

## B. Roker - Exempt Not-Held NMS stocks

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For C. Shtumer

Reporting Period 2019-12-01 to 2020-02-29

### Orders - Exempt Not-Held NMS stocks

Order ID	Type	Venue	Time of Transaction (UTC)
27710	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
00545	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
04661	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
23942	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
19659	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
17131	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
31316	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
06031	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
23637	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
09689	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
27350	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
29319	Directed	Venue One	-

Order ID	Type	Venue	Time of Transaction (UTC)
		Venue Two	-
		Venue Three	-
		Venue Four	-
05120	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
22012	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
06451	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
10474	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
30772	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
21415	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
03677	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
11743	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
07327	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
16264	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
26879	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
02463	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-

Order ID	Type	Venue	Time of Transaction (UTC)
19088	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
26595	Non-Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
14037	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
09709	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
32609	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-
21995	Directed	Venue One	-
		Venue Two	-
		Venue Three	-
		Venue Four	-