

B. Roker - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2020

January 2020

S&P 500 Stocks

Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non- Directed Orders | Non-Marketable Limit Orders as % of Non- Directed Orders | Other Orders as % of Non-Directed Orders |
|---|--|--|--|---|
| - | - | - | - | - |

Venues

| Venue - Non-directed Order Flow | Non- Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non- Marketable 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 shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/ Received for Other Orders(cents per hundred shares) |
|---|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| New York Stock Exchange LLC. (NYSE) | | | | | | | | | | | | | |
| NYSE Arca, Inc. (ARCA) | | | | | | | | | | | | | |
| BATS Exchange, Inc. (BATS) | | | | | | | | | | | | | |
| BROKE Consolidator, Inc. (BROKE) | | | | | | | | | | | | | |
| EDGX Exchange, Inc. (EDGX) | | | | | | | | | | | | | |
| The Nasdaq Stock Market LLC. (XNAS) | | | | | | | | | | | | | |
| B. Roker Exec and Clrng (180T) | | | | | | | | | | | | | |
| EDGA Exchange, Inc. (EDGA) | | | | | | | | | | | | | |
| TUBS Exchange, Inc. (TUBS) | | | | | | | | | | | | | |
| NASDAQ OMX BX. (BOSE) | | | | | | | | | | | | | |

Material Aspects:

January 2020

Non-S&P 500 Stocks

Summary

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Material Aspects:

January 2020

Options

Summary

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|---|--|--|--|---|

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|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| BATS Options Exchange. (BATO) | | | | | | | | | | | | | |
| NYSE Arca, Inc. (PCXX) | | | | | | | | | | | | | |
| International Securities Exch (ISEE) | | | | | | | | | | | | | |
| Nasdaq Options Market LLC. (NOMM) | | | | | | | | | | | | | |
| Chicago Board Options Exchange (CBOE) | | | | | | | | | | | | | |
| NYSE MKT, LLC (AMEX) | | | | | | | | | | | | | |
| Nasdaq OMX PHLX,Inc (PHLX) | | | | | | | | | | | | | |
| C2 Options Exchange (COPT) | | | | | | | | | | | | | |
| Boston Options Exchange Group (BOXX) | | | | | | | | | | | | | |

Material Aspects:

February 2020

S&P 500 Stocks
Summary

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|---|--|--|--|---|
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Venues

[illegible]

February 2020

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|---|--|--|--|---|
| - | - | - | - | - |

[illegible]

[illegible]

Material Aspects:

March 2020

S&P 500 Stocks

Summary

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[illegible]

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Material Aspects:

March 2020

Non-S&P 500 Stocks

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Material Aspects: