

January 2021

**S&P 500 Stocks
Summary**

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non- Directed Orders
1,307	100.00	575	43.99	264	20.20

Venues

Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	502	27.30	0	0.00	0
Citadel Securities LLC(CDRG)	324	17.62	286	52.19	18
Dash Financial Technologies LLC(DASH)	277	15.06	0	0.00	96

CITI Order Routing and Execution, LLC(AUTO)	263	14.30	0	0.00	88
VIRTU Americas LLC(NITE)	196	10.66	173	31.57	15
NASDAQ Execution Services, LLC(NSDQ)	65	3.53	0	0.00	13
JANE STREET CAPITAL, LLC(JNST)	54	2.94	49	8.94	1
NYSE Arca(ARCA)	49	2.66	0	0.00	29
Instinet BlockCross(BLKX)	29	1.58	0	0.00	0
G1 Execution Services, LLC(ETMM)	28	1.52	26	4.74	2

January 2021

Non-S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
6,289	100.00	4,006	63.70	1,094	17.40

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	4,403	40.41	0	0.00	0
Citadel Securities LLC(CDRG)	2,487	22.82	2,106	54.80	311
VIRTU Americas LLC(NITE)	1,496	13.73	1,077	28.02	357
CITI Order Routing and Execution, LLC(AUTO)	463	4.25	0	0.00	158
JANE STREET CAPITAL, LLC(JNST)	387	3.55	335	8.72	45
Dash Financial Technologies LLC(DASH)	356	3.27	0	0.00	110
NASDAQ Execution Services, LLC(NSDQ)	356	3.27	0	0.00	21
Instinet BlockCross(BLKX)	291	2.67	0	0.00	0
G1 Execution Services, LLC(ETMM)	245	2.25	200	5.20	38
Cboe EDGX US Equities Exchange(EDGX)	207	1.90	0	0.00	0

January 2021

**Option Contracts
Summary**

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non- Directed Orders
1,920	100.00	0	0.00	681	35.47

Venues

Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
Dash Financial Technologies LLC(DASH)	964	50.21	0	0.00	334
Citigroup Global Markets, Inc.(KEXP)	956	49.79	0	0.00	347

February 2021

**S&P 500 Stocks
Summary**

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
1,252	100.00	544	43.45	268	21.41

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	580	28.93	0	0.00	0
Dash Financial Technologies LLC(DASH)	359	17.91	0	0.00	119
CITI Order Routing and Execution, LLC(AUTO)	356	17.76	0	0.00	121
Citadel Securities LLC(CDRG)	329	16.41	311	56.75	17
VIRTU Americas LLC(NITE)	132	6.58	121	22.08	9
JANE STREET CAPITAL, LLC(JNST)	66	3.29	59	10.77	5
NYSE Arca(ARCA)	39	1.95	0	0.00	37
NASDAQ Execution Services, LLC(NSDQ)	31	1.55	0	0.00	1

Instinet					
BlockCross(BLKX)	30	1.50	0	0.00	0
UBS Securities, LLC(UBSS)	28	1.40	25	4.56	2

February 2021

Non-S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
8,150	100.00	5,738	70.40	1,022	12.54

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	6,479	40.65	0	0.00	0
Citadel Securities LLC(CDRG)	3,389	21.26	3,056	52.65	249
VIRTU Americas LLC(NITE)	1,620	10.16	1,452	25.02	136
Instinet					
BlockCross(BLKX)	914	5.73	0	0.00	0

JANE STREET CAPITAL, LLC(JNST)	731	4.59	660	11.37	58
CITI Order Routing and Execution, LLC(AUTO)	636	3.99	0	0.00	246
Dash Financial Technologies LLC(DASH)	631	3.96	0	0.00	223
NASDAQ Execution Services, LLC(NSDQ)	401	2.52	0	0.00	45
Cboe EDGX US Equities Exchange(EDGX)	288	1.81	0	0.00	0
UBS Securities, LLC(UBSS)	281	1.76	249	4.29	24

February 2021

**Option Contracts
Summary**

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non- Directed Orders
1,698	100.00	0	0.00	571	33.63

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
Citigroup Global Markets, Inc.(KEXP)	969	53.10	0	0.00	331
Dash Financial Technologies LLC(DASH)	856	46.90	0	0.00	280

March 2021

S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
1,510	100.00	723	47.88	261	17.28

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	623	29.19	0	0.00	0

Citadel Securities LLC(CDRG)	401	18.79	351	52.31	18
CITI Order Routing and Execution, LLC(AUTO)	291	13.64	0	0.00	104
Dash Financial Technologies LLC(DASH)	249	11.67	0	0.00	84
VIRTU Americas LLC(NITE)	201	9.42	172	25.63	17
JANE STREET CAPITAL, LLC(JNST)	101	4.73	90	13.41	8
NASDAQ Execution Services, LLC(NSDQ)	96	4.50	0	0.00	16
Cboe EDGX US Equities Exchange(EDGX)	47	2.20	0	0.00	0
Instinet BlockCross(BLKX)	31	1.45	0	0.00	0
G1 Execution Services, LLC(ETMM)	30	1.41	24	3.58	2

March 2021

**Non-S&P 500 Stocks
Summary**

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
4,856	100.00	3,138	64.62	570	11.74

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
National Financial Services LLC(XSTM)	3,249	38.83	0	0.00	0
Citadel Securities LLC(CDRG)	1,763	21.07	1,558	51.74	120
VIRTU Americas LLC(NITE)	848	10.14	752	24.98	80
CITI Order Routing and Execution, LLC(AUTO)	495	5.92	0	0.00	153
JANE STREET CAPITAL, LLC(JNST)	465	5.56	426	14.15	27
Dash Financial Technologies LLC(DASH)	412	4.92	0	0.00	133
Instinet BlockCross(BLKX)	333	3.98	0	0.00	0

NASDAQ Execution Services, LLC(NSDQ)	247	2.95	0	0.00	5
Cboe EDGX US Equities Exchange(EDGX)	205	2.45	0	0.00	0
Two Sigma Securities, LLC(SOHO)	123	1.47	111	3.69	8

March 2021

Option Contracts Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders
1,711	100.00	0	0.00	593	34.66

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders
Citigroup Global Markets, Inc.(KEXP)	867	50.67	0	0.00	302

**Dash Financial
Technologies**

LLC(DASH)	830	48.51	0	0.00	290
Unknown()	13	0.76	0	0.00	0
Citadel Securities LLC(CDRG)	1	0.06	0	0.00	1

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NMS Stocks and Options Order Routing Public
Report
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1st Quarter, 2021

	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
Total Non-Marketable Limit Orders	467	35.73	1 0.08

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
0.00	0	0.00	502	94.36
6.82	20	4.04	0	0.00
36.36	181	36.57	0	0.00

33.33	175	35.35	0	0.00
5.68	7	1.41	1	0.19
4.92	52	10.51	0	0.00
0.38	4	0.81	0	0.00
10.98	20	4.04	0	0.00
0.00	0	0.00	29	5.45
0.76	0	0.00	0	0.00

	Non-Marketable			
	Limit Orders as % of		Other Orders as % of	
Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Orders	Non-Directed Orders	
1,172	18.64	17	0.27	

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
0.00	0	0.00	4,403	93.46
28.82	58	4.59	12	0.25
33.09	57	4.51	5	0.11
14.64	305	24.13	0	0.00
4.17	7	0.55	0	0.00
10.19	246	19.46	0	0.00
1.95	335	26.50	0	0.00
0.00	0	0.00	291	6.18
3.52	7	0.55	0	0.00
0.00	207	16.38	0	0.00

Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
	1,233	64.22	6
			0.31

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
	49.05	624	50.61	6
				100.00
	50.95	609	49.39	0
				0.00

Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders Total Other Orders		Other Orders as % of Non-Directed Orders	
	440	35.14	0	0.00

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
0.00	0	0.00	580	95.08
37.90	240	45.03	0	0.00
38.54	235	44.09	0	0.00
5.41	1	0.19	0	0.00
2.87	2	0.38	0	0.00
1.59	2	0.38	0	0.00
11.78	2	0.38	0	0.00
0.32	30	5.63	0	0.00

0.00	0	0.00	30	4.92
0.64	1	0.19	0	0.00

Total Non-Marketable Limit Orders	Non-Marketable	Other Orders as % of	Other Orders as % of	
	Limit Orders as % of	Non-Directed Orders	Non-Directed Orders	
	1,345	16.50	45	0.55

Marketable Limit Orders(%)	Non-Marketable	Non-Marketable	Other Orders	Other Orders(%)
	Limit Orders	Limit Orders(%)		
	0.00	0	0.00	6,479
	22.66	46	2.88	38
	12.37	24	1.50	8
0.00	0	0.00	914	12.29

5.28	13	0.81	0	0.00
22.38	390	24.42	0	0.00
20.29	408	25.55	0	0.00
4.09	356	22.29	0	0.00
0.00	288	18.03	0	0.00
2.18	8	0.50	0	0.00

	Non-Marketable			
	Limit Orders as % of		Other Orders as % of	
Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Orders	Non-Directed Orders	
1,127	66.37	0	0.00	

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
54.17	638	52.55	0	0.00
45.83	576	47.45	0	0.00

Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
521	34.50	5	0.33

Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
0.00	0	0.00	623	94.54

6.92	27	4.96	5	0.76
40.00	187	34.38	0	0.00
32.31	165	30.33	0	0.00
6.54	12	2.21	0	0.00
3.08	3	0.55	0	0.00
6.15	80	14.71	0	0.00
0.00	47	8.64	0	0.00
0.00	0	0.00	31	4.70
0.77	4	0.74	0	0.00

Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of		Other Orders as % of	
	Non-Directed Orders	Total Other Orders	Non-Directed Orders	
	1,106	22.78	42	0.86

Marketable Limit Orders(%)	Non-Marketable Limit Orders		Other Orders		
	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	
	0.00	0	0.00	3,249	89.65
	21.58	45	3.83	40	1.10
	14.39	14	1.19	2	0.06
	27.52	342	29.08	0	0.00
	4.86	12	1.02	0	0.00
	23.92	279	23.72	0	0.00
	0.00	0	0.00	333	9.19

0.90	242	20.58	0	0.00
0.00	205	17.43	0	0.00
1.44	4	0.34	0	0.00

	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders	
Total Non-Marketable Limit Orders	1,118	65.34	0	0.00

	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)
Marketable Limit Orders(%)	50.93	565	50.54	0
				0.00

48.90	540	48.30	0	0.00
0.00	13	1.16	0	0.00
0.17	0	0.00	0	0.00

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)
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0

0	0	0	0	0	0	0
0	0	0	0	0	0	0

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)
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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)
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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)
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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)
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Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
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