

UnionBanc Investment Services LLC (UBIS) has prepared this report pursuant to U.S Securities and Exchange Commission Rule 606 which requires broker-dealer firms to make publicly available quarterly reports on their routing practices. This report provides information on the routing of "non-directed orders," which are any orders that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, UBIS transmits all customer orders to our clearing firm National Financial Services (NFS), and NFS has selected the execution venue on behalf of UBIS' customers. UBIS does not receive payment for order flow. Furthermore, UBIS does not have any material relationships with any of the venues identified below.

The report is divided into the following four sections: (1) Securities listed on the New York Stock Exchange; (2) Securities listed on the NASDAQ Stock Market; (3) Securities listed on NYSE, Amex or Regional Exchanges; and (4) Exchange listed options. For each section, this report identifies the venues most often selected by NFS, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects of NFS' relationship with the venues.

UNIONBANC INVESTMENT SERVICES - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2021

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 1,731 | 100.00 | 1,459 | 84.29 | 55 | 3.18 | 185 | 10.69 | 32 | 1.85 |

Venues

| 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 Received for Market orders (USD) | Net Payment Paid / Received for Market orders (cents per hundred shares) | Net Payment Received for Marketable Limit orders (USD) | Net Payment Paid / Received for Marketable Limit orders (cents per hundred shares) | Net Payment Received for Non-Marketable Limit orders (USD) | Net Payment Paid / Received for Non-Marketable Limit orders (cents per hundred shares) | Net Payment Received for Other orders (USD) | Net Payment Paid / Received for Other orders (cents per hundred shares) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|--|--|--|--|--|--|---|---|
| Citadel Securities LLC(CDRG) | 856 | 42.93 | 777 | 53.29 | 28 | 50.91 | 29 | 6.62 | 22 | 51.16 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 470 | 23.57 | 427 | 29.29 | 13 | 23.64 | 25 | 5.71 | 5 | 11.63 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 210 | 10.53 | 0 | 0.00 | 0 | 0.00 | 210 | 47.95 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 142 | 7.12 | 129 | 8.85 | 7 | 12.73 | 6 | 1.37 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 101 | 5.07 | 0 | 0.00 | 0 | 0.00 | 101 | 23.06 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 91 | 4.56 | 82 | 5.62 | 5 | 9.09 | 4 | 0.91 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 60 | 3.01 | 0 | 0.00 | 0 | 0.00 | 60 | 13.70 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SOHO) | 37 | 1.86 | 31 | 2.13 | 1 | 1.82 | 1 | 0.23 | 4 | 9.30 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 16 | 0.80 | 12 | 0.82 | 1 | 1.82 | 2 | 0.46 | 1 | 2.33 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLXX) | 11 | 0.55 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 11 | 25.58 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 3,742 | 100.00 | 3,088 | 82.52 | 125 | 3.34 | 416 | 11.12 | 113 | 3.02 |

Venues

| 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 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) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 1,875 | 45.38 | 1,680 | 54.33 | 54 | 41.86 | 61 | 8.57 | 80 | 40.20 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 953 | 23.06 | 870 | 28.14 | 35 | 27.13 | 26 | 3.65 | 22 | 11.06 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 301 | 7.28 | 1 | 0.03 | 5 | 3.88 | 295 | 41.43 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 293 | 7.09 | 265 | 8.57 | 19 | 14.73 | 9 | 1.26 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 176 | 4.26 | 160 | 5.17 | 9 | 6.98 | 6 | 0.84 | 1 | 0.50 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 173 | 4.19 | 0 | 0.00 | 1 | 0.78 | 172 | 24.16 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 101 | 2.44 | 0 | 0.00 | 2 | 1.55 | 99 | 13.90 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLKK) | 86 | 2.08 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 86 | 43.22 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SOHO) | 71 | 1.72 | 59 | 1.91 | 2 | 1.55 | 5 | 0.70 | 5 | 2.51 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 55 | 1.33 | 47 | 1.52 | 1 | 0.78 | 2 | 0.28 | 5 | 2.51 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 343 | 100.00 | 165 | 48.10 | 25 | 7.29 | 151 | 44.02 | 2 | 0.58 |

Venues

| 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 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) |
|--|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 165 | 47.83 | 87 | 52.73 | 11 | 44.00 | 65 | 42.48 | 2 | 100.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(SUSQ) | 66 | 19.13 | 53 | 32.12 | 9 | 36.00 | 4 | 2.61 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXX) | 54 | 15.65 | 2 | 1.21 | 0 | 0.00 | 52 | 33.99 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 47 | 13.62 | 15 | 9.09 | 4 | 16.00 | 28 | 18.30 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 13 | 3.77 | 8 | 4.85 | 1 | 4.00 | 4 | 2.61 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 1,636 | 100.00 | 1,356 | 82.89 | 65 | 3.97 | 177 | 10.82 | 38 | 2.32 |

Venues

| 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 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) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 796 | 41.50 | 706 | 52.03 | 36 | 53.73 | 35 | 8.10 | 19 | 30.65 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 381 | 19.86 | 329 | 24.24 | 17 | 25.37 | 19 | 4.40 | 16 | 25.81 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 187 | 9.75 | 175 | 12.90 | 6 | 8.96 | 6 | 1.39 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 162 | 8.45 | 0 | 0.00 | 2 | 2.99 | 160 | 37.04 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 160 | 8.34 | 0 | 0.00 | 1 | 1.49 | 159 | 36.81 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 72 | 3.75 | 65 | 4.79 | 2 | 2.99 | 2 | 0.46 | 3 | 4.84 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SOHO) | 50 | 2.61 | 45 | 3.32 | 2 | 2.99 | 3 | 0.69 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 44 | 2.29 | 0 | 0.00 | 0 | 0.00 | 44 | 10.19 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 42 | 2.19 | 37 | 2.73 | 1 | 1.49 | 4 | 0.93 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLXX) | 24 | 1.25 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 24 | 38.71 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 4,260 | 100.00 | 3,349 | 78.62 | 149 | 3.50 | 670 | 15.73 | 92 | 2.16 |

Venues

| 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 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) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 2,028 | 39.98 | 1,784 | 53.24 | 79 | 50.32 | 111 | 7.79 | 54 | 38.30 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 927 | 18.27 | 798 | 23.81 | 41 | 26.11 | 65 | 4.56 | 23 | 16.31 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 623 | 12.28 | 1 | 0.03 | 3 | 1.91 | 619 | 43.47 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 427 | 8.42 | 394 | 11.76 | 13 | 8.28 | 20 | 1.40 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 308 | 6.07 | 0 | 0.00 | 6 | 3.82 | 302 | 21.21 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 218 | 4.30 | 0 | 0.00 | 0 | 0.00 | 218 | 15.31 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 195 | 3.84 | 160 | 4.77 | 11 | 7.01 | 12 | 0.84 | 12 | 8.51 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SOHO) | 123 | 2.42 | 113 | 3.37 | 2 | 1.27 | 6 | 0.42 | 2 | 1.42 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 112 | 2.21 | 101 | 3.01 | 1 | 0.64 | 9 | 0.63 | 1 | 0.71 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NYSE Arca(ARCA) | 52 | 1.03 | 0 | 0.00 | 0 | 0.00 | 52 | 3.65 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 237 | 100.00 | 121 | 51.05 | 23 | 9.70 | 83 | 35.02 | 10 | 4.22 |

Venues

| 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 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) |
|--|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 104 | 41.43 | 56 | 46.28 | 12 | 50.00 | 36 | 37.50 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(SUSQ) | 77 | 30.68 | 52 | 42.98 | 6 | 25.00 | 9 | 9.38 | 10 | 100.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXX) | 31 | 12.35 | 2 | 1.65 | 2 | 8.33 | 27 | 28.13 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 26 | 10.36 | 6 | 4.96 | 2 | 8.33 | 18 | 18.75 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 13 | 5.18 | 5 | 4.13 | 2 | 8.33 | 6 | 6.25 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 1,600 | 100.00 | 1,279 | 79.94 | 57 | 3.56 | 223 | 13.94 | 41 | 2.56 |

Venues

| 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 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) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 619 | 36.87 | 528 | 49.95 | 28 | 50.91 | 38 | 7.45 | 25 | 43.86 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 320 | 19.06 | 276 | 26.11 | 13 | 23.64 | 23 | 4.51 | 8 | 14.04 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 210 | 12.51 | 0 | 0.00 | 3 | 5.45 | 207 | 40.59 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 174 | 10.36 | 154 | 14.57 | 6 | 10.91 | 14 | 2.75 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 159 | 9.47 | 0 | 0.00 | 1 | 1.82 | 158 | 30.98 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 55 | 3.28 | 0 | 0.00 | 0 | 0.00 | 55 | 10.78 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 44 | 2.62 | 32 | 3.03 | 3 | 5.45 | 8 | 1.57 | 1 | 1.75 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SOHO) | 42 | 2.50 | 33 | 3.12 | 1 | 1.82 | 5 | 0.98 | 3 | 5.26 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 40 | 2.38 | 34 | 3.22 | 0 | 0.00 | 2 | 0.39 | 4 | 7.02 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLXX) | 16 | 0.95 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 16 | 28.07 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 3,493 | 100.00 | 2,564 | 73.40 | 173 | 4.95 | 668 | 19.12 | 88 | 2.52 |

Venues

| 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 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) |
|--|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 1,343 | 15.27 | 1,117 | 48.82 | 74 | 40.00 | 101 | 5.13 | 51 | 1.17 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 933 | 10.61 | 0 | 0.00 | 1 | 0.54 | 757 | 38.43 | 175 | 4.02 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas LLC(NITE) | 735 | 8.36 | 615 | 26.88 | 41 | 22.16 | 58 | 2.94 | 21 | 0.48 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 685 | 7.79 | 0 | 0.00 | 0 | 0.00 | 487 | 24.72 | 198 | 4.55 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Goldman, Sachs & Co.(GSCO) | 589 | 6.70 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 589 | 13.54 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| INTELLIGENT CROSS LLC(INCR) | 538 | 6.12 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 538 | 12.36 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Credit Suisse Securities (USA) LLC(FBCO) | 489 | 5.56 | 0 | 0.00 | 1 | 0.54 | 0 | 0.00 | 488 | 11.22 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 477 | 5.42 | 0 | 0.00 | 4 | 2.16 | 473 | 24.01 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Barclays Capital, Inc.(LEHM) | 444 | 5.05 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 444 | 10.20 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JP Morgan Securities LLC(JPMS) | 404 | 4.59 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 404 | 9.29 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 201 | 100.00 | 91 | 45.27 | 24 | 11.94 | 86 | 42.79 | 0 | 0.00 |

Venues

| 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 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) |
|--|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG) | 78 | 48.15 | 36 | 45.00 | 7 | 43.75 | 35 | 53.03 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(SUSQ) | 37 | 22.84 | 30 | 37.50 | 6 | 37.50 | 1 | 1.52 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXX) | 27 | 16.67 | 1 | 1.25 | 2 | 12.50 | 24 | 36.36 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 15 | 9.26 | 9 | 11.25 | 1 | 6.25 | 5 | 7.58 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 5 | 3.09 | 4 | 5.00 | 0 | 0.00 | 1 | 1.52 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |