

Note: Broker-dealers are required to disclose any material arrangements with the venues listed in each section below, including, but not limited to, any internalization or payment for order flow arrangements.

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SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2019

Securities Listed on New York Stock Exchange

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	86.85%
Limit orders as percentage of total non-directed orders	10.44%
Other orders as percentage of total non-directed orders	2.71%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	49.62%
2. VIRTU Americas LLC	22.97%
3. G1 Execution Services, LLC	9.13%
4. National Financial Services LLC	6.45%
5. New York Stock Exchange	5.07%
6. NASDAQ Execution Services, LLC	1.94%
7. UBS Securities, LLC	1.80%
8. Two Sigma Securities, LLC	1.67%
9. Cboe EDGX U.S. Equities Exchange	1.01%
10. Credit Suisse Securities (USA) LLC	0.17%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	54.45%
Limit orders as percentage of total non-directed orders	13.29%
Other orders as percentage of total non-directed orders	34.62%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	24.65%
Limit orders as percentage of total non-directed orders	7.97%
Other orders as percentage of total non-directed orders	26.92%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	10.27%
Limit orders as percentage of total non-directed orders	1.99%
Other orders as percentage of total non-directed orders	0.00%

4. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	7.11%
Limit orders as percentage of total non-directed orders	1.33%
Other orders as percentage of total non-directed orders	5.13%

5. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	47.84%
Other orders as percentage of total non-directed orders	2.56%

6. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.04%
Limit orders as percentage of total non-directed orders	16.61%
Other orders as percentage of total non-directed orders	6.41%

7. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.72%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	11.54%

8. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.72%
Limit orders as percentage of total non-directed orders	0.66%
Other orders as percentage of total non-directed orders	3.85%

9. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	9.63%
Other orders as percentage of total non-directed orders	0.00%

10. Credit Suisse Securities (USA) LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	6.41%

Securities Listed on The Nasdaq Stock Market

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	83.90%
Limit orders as percentage of total non-directed orders	9.97%
Other orders as percentage of total non-directed orders	6.13%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	52.92%
2. VIRTU Americas LLC	23.20%
3. G1 Execution Services, LLC	8.66%
4. NASDAQ Execution Services, LLC	5.54%
5. National Financial Services LLC	3.26%
6. Cboe EDGX U.S. Equities Exchange	2.19%
7. Two Sigma Securities, LLC	2.14%
8. UBS Securities, LLC	1.85%
9. NYSE Arca	0.10%
10. Huntington Investment Company	0.10%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	55.65%
Limit orders as percentage of total non-directed orders	13.66%
Other orders as percentage of total non-directed orders	79.37%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	26.20%
Limit orders as percentage of total non-directed orders	8.78%
Other orders as percentage of total non-directed orders	5.56%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	10.14%
Limit orders as percentage of total non-directed orders	0.49%
Other orders as percentage of total non-directed orders	1.59%

4. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	53.17%
Other orders as percentage of total non-directed orders	3.97%

5. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.48%
Limit orders as percentage of total non-directed orders	1.46%
Other orders as percentage of total non-directed orders	3.17%

6. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	21.95%
Other orders as percentage of total non-directed orders	0.00%

7. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.55%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

8. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.86%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	4.76%

9. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	0.49%
Other orders as percentage of total non-directed orders	0.79%

10. Huntington Investment Company

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.12%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

Securities Listed on NYSE American or Regional Exchanges

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	98.45%
Limit orders as percentage of total non-directed orders	1.02%
Other orders as percentage of total non-directed orders	0.53%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	54.93%
2. VIRTU Americas LLC	27.22%
3. G1 Execution Services, LLC	12.43%
4. UBS Securities, LLC	2.11%
5. Two Sigma Securities, LLC	2.01%
6. National Financial Services LLC	0.53%
7. NYSE American	0.35%
8. NYSE Arca	0.28%
9. NASDAQ Execution Services, LLC	0.07%
10. Cboe EDGX U.S. Equities Exchange	0.04%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	55.33%
Limit orders as percentage of total non-directed orders	10.34%
Other orders as percentage of total non-directed orders	66.67%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	27.43%
Limit orders as percentage of total non-directed orders	10.34%
Other orders as percentage of total non-directed orders	20.00%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	12.55%
Limit orders as percentage of total non-directed orders	6.90%
Other orders as percentage of total non-directed orders	0.00%

4. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.07%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	13.33%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.04%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

6. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.54%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

7. NYSE American

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	34.48%
Other orders as percentage of total non-directed orders	0.00%

8. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	27.59%
Other orders as percentage of total non-directed orders	0.00%

9. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.90%
Other orders as percentage of total non-directed orders	0.00%

10. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	3.45%
Other orders as percentage of total non-directed orders	0.00%

Exchange - Listed Options

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	15.38%
Limit orders as percentage of total non-directed orders	57.69%
Other orders as percentage of total non-directed orders	26.92%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Cboe Options Exchange	46.15%
2. NASDAQ Options Market	11.54%
3. Cboe BZX Options Exchange, Inc.	7.69%
4. Cboe EDGX Option Exchange	7.69%
5. MIAX Pearl Exchange	7.69%
6. NASDAQ PHLX Options	7.69%
7. NYSE American Options	3.85%
8. Cboe C2 Options Exchange	3.85%
9. ISE Gemini Options Exchange	3.85%

Information Concerning Significant Venues :

1. Cboe Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	75.00%
Limit orders as percentage of total non-directed orders	20.00%
Other orders as percentage of total non-directed orders	85.71%

2. NASDAQ Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	20.00%
Other orders as percentage of total non-directed orders	0.00%

3. Cboe BZX Options Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	13.33%
Other orders as percentage of total non-directed orders	0.00%

4. Cboe EDGX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.67%
Other orders as percentage of total non-directed orders	14.29%

5. MIAX Pearl Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	13.33%
Other orders as percentage of total non-directed orders	0.00%

6. NASDAQ PHLX Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	25.00%
Limit orders as percentage of total non-directed orders	6.67%
Other orders as percentage of total non-directed orders	0.00%

7. NYSE American Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.67%
Other orders as percentage of total non-directed orders	0.00%

8. Cboe C2 Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.67%
Other orders as percentage of total non-directed orders	0.00%

9. ISE Gemini Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.67%
Other orders as percentage of total non-directed orders	0.00%