PURSHE KAPLAN STERLING - Held NMS Stocks and Options Order Routing Public Report Generated on Wed Jan 06 2021 07:56:02 GMT-5 EST

4th Quarter, 2020

#### October 2020

## S&P 500 Stocks Summary

							Non-Marketable		
	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % 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	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
551	100.00	471	85.48	16	2.90	30	5.44	34	6.17

	Non-Directed Orders(%)	Market C	Orders 1			Marketable Limit Orders(%)	Non-Marketable	Non-Marketable	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Market Orders(cents per	Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Non-Marketable	Limit Orders(cents	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
																	,	
	67	45.72	240	50.85	1	62.50	0	7.55	13	30.23				)	0	0	n	0
	-					-			-		1							1
	206	35.27	174	36.86		25.00	0	13.21	21	48.84	1			0	0	0	D	0
	26	4.45	25	5.30		1 6.25	5	0.00		0.00	0			)	0	0	D	0 0
																		1
	23	3.94	22	4.66		1 6.25	5	0.00	c	0.00	0			)	0	0	0	0 0
																		1
	20	3.42	0	0.00		0.00	0 20	37.74	0	0.00	0			)	0	0	D	0
	13	2.23	0	0.00		0.00	0 1	24.53	0	0.00	0			)	0	0	0	J 0
	11	1.88	2	0.42		0.00	0 1	0.00	9	20.93	3 (	C		)	0	0	0	3 0
l .	9	1.54	0	0.00		0.00	0	16.98		0.00	)				0	0	0	0
	1		-	0.00		0.00		10.50		0.00	<b>†</b>		,		1	1		+ - 1
							1							1			1	
	7	1.20	7	1.48		0.00	0	0.00		0.00	0	c		o	0	0	D	0 0
	2	0.34	2	0.42		0.00	0	0.00		0.00	0			o l	0	0	D	0 0
		Orders	Orders   Orders(%)   Market 6	Orders   Orders   Market Orders	Orders	Orders	Orders   Orders   Orders   Market Orders   Market Orders   Orders   Marketable Limit Orders   Name   Orders   Orders   Marketable Limit Orders   Name   Orders   Or	Orders   Orders   Orders   Market Orders   Market Orders   Orders   Market Orders   Orders	Orders   Orders   Market Ord		Orders   Orders   Orders   Market Orders   Market Orders   Order	Non-Directed   Non-Directed   Non-Directed   Non-Marketable   Non-Marketable   Non-Marketable   Unit Orders(N)   Non-Marketable   Unit Order	Non-Directed Orders	Non-Directed   Non-	Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Marketable   Limit   Non-Marketable   Limit	Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Directed   Non-Marketable Limit   Non-Marketable	Non-Directed   Non-	Non-Directed   Non-

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

							Non-Marketable		
	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % 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	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
607	100.00	505	83.20	44	7.25	5	8.24	8	1.32

Venues																		
Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders		Marketable Limit Orders		Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Market Orders(cents per	Net Payment Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable		Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities																		
LLC(CDRG)	28	33 23.0	05 25	51 49.22	25	17.01	2	1.33	5	1.19		0 (	0	(	0	0	C	j O
VIRTU Americas																		
LLC(NITE)	17	75 14.:	25 15	30.20	13	8.84		3.33	3	0.73		0 (	0	(	0	0	(	/ 0
NASDAQ Execution Services, LLC(NSDQ)	9	98 7.5	98	0 0.00	) :	0.68	86	57.33	11	2.6:		0	0 0		0 0	0		0
Credit Suisse Securities (USA) LLC(FBCO)		30 6.1	51	0 0.00	1:	8.16		1.33	66	15.68		0						
Goldman, Sachs & Co.(GSCO)	,	75 6.		0 0.00		0.00	(	0.00	75	17.8		0	0		0	0		) 0
Barclays Capital, Inc.(LEHM)	6	50 4.1	89	0 0.00	) :	1.36	C	0.00	58	13.78		0 (	0	(	0	0	(	0
JP Morgan Securities LLC(JPMS)		55 4.0	48	0 0.00		32.65	7	4.67	0	0.00		0	0 0		0	0	c	0
EBX LLC(EBXL)		53 4.:	32	0.00	) (	0.00	(	0.00	53	12.59		0 (	0	(	0	0	(	0
G1 Execution Services, LLC(ETMM)	4	17 3.:	83 4	16 9.02	2 (	0.00	1	0.67	0	0.00		0 (	0	(	0	0	(	0
JANE STREET CAPITAL, LLC(JNST)	4	13 3.5	50 3	7.65	5 1	2.04	1	0.67	0	0.00		0	0	(	0	0	(	0

### Option Contracts

- 0	summary									
								Non-Marketable		
ı		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % of		Other Orders as %
ľ	Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed
	Orders	Orders	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders

72	100.00	30	41.67	18	25.00	24	33.33	0	0.00

Venues

Non-Directed Orders	Non-Directed Orders(%)	Market Orders			Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USI	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 Limit Orders(cents	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
3:	9 54.1	17 17	56.67	10	55.56	12	50.00	C	0.00	0	0 (	0	C	0	0	(	0
1	1 15.2	28	20.00	4	22.22	1	4.17	0	0.00	0	0 (	0	C	0	0		0
	9 12.5	50	10.00	2	11.11	. 4	16.67	0	0.00	0	0 (	0	C	0			0
	8 11.1	11 2	6.67	0	0.00	6	25.00	0	0.00	0	0 (	0	C	0			0
	3 4.1	17	0.00	2	11.11	. 1	4.17	0	0.00	0	0 (	0	C	0			0
										1							
	2 2.7	78	6.67	0	0.00		0.00		0.00	0	0 (	0	C	0			0
		Orders Orders(%) 39 54.3 11 15.4 9 12.5		Orders         Orders(%)         Market Orders         Market Orders(%)           39         54.17         17         56.67           11         15.28         6         20.00           9         12.50         3         10.00	Orders         Orders(%)         Market Orders         Market Orders (%)         Orders           39         54.17         17         55.67         10           11         15.28         6         20.00         4           9         12.50         3         10.00         2	Orders   Orders \$\( \)   Market Orders   Mar	Orders         Orders(%)         Market Orders         Market Orders(%)         Orders         Marketable Limit Orders(%)         Umit Orders           39         54.17         17         56.67         10         55.56         12           11         15.28         6         20.00         4         22.22         1           9         12.50         3         10.00         2         11.11         4	Orders         Orders(%)         Market Orders(%)         Orders         Market Dieders(%)         Umit Orders(%)         Umit Orders(%)           39         54.17         17         56.67         10         55.56         12         50.00           11         15.28         6         20.00         4         22.22         1         4.17           9         12.50         3         10.00         2         11.11         4         16.67           8         11.11         2         6.67         0         0.00         6         25.00           3         4.17         0         0.00         2         11.11         1         4.17	Orders         Orders(%)         Market Orders(%)         Orders         Market Diders(%)         Orders         Market Diders(%)         Umit Orders         Umit Orders         Umit Orders         Other Orders           39         54.17         17         56.67         10         55.36         12         50.00         0           11         15.28         6         20.00         4         22.22         1         4.17         0           9         12.50         3         10.00         2         11.11         4         16.67         0           8         11.11         2         6.67         0         0.00         6         25.00         0           3         4.17         0         0.00         2         11.11         1         4.17         0	Orders         Orders(%)         Market Orders         Market Orders(%)         Orders         Marketable Limit Orders(%)         Umit Orders         Umit Orders(%)         Other Orders(%)	Non-Directed   Non-	Non-Directed Orders   Non-Directed Orders   Non-Marketable   Non-Marketa	Non-Directed Orders   Non-Directed Orders   Non-Market Orders	Non-Directed Orders   Non-Directed Orders   Non-Market Orders   Non-Marketable Limit Orders	Non-Directed   Non-Directed   Non-Directed   Orders   Non-Directed   Non-Directed	Non-Directed Orders   Non-Directed Orders   Non-Directed Orders   Non-Marketable Limit   Non-Marketable Limit Orders   Non-M	Non-Directed Orders   Non-Directed Orders   Non-Directed Orders   Nan-Health   Limit   Non-Marketable Limit   No

#### November 2020

### S&P 500 Stocks

Summary

								Non-Marketable		
		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % of		Other Orders as %
- 1	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	Total Other Orders	Orders
Г	445	100.00	403	90.56	8	1.80	32	7.19	2	0.45

Venue - Non-	Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Net Payment Paid/Received for	Net Payment Paid/Received for Market Orders(cents per	Net Payment Paid/Received for	Net Payment Paid/Received for Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable		Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents
directed Order Flow		Orders(%)	Market Orders			Marketable Limit Orders(%)	Limit Orders		Other Orders	Other Orders(%)	Market Orders(USI		Orders(USD)	hundred shares)		per hundred shares)		
Citadel Securities	Orders	Orders(70)	Ividiket Orders	ivialket Orders(70)	Orders	Walketable Lillit Orders(76)	Lilling Orders	Little Orders(70)	Other Orders	Other Orders(70)	ivial ket Olders(03t	// iluliureu silares/	Orders(03D)	iluliureu silares)	Lillit Olders(03D)	per nunureu snares)	Other Orders(03D)	per munureu snare:
LLC(CDRG)	2:	39 51.	51 23	57.0		36.36		7.32		22.2	,	0						0
VIRTU Americas	E.	55.	J	37.01		30.31	1	, ,,,,,	-	22.2		`	`	,	1			·
LLC(NITE)	1	19 25.	65 11	15 28.54		27.2	,	2.44		0.0	1	0						0
G1 Execution	-	13.		20.5-		22.2		2.33	`	0.0			`	,				~
Services,																		
LLC(ETMM)		25 5.	39	24 5.96		0.00		2.44	(	0.0	0	0 0						0
IANE STREET																		
CAPITAL, LLC(JNST)		25 5.	39	24 5.96	1	9.09	9	0.00	(	0.0	0	0 0	0		0	c		0
NASDAQ Execution																		
Services, LLC(NSDQ)		17 3.	66	0.00		0.00	17	41.46	(	0.0	0	0 (	0		0	C		0
Cboe EDGX US																		
Equities																		
Exchange(EDGX)		12 2.	59	0.00	(	0.00	12	29.27	(	0.0	0	0 (	) (	(	0	0		0
New York Stock																		
Exchange(NYSE)		7 1.	51	0.00	(	0.00	)	17.07	(	0.0	0	0 (	) (	(	0	C	- 1	0
Two Sigma																		
Securities,		_			1					0.0	J				J		1 .	
LLC(SOHO)		7 1.	51	/ 1.74		0.00	1	0.00	(	0.0	J.	0 (	,	1	0	0	,	U
UBS Securities, LLC(UBSS)		4 0	0.0		1										J		1 .	
		4 0.	86	3 0.74		9.09	1 (	0.00	(	0.0	)	0 (		-	0	C	'	U
Morgan Stanley &											1							
Company LLC(MSCO)		2 0.	42	0.00		18.18	,	0.00	,	0.0		,						0
Trr(IMI2CO)		z U.	43	0.00		18.18	۱ ا	0.00		0.0	1	u l	1 (	1	1 0	U	1	U

# Non-S&P 500 Stocks Summary

								Non-Marketable		
		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % of		Other Orders as %
Tota	al Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed
Ord	ers	Orders	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
	813	100.00	662	81.43	83	10.21	67	8.24	1	0.12

Venue - Non- directed Order Flow		Non-Directed Orders(%)	Market Orders		Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders		Net Payment	Market Orders(cents per	Marketable Limit		Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Goldman, Sachs &																		
Co.(GSCO)	1,349	12.39	9 (	0.00	0	0.00		0.00	1,349	19.38	0	0	0	(	0	0	(	0
Credit Suisse																		
Securities (USA)																		
LLC(FBCO)	1,288	11.83	3 (	0.00	24	1.10		0.00	1,264	18.16	0	0	0	(	0	0		0
JP Morgan																		
Securities LLC(JPMS)	1,209	11.10	0	0.00	1,101	50.27	108	10.03	3 0	0.00	0	0	0	(	0	0	0	0
EBX LLC(EBXL)	1,001	9.19	9 0	0.00	0	0.00		0.00	1,001	14.38	0	0	0	(	0	0	(	0
Morgan Stanley &																		
Company																		
LLC(MSCO)	962	8.83	3 (	0.00	836	38.17	126	11.70	0	0.00	0	0	0	(	0	0		0

Investors																				
Exchange(IEXG)	66	0	6.06	0	0.00	0	0.00	0	0.00	660	9.48	0	0	0	(	0	0	0	)	0
Exchange(IEXG) Barclays Capital, Inc.(LEHM)																				П
Inc.(LEHM)	61	2	5.62	0	0.00	15	0.68	0	0.00	597	8.58	0	0	0	(	0	)	0		0
INTELLIGENT CROSS LLC(INCR)																				П
LLC(INCR)	52	9	4.86	0	0.00	0	0.00	0	0.00	529	7.60	0	0	C	(	) (	)	0		0
UBS Securities LLC - ATS(UBSA)																				7
ATS(UBSA)	43	0	3.95	0	0.00	1	0.05	0	0.00	429	6.16	0	0	0	(	0	)	0		0
Citadel Securities LLC(CDRG)																				
LLC(CDRG)	39	8	3.66	347	52.50	41	1.87	9	0.84	1	0.01	0	0	0	(	0	)	0		0

### Option Contracts

							Non-Marketable		
	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % 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	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
85	100.00	18	21.18	25	29.41	42	49.41	0	0.00

Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders		Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Net Payment Paid/Received for Market Orders(cents per ) hundred shares)	Paid/Received for Marketable Limit	Orders(cents per	Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities																		
LLC(CDRG)	51	9 47.9	97	8 44.44	10	40.00	41	51.25	(	0.0	)	0	0	0	0		(	0
Susquehanna																		
Capital																		
Group(SUSQ)	3:	1 25.2	20	8 44.44	. 9	36.00	14	17.50	(	0.0	0	0	0	C	0	(	(	0
Wolverine																		
<b>Execution Services</b>																		
LLC(WEXX)	1	5 12.2	20	0.00	1	4.00	14	17.50		0.0	0	0 0	0	C	0		(	0 0
Dash Financial																		
Technologies																		
LLC(DASH)	1	4 11.3	38	1 5.56	4	16.00	9	11.25		0.0	0	0 0	0	C	0		(	0 0
Morgan Stanley &																		
Company											1							
LLC(MSCO)		4 3.2	25	1 5.56	1	4.00	) 2	2.50	(	0.0	0	0 0	0	C	0		(	0

### December 2020

# S&P 500 Stocks Summary

								Non-Marketable		
	N	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % of		Other Orders as %
Total Non-D	irected O	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of Non-		Non-Directed		of Non-Directed
Orders	0	Orders	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
	435	100.00	401	92.18	8	1.84	20	5.75	1	0.23

Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Net Payment Paid/Received for Market Orders(cents per	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(cent
Citadel Securities	Oracis	OTOCIS(N)	Munici Orders	market orders(70)	Oracis	marketable time orders(x)	Limit Orders	Emilit Orders(70)	Other Orders	Other Orders(70)	market orders(osb	indica silares)	Oracis(OSD)	nunarea shares <sub>j</sub>	Limit Orders(OSD)	per numureu smares,	Other Orders(OSD)	per nunareu snare
LLC(CDRG)	22	7 48.0	9 21	8 54.36		50.00	0 4	6.56	1	50.0	0		0 0	0	0			0
VIRTU Americas																		
LLC(NITE)	11-	4 24.1	5 10	9 27.18		37.50	0 2	3.28	(	0.0	) (	)	0 (	) (	0	) (	)	0
JANE STREET																		
CAPITAL, LLC(JNST)	3:	9 8.2	6 3	9 9.73		0.00	0	0.00	(	0.0	0	)	0 (	0	0	0	)	0
New York Stock		4 7.2				0.00		55.74		0.0								
Exchange(NYSE) G1 Execution	31	4 7.2	U	0.00	'	0.00	J 34	55.74	,	0.00	, ,	,		'		,		U
Services,																		
LLC(ETMM)	21	5.5	1 2	5 6.23		12.50	0	0.00		0.0		,	0			,	1	0
NASDAQ Execution Services, LLC(NSDQ)	1:	3 2.7		0.00		0.00		21.31	(	0.00			0 (		0 0			0
Cboe EDGX US Equities																		
Exchange(EDGX)	1	8 1.6	9	0.00	1	0.00	8	13.11	(	0.0	0 (	)	0 (	0	0	) (	)	0
Two Sigma Securities,																		
LLC(SOHO)		B 1.6	9	8 2.00		0.00	0	0.00	(	0.0	0		0 0	0	0	0		0
UBS Securities, LLC(UBSS)	:	2 0.4	2	2 0.50		0.00	0	0.00	(	0.0	0	)	0		0			0
Instinet BlockCross(BLKX)		1 0.2	1	0.00		0.00	0	0.00	1	50.0	0 (	)	0 (	)	0	) (	)	0

# Non-S&P 500 Stocks Summary

								Non-Marketable		
		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % 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	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
ı	912	100.00	729	79.93	97	10.64	8	9.32	1	0.11

Venues

Venue - Non- directed Order Flow	Non-Directed	Non-Directed Orders(%)	Market Orders	Market Ordersi	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Net Payment Paid/Received for Market Orders(cents per	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per	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	Net Payment Paid/Received for Other Orders(cents per hundred shares)
	Orders	Orders(%)	Iviarket Orders	Iwarket Orders	6) Orders	Warketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Warket Orders(USL	nunarea snares)	Orders(USD)	nunarea snares)	Limit Orders(USD)	per nunarea snares	Other Orders(USD)	per nunarea snares)
Citadel Securities																		
LLC(CDRG)		482	17.96	422	7.89	46.4	16 14	8.48	(	0.00	)	)	0	0	0 (	) (	)	0 0
VIRTU Americas																		
LLC(NITE)		231	22.99	186	5.51	34.3	14 10	6.06	1	8.33		)	0	0	0	)	)	0
NASDAQ Execution Services, LLC(NSDQ)		89	8.86	0	0.00	1 1.0	01 88	53.33		0.00			o	0	0 0	)	)	0 0
JANE STREET																		
CAPITAL, LLC(JNST)		64	6.37	57	7.82	7.0	07	0.00		0.00		)	0	0	0	)	)	0 0
G1 Execution																		
Services.																		
LLC(ETMM)		53	5.27	46	6.31	6 6.0	16	0.61	(	0.00		)	0	0	0	)	)	0
Choe EDGX US						-												
Equities																		
Exchange(EDGX)		40	3.98	0	0.00	0.0	10 40	24.24		0.00		)	0	0	0 0	) (	)	0 0
Two Sigma																		
Securities,																		
LLC(SOHO)		20	1.99	16	2.19	4.0	14 (	0.00		0.00		)	0	0	0 0	0	)	0 0
New York Stock																		
Exchange(NYSE)		12	1.19	0	0.00	0.0	10 12	7.27		0.00		)	0	0	0 0	0	)	0 0
Instinet																		
BlockCross(BLKX)		11	1.09	0	0.00	0.0	10	0.00	11	91.67	1		0	0	0 0	0	)	0 0
UBS Securities,																		
LLC(UBSS)	1	3	0.30	2	0.27	1.0	)1	0.00	ol o	0.00	ol .	ol .	o	0	ol (	) (	) (	0 0

# Option Contracts Summary

								Non-Marketable		
		Non-Directed		Market Orders as %		Marketable Limit		Limit Orders as % 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
ı	Orders	Orders	<b>Total Market Orders</b>	Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders
ſ	67	100.00	15	22.39	21	31.34	31	46.27	0	0.00

venues																		
Venue - Non- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(9	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD	Net Payment Paid/Received for Market Orders(cents per ) hundred shares)		Orders(cents per	Paid/Received for	Limit Orders(cents	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents
Citadel Securities																		
LLC(CDRG)		23	34.33	5 3:	1.33	7 33.	33 1	1 35.48	3	0.00		0	0	0	0 0	) (	0	) (
Wolverine																		
Execution Services																		
LLC(WEXX)		17	25.37	1	i.67	1 4.	76 1	5 48.39	9	0.00		0	0	0	0 0	0	0	١
Susquehanna																		
Capital																		
Group(SUSQ)		14	20.90	6 4	0.00	8 38.	10	0.00	) (	0.00		0	0	0	0 0	0	0	ن د
Dash Financial																		
Technologies																		
LLC(DASH)		9	13.43	3 2	0.00	4 19.	05	2 6.45	5 (	0.00		0	0	0	0 0	0	0	ن د
Morgan Stanley &																		
Company																		
LLC(MSCO)		4	5.97	0	0.00	1 4.	76	3 9.68	3	0.00		0	0	0	0 0	0	0	ن د