

National Financial Services (NFS), our clearing firm, has prepared this report for UnionBanc Investment Services LLC (UBIS) 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 NFS, and NFS selects the execution venue on behalf of UBIS' customers.

UBIS does not direct or Order Route any orders to any venues. 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 and sets forth the percentage of various types of orders routed to the venues.

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

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4th Quarter, 2022

October 2022

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
1,175	100.00	955	81.28	83	7.06	119	10.13	18	1.53

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)	441	30.35	360	37.74	54	63.53	22	5.71	5	17.24	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	285	19.61	239	25.05	26	30.59	8	2.08	12	41.38	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	221	15.21	210	22.01	2	2.35	9	2.34	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	194	13.35	0	0.00	3	3.53	191	49.61	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	142	9.77	134	14.05	0	0.00	8	2.08	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	93	6.40	0	0.00	0	0.00	93	24.16	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	34	2.34	0	0.00	0	0.00	34	8.83	0	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	18	1.24	0	0.00	0	0.00	18	4.68	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	11	0.76	0	0.00	0	0.00	0	0.00	11	37.93	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	8	0.55	7	0.73	0	0.00	1	0.26	0	0.00	0	0	0	0	0	0	0	0

October 2022

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									
1,728	100.00	1,506	87.15	26	1.50	163	9.43	33	1.91									
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)	573	29.22	526	34.90	7	28.00	24	6.80	16	21.05	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	406	20.70	384	25.48	4	16.00	18	5.10	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	383	19.53	347	23.03	8	32.00	11	3.12	17	22.37	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	235	11.98	225	14.93	4	16.00	6	1.70	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	107	5.46	0	0.00	0	0.00	107	30.31	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	66	3.37	0	0.00	0	0.00	66	18.70	0	0.00	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	54	2.75	0	0.00	0	0.00	54	15.30	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	48	2.45	0	0.00	1	4.00	47	13.31	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	43	2.19	0	0.00	0	0.00	0	0.00	43	56.58	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	17	0.87	15	1.00	1	4.00	1	0.28	0	0.00	0	0	0	0	0	0	0	0

October 2022

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
102	100.00	9	8.82	10	9.80	83	81.37	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)	46	42.20	7	77.78	5	50.00	34	37.78	0	0.00	0	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEXX)	40	36.70	0	0.00	1	10.00	39	43.33	0	0.00	0	0	0	0	0	0	0	0
Dash Financial Technologies LLC(DASH)	17	15.60	2	22.22	1	10.00	14	15.56	0	0.00	0	0	0	0	0	0	0	0
Morgan Stanley & Company LLC(MSCO)	3	2.75	0	0.00	1	10.00	2	2.22	0	0.00	0	0	0	0	0	0	0	0
Susquehanna Capital Group(SUSQ)	3	2.75	0	0.00	2	20.00	1	1.11	0	0.00	0	0	0	0	0	0	0	0

November 2022

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
911	100.00	756	82.99	42	4.61	103	11.31	10	1.10

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)	318	30.72	285	37.75	10	23.81	22	9.82	1	7.14	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	230	22.22	185	24.50	21	50.00	15	6.70	9	64.29	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	171	16.52	158	20.93	6	14.29	7	3.13	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	115	11.11	104	13.77	4	9.52	7	3.13	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	90	8.70	0	0.00	1	2.38	89	39.73	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	46	4.44	0	0.00	0	0.00	46	20.54	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	27	2.61	0	0.00	0	0.00	27	12.05	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	16	1.55	16	2.12	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	10	0.97	0	0.00	0	0.00	10	4.46	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	7	0.68	6	0.79	0	0.00	1	0.45	0	0.00	0	0	0	0	0	0	0	0

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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									
1,708	100.00	1,474	86.30	42	2.46	166	9.72	26	1.52									
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)	569	28.25	541	36.70	8	19.05	8	1.82	12	20.69	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	444	22.05	399	27.07	19	45.24	14	3.18	12	20.69	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	351	17.43	337	22.86	7	16.67	7	1.59	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(INST)	189	9.38	176	11.94	7	16.67	6	1.36	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	126	6.26	0	0.00	0	0.00	126	28.64	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	100	4.97	0	0.00	0	0.00	100	22.73	0	0.00	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	84	4.17	0	0.00	0	0.00	84	19.09	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	70	3.48	0	0.00	0	0.00	70	15.91	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	32	1.59	0	0.00	0	0.00	0	0.00	32	55.17	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	23	1.14	0	0.00	0	0.00	23	5.23	0	0.00	0	0	0	0	0	0	0	0

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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
52	100.00	7	13.46	8	15.38	37	71.15	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)	25	48.08	4	57.14	2	40.00	19	47.50	0	0.00	0	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEXX)	15	28.85	0	0.00	0	0.00	15	37.50	0	0.00	0	0	0	0	0	0	0	0
Dash Financial Technologies LLC(DASH)	7	13.46	0	0.00	2	40.00	5	12.50	0	0.00	0	0	0	0	0	0	0	0
Susquehanna Capital Group(SUSQ)	5	9.62	3	42.86	1	20.00	1	2.50	0	0.00	0	0	0	0	0	0	0	0

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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
1,263	100.00	1,076	85.19	48	3.80	132	10.45	7	0.55

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)	449	28.35	412	38.29	12	24.49	22	4.89	3	33.33	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	318	20.08	282	26.21	22	44.90	10	2.22	4	44.44	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	265	16.73	246	22.86	5	10.20	14	3.11	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	256	16.16	0	0.00	4	8.16	252	56.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	127	8.02	114	10.59	6	12.24	7	1.56	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	86	5.43	0	0.00	0	0.00	86	19.11	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	45	2.84	0	0.00	0	0.00	45	10.00	0	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	12	0.76	0	0.00	0	0.00	12	2.67	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	11	0.69	10	0.93	0	0.00	1	0.22	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	9	0.57	8	0.74	0	0.00	1	0.22	0	0.00	0	0	0	0	0	0	0	0

December 2022

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
1,666	100.00	1,464	87.88	33	1.98	154	9.24	15	0.90

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)	538	26.12	500	34.18	10	32.26	18	3.52	10	18.18	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	415	20.15	397	27.14	11	35.48	2	0.39	5	9.09	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	386	18.74	376	25.70	5	16.13	5	0.98	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	171	8.30	156	10.66	5	16.13	10	1.96	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	144	6.99	0	0.00	0	0.00	144	28.18	0	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	142	6.89	0	0.00	0	0.00	142	27.79	0	0.00	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	79	3.83	0	0.00	0	0.00	79	15.46	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	71	3.45	0	0.00	0	0.00	71	13.89	0	0.00	0	0	0	0	0	0	0	0
Instinet BlockCross(BLKX)	40	1.94	0	0.00	0	0.00	0	0.00	40	72.73	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	29	1.41	0	0.00	0	0.00	29	5.68	0	0.00	0	0	0	0	0	0	0	0

December 2022

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
25	100.00	3	12.00	3	12.00	19	76.00	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)	11	44.00	2	66.67	1	100.00	8	38.10	0	0.00	0	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEXX)	6	24.00	0	0.00	0	0.00	6	28.57	0	0.00	0	0	0	0	0	0	0	0
Dash Financial Technologies LLC(DASH)	5	20.00	1	33.33	0	0.00	4	19.05	0	0.00	0	0	0	0	0	0	0	0
Susquehanna Capital Group(SUSQ)	3	12.00	0	0.00	0	0.00	3	14.29	0	0.00	0	0	0	0	0	0	0	0