

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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1st Quarter, 2022

January 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 1,856                     | 100.00                                 | 1,446               | 77.91                                     | 160                           | 8.62  | 218                               | 11.75   | 32                 | 1.72                                     |

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)         | 823                 | 37.49                   | 650           | 44.95             | 89                      | 54.60                       | 59                          | 10.69                           | 25           | 73.53            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 494                 | 22.51                   | 396           | 27.39             | 58                      | 35.58                       | 38                          | 6.88                            | 2            | 5.88             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 315                 | 14.35                   | 283           | 19.57             | 8                       | 4.91                        | 24                          | 4.35                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 272                 | 12.39                   | 0             | 0.00              | 5                       | 3.07                        | 267                         | 48.37                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| New York Stock Exchange(NYSE)        | 114                 | 5.19                    | 0             | 0.00              | 1                       | 0.61                        | 113                         | 20.47                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 72                  | 3.28                    | 66            | 4.56              | 2                       | 1.23                        | 4                           | 0.72                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Cboe EDGX US Equities Exchange(EDGX) | 44                  | 2.00                    | 0             | 0.00              | 0                       | 0.00                        | 44                          | 7.97                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Two Sigma Securities, LLC(SOHO)      | 36                  | 1.64                    | 33            | 2.28              | 0                       | 0.00                        | 2                           | 0.36                            | 1            | 2.94             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| UBS Securities, LLC(UBSS)            | 23                  | 1.05                    | 18            | 1.24              | 0                       | 0.00                        | 1                           | 0.18                            | 4            | 11.76            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Instinet                             | 2                   | 0.09                    | 0             | 0.00              | 0                       | 0.00                        | 0                           | 0.00                            | 2            | 5.88             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| BlockCross(BLKX)                     |                     |                         |               |                   |                         |                             |                             |                                 |              |                  |   |  |   |  |   |  |  |   |

January 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 |                  |   |  |   |  |   |  |  |   |
|--------------------------------------|--|-------------------------|---|-------------------------------|---|-----------------------------------|---|---------------------------------|--|------------------|---|--|---|--|---|--|--|---|
| 2,715                                | 100.00                                 | 2,194                   | 80.81                                     | 137                           | 5.05  | 352                               | 12.97   | 32                              | 1.18                                     |                  |   |  |   |  |   |  |  |   |
| <b>Venues</b>                        |  |                         |   |                               |   |                                   |   |                                 |  |                  |   |  |   |  |   |  |  |   |
| 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)         | 1,147                                  | 37.04                   | 985                                       | 44.96                         | 63  | 45.32                             | 79  | 11.84                           | 20                                       | 20.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 695                                    | 22.44                   | 606                                       | 27.66                         | 43  | 30.94                             | 35  | 5.25                            | 11                                       | 11.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 485                                    | 15.66                   | 436                                       | 19.90                         | 18  | 12.95                             | 31  | 4.65                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 227                                    | 7.33                    | 0   | 0.00                          | 3   | 2.16                              | 224   | 33.58                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 121                                    | 3.91                    | 105                                       | 4.79                          | 6   | 4.32                              | 10  | 1.50                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Choe EDGX US Equities Exchange(EDGX) | 110                                    | 3.55                    | 0   | 0.00                          | 0   | 0.00                              | 110   | 16.49                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| New York Stock Exchange(NYSE)        | 77                                     | 2.49                    | 0   | 0.00                          | 2   | 1.44                              | 75  | 11.24                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NYSE Arca(ARCA)                      | 75                                     | 2.42                    | 0   | 0.00                          | 0   | 0.00                              | 75  | 11.24                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Instinet                             | 68                                     | 2.20                    | 0   | 0.00                          | 0   | 0.00                              | 0   | 0.00                            | 68                                       | 68.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| BlockCross(BLKX)                     | 68                                     | 2.20                    | 0   | 0.00                          | 0   | 0.00                              | 0   | 0.00                            | 68                                       | 68.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Two Sigma Securities, LLC(SOHO)      | 40                                     | 1.29                    | 37  | 1.69                          | 1   | 0.72                              | 2   | 0.30                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |

January 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 69                        | 100.00                                 | 30                  | 43.48                                     | 3                             | 4.35  | 36                                | 52.17   | 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)           | 33                  | 40.24                   | 16            | 53.33             | 2                       | 66.67                       | 15                          | 30.61                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Susquehanna Capital Group(SUSQ)        | 18                  | 21.95                   | 10            | 33.33             | 0                       | 0.00                        | 8                           | 16.33                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Wolverine Execution Services LLC(WEXX) | 15                  | 18.29                   | 0             | 0.00              | 0                       | 0.00                        | 15                          | 30.61                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Dash Financial Technologies LLC(DASH)  | 11                  | 13.41                   | 1             | 3.33              | 1                       | 33.33                       | 9                           | 18.37                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Morgan Stanley & Company LLC(MSCO)     | 5                   | 6.10                    | 3             | 10.00             | 0                       | 0.00                        | 2                           | 4.08                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |

February 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 |                  |   |  |   |  |   |  |  |   |
|--------------------------------------|--|-------------------------|---|-------------------------------|---|-----------------------------------|---|---------------------------------|--|------------------|---|--|---|--|---|--|--|---|
| 1,599                                | 100.00                                 | 1,293                   | 80.86                                     | 107                           | 6.69  | 173                               | 10.82   | 26                              | 1.63                                     |                  |   |  |   |  |   |  |  |   |
| <b>Venues</b>                        |  |                         |   |                               |   |                                   |   |                                 |  |                  |   |  |   |  |   |  |  |   |
| 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)         | 591                                    | 33.02                   | 504                                       | 38.95                         | 48  | 43.64                             | 28  | 7.78                            | 11                                       | 42.31            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 469                                    | 26.20                   | 367                                       | 28.36                         | 50  | 45.45                             | 37  | 10.28                           | 15                                       | 57.69            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 333                                    | 18.60                   | 308                                       | 23.80                         | 9   | 8.18                              | 16  | 4.44                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 136                                    | 7.60                    | 0   | 0.00                          | 1   | 0.91                              | 135   | 37.50                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| New York Stock Exchange(NYSE)        | 85                                     | 4.75                    | 0   | 0.00                          | 1   | 0.91                              | 84  | 23.33                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 83                                     | 4.64                    | 75  | 5.80                          | 1   | 0.91                              | 7   | 1.94                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Cboe EDGX US Equities Exchange(EDGX) | 47                                     | 2.63                    | 0   | 0.00                          | 0   | 0.00                              | 47  | 13.06                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Two Sigma Securities, LLC(SOHO)      | 21                                     | 1.17                    | 21  | 1.62                          | 0   | 0.00                              | 0   | 0.00                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| UBS Securities, LLC(UBSS)            | 19                                     | 1.06                    | 19  | 1.47                          | 0   | 0.00                              | 0   | 0.00                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Members Exchange(MEMX)               | 6                                      | 0.34                    | 0   | 0.00                          | 0   | 0.00                              | 6   | 1.67                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |

February 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 2,125                     | 100.00                                 | 1,724               | 81.13                                     | 95                            | 4.47  | 279                               | 13.13   | 27                 | 1.27                                     |

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 Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders (cents per hundred shares) |
|--------------------------------------|---------------------|-------------------------|---------------|-------------------|-------------------------|-----------------------------|-----------------------------|---------------------------------|--------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC(CDRG)         | 847                 | 34.70                   | 760           | 44.11             | 44                      | 43.56                       | 29                          | 5.21                            | 14           | 23.33            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 483                 | 19.79                   | 432           | 25.07             | 26                      | 25.74                       | 13                          | 2.33                            | 12           | 20.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 399                 | 16.35                   | 362           | 21.01             | 16                      | 15.84                       | 21                          | 3.77                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 151                 | 6.19                    | 0             | 0.00              | 4                       | 3.96                        | 147                         | 26.39                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 139                 | 5.69                    | 125           | 7.25              | 4                       | 3.96                        | 10                          | 1.80                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Cboe EDGX US Equities Exchange(EDGX) | 121                 | 4.96                    | 0             | 0.00              | 0                       | 0.00                        | 121                         | 21.72                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NYSE Arca(ARCA)                      | 110                 | 4.51                    | 0             | 0.00              | 2                       | 1.98                        | 108                         | 19.39                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| New York Stock Exchange(NYSE)        | 78                  | 3.20                    | 0             | 0.00              | 2                       | 1.98                        | 76                          | 13.64                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Instinet                             | 33                  | 1.35                    | 0             | 0.00              | 0                       | 0.00                        | 0                           | 0.00                            | 33           | 55.00            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| BlockCross(BLKX)                     | 30                  | 1.23                    | 25            | 1.45              | 1                       | 0.99                        | 4                           | 0.72                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Two Sigma Securities, LLC(SOHO)      |                     |                         |               |                   |                         |                             |                             |                                 |              |                  |   |  |   |  |   |  |  |   |

February 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 35                        | 100.00                                 | 27                  | 77.14                                     | 0                             | 0.00  | 8                                 | 22.86   | 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)           | 33                  | 47.14                   | 14            | 51.85             | 0                       | 0.00                        | 19                          | 44.19                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Susquehanna Capital Group(SUSQ)        | 17                  | 24.29                   | 6             | 22.22             | 0                       | 0.00                        | 11                          | 25.58                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Dash Financial Technologies LLC(DASH)  | 11                  | 15.71                   | 4             | 14.81             | 0                       | 0.00                        | 7                           | 16.28                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Morgan Stanley & Company LLC(MSCO)     | 7                   | 10.00                   | 3             | 11.11             | 0                       | 0.00                        | 4                           | 9.30                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Wolverine Execution Services LLC(WEXX) | 2                   | 2.86                    | 0             | 0.00              | 0                       | 0.00                        | 2                           | 4.65                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |

March 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 |                  |   |  |   |  |   |  |  |   |
|--------------------------------------|--|-------------------------|---|-------------------------------|---|-----------------------------------|---|---------------------------------|--|------------------|---|--|---|--|---|--|--|---|
| 2,150                                | 100.00                                 | 1,842                   | 85.67                                     | 96                            | 4.47  | 184                               | 8.56  | 28                              | 1.30                                     |                  |   |  |   |  |   |  |  |   |
| <b>Venues</b>                        |  |                         |   |                               |   |                                   |   |                                 |  |                  |   |  |   |  |   |  |  |   |
| 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)         | 837                                    | 34.19                   | 742                                       | 40.28                         | 51  | 53.13                             | 33  | 6.86                            | 11                                       | 37.93            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 491                                    | 20.06                   | 409                                       | 22.20                         | 37  | 38.54                             | 30  | 6.24                            | 15                                       | 51.72            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 433                                    | 17.69                   | 416                                       | 22.58                         | 3   | 3.13                              | 14  | 2.91                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 245                                    | 10.01                   | 0   | 0.00                          | 5   | 5.21                              | 240   | 49.90                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 234                                    | 9.56                    | 226                                       | 12.27                         | 0   | 0.00                              | 7   | 1.46                            | 1  | 3.45             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| New York Stock Exchange(NYSE)        | 99                                     | 4.04                    | 0   | 0.00                          | 0   | 0.00                              | 99  | 20.58                           | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Cboe EDGX US Equities Exchange(EDGX) | 37                                     | 1.51                    | 0   | 0.00                          | 0   | 0.00                              | 37  | 7.69                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Two Sigma Securities, LLC(SOHO)      | 32                                     | 1.31                    | 30  | 1.63                          | 0   | 0.00                              | 2   | 0.42                            | 0  | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| UBS Securities, LLC(UBSS)            | 21                                     | 0.86                    | 19  | 1.03                          | 0   | 0.00                              | 1   | 0.21                            | 1  | 3.45             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Members Exchange(MEMX)               | 18                                     | 0.74                    | 0   | 0.00                          | 0   | 0.00                              | 18  | 3.74                            | 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 2,674                     | 100.00                                 | 2,143               | 80.14                                     | 78                            | 2.92  | 399                               | 14.92   | 54                 | 2.02                                     |

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)         | 973                 | 19.11                   | 832           | 38.82             | 32                      | 34.04                       | 78                          | 7.11                            | 31           | 1.76             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| VIRTU Americas, LLC(NITE)            | 576                 | 11.31                   | 494           | 23.05             | 17                      | 18.09                       | 45                          | 4.10                            | 20           | 1.14             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Jane Street Capital, LLC(JNST)       | 575                 | 11.29                   | 517           | 24.13             | 18                      | 19.15                       | 40                          | 3.65                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Goldman, Sachs & Co.(GSCO)           | 444                 | 8.72                    | 0             | 0.00              | 0                       | 0.00                        | 0                           | 0.00                            | 444          | 25.26            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| G1 Execution Services, LLC(ETMM)     | 254                 | 4.99                    | 223           | 10.41             | 7                       | 7.45                        | 24                          | 2.19                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NASDAQ Execution Services, LLC(NSDQ) | 223                 | 4.38                    | 0             | 0.00              | 1                       | 1.06                        | 182                         | 16.59                           | 40           | 2.28             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| INTELLIGENT CROSS LLC(INCR)          | 217                 | 4.26                    | 0             | 0.00              | 0                       | 0.00                        | 0                           | 0.00                            | 217          | 12.34            | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Cboe EDGX US Equities Exchange(EDGX) | 213                 | 4.18                    | 0             | 0.00              | 0                       | 0.00                        | 213                         | 19.42                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| NYSE Arca(ARCA)                      | 193                 | 3.79                    | 0             | 0.00              | 2                       | 2.13                        | 178                         | 16.23                           | 13           | 0.74             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Morgan Stanley & Company LLC(MSCO)   | 188                 | 3.69                    | 0             | 0.00              | 2                       | 2.13                        | 0                           | 0.00                            | 186          | 10.58            | 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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 79                        | 100.00                                 | 11                  | 13.92                                     | 4                             | 5.06  | 64                                | 81.01   | 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)           | 43                  | 43.00                   | 9             | 81.82             | 0                       | 0.00                        | 34                          | 40.00                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Wolverine Execution Services LLC(WEXX) | 20                  | 20.00                   | 0             | 0.00              | 0                       | 0.00                        | 20                          | 23.53                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Dash Financial Technologies LLC(DASH)  | 19                  | 19.00                   | 1             | 9.09              | 1                       | 25.00                       | 17                          | 20.00                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Susquehanna Capital Group(SUSQ)        | 17                  | 17.00                   | 1             | 9.09              | 3                       | 75.00                       | 13                          | 15.29                           | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |
| Morgan Stanley & Company LLC(MSCO)     | 1                   | 1.00                    | 0             | 0.00              | 0                       | 0.00                        | 1                           | 1.18                            | 0            | 0.00             | 0   | 0  | 0   | 0  | 0   | 0  | 0  | 0   |