	27.88	29	27.88	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 ()	0
G1 Execution																			
Services,																			
LLC(ETMM)		20	19.23	20	19.23	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 ()	0
Jane Street Capital,																			
LLC(JNST)		11	10.58	11	10.58	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 ()	0
UBS Securities,																			
LLC(UBSS)		1	0.96	1	0.96	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0 (J	0

November 2022

Non-S&P 500 Stocks Summary

							Non-Marketal	ole		
	Non-Directed	Ma	rket Orders as %		Marketable Limit	1	Limit Orders a	s % of	Other Orders a	as %
Total Non-Directed	Orders as % of All	of	Non-Directed	Total Marketable	Orders as % of N	on-	Non-Directed		of Non-Directe	ed
Orders	Orders	Total Market Orders On	ders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
82	23 100.0	0 823	100.00		0 (0.00	0	0.00	0	0.00

Venues

Venue - Non- directed Order Flow	Non-Directed	Non-Directed Orders(%)	Market Orders	s Market Ord	Marketable Li	nit Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketa		Other Orders(9	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		Net Payment Paid/Received for Other Orders(cen	nts
Citadel Securities					(,,,				,		,					-	,	, ,	,
LLC(CDRG)		290	34.44	290	35.24	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																			
LLC(NITE)		210	24.94	210	25.52	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution																			
Services,																			
LLC(ETMM)		194	23.04	194	23.57	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital,																			
LLC(JNST)		112	13.30	112	13.61	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																			
BlockCross(BLKX)		19	2.26	0	0.00	0	0.00	0	0.00	19 1	100.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities, LLC(SOHO)			4.40		1.46		0.00	0		0	0.00	0							
UBS Securities,		12	1.43	12	1.40	· ·	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
LLC(UBSS)		5	0.59	5	0.61	0	0.00	0	0.00	0	0.00	0	0	0	0	0	n	0	0
220(0203)		-	0.33	-	0.01	•	0.00	•	0.00	•	0.00	•	•	•	•	•	•	•	

November 2022

Option Contracts Summary

							Non-Marketab	ile		
	Non-Directed		Market Orders a	s %	Marketable Limit		Limit Orders a	s % of	Other Orders a	ıs %
Total Non-Directed Orders as % of All			of Non-Directed	Total Marketable	Orders as % of No	in-	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	
	n	0.00	n	0.00	0 0	00	n	0.00	n	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)

December 2022

S&P 500 Stocks Summary

								Non-Marketable			
	Non-Directed		Market Orders as %		Marketable Lir	nit		Limit Orders as 9	6 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 Orde	rs Orders	Limit Orders	Directed Order	s Total Non-Marketable Lir	mit Orders	Orders	Total Other Orders	Orders	
14	8 1	00.00 14	18 100.00)	0	0.00) (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	r Market	Paid/Received for	Marketable Limit	Paid/Received for	Non-Marketable	Net Payment	Paid/Received for	
Venue - Non-	Non-Directed	Non-Directe	ed .		Marketable I	imit	Non-Marketable	Non-Marketab	le		Market	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	Paid/Received for	Other Orders(cents	
directed Order Flow O	Orders	Orders(%)	Market Orders	Market Orde	ers(%) 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)	4
Citadel Securities																			
LLC(CDRG)		55	37.16	55	37.16	0	0.00	0	0.00	0 0	00	0	0	0	0	0 (n	0 0	i

46	31.08	46	31.08	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
33	22.30	33	22.30	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
12	8.11	12	8.11	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
2	1.25	2	1 25	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
	33	33 22.30	33 22.30 33	33 22.30 33 22.30 12 8.11 12 8.11	33 22.30 33 22.30 0 12 8.11 12 8.11 0	33 22.30 33 22.30 0 0.00 12 8.11 12 8.11 0 0.00	33 22.30 33 22.30 0 0.00 0 12 8.11 12 8.11 0 0.00 0	33 22.30 33 22.30 0 0.00 0 0.00 12 8.11 12 8.11 0 0.00 0 0.00	33 22.30 33 22.30 0 0.00 0 0.00 0 12 8.11 12 8.11 0 0.00 0 0.00 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 0 0 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00 0 0 0 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 0 0 0 1 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00 0 0 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 12 8.11 12 8.11 0 0.00 0 0.00 0 0.00 0 0 0 0 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 0 0	33 22.30 33 22.30 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 0 0

December 2022

Non-S&P 500 Stocks Summary

									Non-Marketable			
	N	Ion-Directed	N	larket Orders as %		Marketable Limit			Limit Orders as %	of	Other Orders a	ıs %
Total I	Total Non-Directed Orders as % of All			f Non-Directed	Total Marketable	Orders as % of No	on-		Non-Directed		of Non-Directe	d
Orden	s O	Orders	Total Market Orders O	rders	Limit Orders	Directed Orders	Total Non-Marketable Limit Ord	lers	Orders	Total Other Orders	Orders	
	993	100.00	993	100.00		0 0	.00	() (0.00	0	0.00

Venues																			
Venue - Non- N directed Order Flow O	Ion-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orde	Marketable Lin	nit Marketable Limit Orders(%)	Non-Marketable Limit Orders	: Non-Marketal Limit Orders(9		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)	Paid/Received for	Limit Orders(cents	Net Payment		ts
Citadel Securities																			
LLC(CDRG)		359	35.69	359	36.15	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																			
LLC(NITE)	-	275	27.34	275	27.69	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services,																			
LLC(ETMM)		228	22.66	228	22.96	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital,		LLO	22.00	220	22.50	•	0.00		0.00	•	0.00	·		•	•	•		•	
LLC(JNST)	:	113	11.23	113	11.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Instinet																			
BlockCross(BLKX)		13	1.29	0	0.00	0	0.00	0	0.00	13 1	00.00	0	0	0	0	0	0	0	0
Two Sigma																			
Securities,																			
LLC(SOHO)		8	0.80	8	0.81	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
INTL Trading,			0.50		0.50		0.00	0	0.00	0	0.00	0	0	0	0	0	^	0	
Inc.(INTL) UBS Securities,		5	0.50	5	0.50	U	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
LLC(UBSS)		5	0.50	5	0.50	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
/		_	0.50	-	0.30	•	0.00		0.00		0.00			-	•	•	•		

December 2022

Option Contracts Summary

							Non-Marke	table		
	Non-Direct	ed	Market Ord	ers as %	Marketable Limit		Limit Order	s as % of	Other Orders a	as %
Total Non-Direct	n-Directed Orders as % of All			cted Total Marketable	Orders as % of No	n-	Non-Direct	ed	of Non-Directer	ed be
Orders	Orders	Total Ma	arket Orders Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Oth	er Orders Orders	
	0	0.00	0	0.00	0 0	nn	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 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)