

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

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2nd Quarter, 2022

April 2022

## S&P 500 Stocks

### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|----------------------------------------|-------------------------------------------|-----------------------------------------------------|---------------------------------------------------------|------------------------------------------|
| 100.00                                 | 77.21                                     | 8.01                                                | 12.69                                                   | 2.09                                     |

### Venues

| Venue - Non-directed Order Flow       | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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)         | 32.87                   | 38.16             | 40.69                       | 10.26                           | 37.25            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| VIRTU Americas, LLC (NITE)            | 22.38                   | 24.20             | 42.07                       | 7.37                            | 29.41            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Jane Street Capital, LLC (JNST)       | 16.15                   | 20.83             | 7.59                        | 4.74                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 11.21                   | 14.69             | 3.45                        | 3.16                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| NASDAQ Execution Services, LLC (NSDQ) | 8.28                    | 0.00              | 4.14                        | 40.79                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Cboe EDGX US Equities Exchange (EDGX) | 3.24                    | 0.00              | 0.00                        | 16.58                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| New York Stock Exchange (NYSE)        | 2.21                    | 0.00              | 1.38                        | 10.79                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Two Sigma Securities, LLC (SOHO)      | 1.23                    | 1.46              | 0.69                        | 0.79                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

| Venue - Non-directed Order Flow | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Members Exchange (MEMX)         | 1.08                    | 0.00              | 0.00                        | 5.53                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Instinet BlockCross (BLKX)      | 0.72                    | 0.00              | 0.00                        | 0.00                            | 27.45            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

Material Aspects:

Citadel Securities LLC (CDRG):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

VIRTU Americas, LLC (NITE):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Jane Street Capital, LLC (JNST):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

G1 Execution Services, LLC (ETMM):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NASDAQ Execution Services, LLC (NSDQ):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Cboe EDGX US Equities Exchange (EDGX):  
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New York Stock Exchange (NYSE):  
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Two Sigma Securities, LLC (SOHO):  
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Members Exchange (MEMX):  
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Instinet BlockCross (BLKX):  
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April 2022

Non-S&P 500 Stocks

Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|----------------------------------------|-------------------------------------------|-----------------------------------------------------|---------------------------------------------------------|------------------------------------------|
| 100.00                                 | 79.34                                     | 4.52                                                | 14.48                                                   | 1.66                                     |

Venues

| Venue - Non-directed Order Flow       | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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)         | 30.73                   | 39.00             | 44.09                       | 7.26                            | 18.35            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| VIRTU Americas, LLC (NITE)            | 16.44                   | 21.12             | 19.35                       | 4.36                            | 7.34             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Jane Street Capital, LLC (JNST)       | 16.35                   | 22.51             | 12.90                       | 2.54                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 12.06                   | 15.79             | 16.13                       | 3.09                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| NASDAQ Execution Services, LLC (NSDQ) | 8.67                    | 0.00              | 0.00                        | 36.66                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Cboe EDGX US Equities Exchange (EDGX) | 4.81                    | 0.00              | 0.00                        | 20.33                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Instinet BlockCross (BLKX)            | 3.26                    | 0.00              | 0.00                        | 0.00                            | 69.72            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| New York Stock Exchange (NYSE)        | 2.79                    | 0.00              | 4.30                        | 11.07                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| NYSE Arca (ARCA)                      | 1.72                    | 0.00              | 2.15                        | 6.90                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Members Exchange (MEMX)               | 1.33                    | 0.00              | 0.00                        | 5.63                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

#### Material Aspects:

Citadel Securities LLC (CDRG):

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VIRTU Americas, LLC (NITE):

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Jane Street Capital, LLC (JNST):

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G1 Execution Services, LLC (ETMM):

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NASDAQ Execution Services, LLC (NSDQ):

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Cboe EDGX US Equities Exchange (EDGX):

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Instinet BlockCross (BLKX):

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New York Stock Exchange (NYSE):

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NYSE Arca (ARCA):  
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Members Exchange (MEMX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

April 2022

Options

Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|----------------------------------------|-------------------------------------------|-----------------------------------------------------|---------------------------------------------------------|------------------------------------------|
| 100.00                                 | 29.69                                     | 9.38                                                | 60.94                                                   | 0.00                                     |

Venues

| Venue - Non-directed Order Flow         | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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)           | 39.71                   | 47.37             | 33.33                       | 37.21                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Wolverine Execution Services LLC (WEXX) | 26.47                   | 0.00              | 0.00                        | 41.86                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Susquehanna Capital Group (SUSQ)        | 13.24                   | 36.84             | 16.67                       | 2.33                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Dash Financial Technologies LLC (DASH)  | 11.76                   | 5.26              | 0.00                        | 16.28                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Morgan Stanley & Company LLC (MSCO)     | 8.82                    | 10.53             | 50.00                       | 2.33                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

Material Aspects:

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Wolverine Execution Services LLC (WEXX):  
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Susquehanna Capital Group (SUSQ):  
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Dash Financial Technologies LLC (DASH):  
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Morgan Stanley & Company LLC (MSCO):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

May 2022

S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 80.74                                        | 5.68                                                       | 11.48                                                          | 2.09                                        |

Venues

| Venue -<br>Non-directed<br>Order Flow          | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| Citadel<br>Securities LLC<br>(CDRG)            | 29.21                          | 37.93                   | 37.89                             | 6.96                                      | 58.97                  | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| VIRTU<br>Americas, LLC<br>(NITE)               | 18.84                          | 22.81                   | 49.47                             | 4.69                                      | 30.77                  | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| NASDAQ<br>Execution<br>Services, LLC<br>(NSDQ) | 13.94                          | 0.00                    | 5.26                              | 46.60                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 13.32                          | 19.48                   | 5.26                              | 1.94                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Jane Street<br>Capital, LLC<br>(JNST)          | 12.32                          | 18.00                   | 2.11                              | 2.27                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| New York<br>Stock<br>Exchange<br>(NYSE)        | 7.80                           | 0.00                    | 0.00                              | 26.54                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Cboe EDGX US<br>Equities<br>Exchange<br>(EDGX) | 2.43                           | 0.00                    | 0.00                              | 8.25                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Members<br>Exchange<br>(MEMX)                  | 0.71                           | 0.00                    | 0.00                              | 2.43                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Two Sigma<br>Securities, LLC<br>(SOHO)         | 0.62                           | 0.81                    | 0.00                              | 0.32                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| UBS<br>Securities, LLC<br>(UBSS)               | 0.62                           | 0.96                    | 0.00                              | 0.00                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |

Material Aspects:

Citadel Securities LLC (CDRG):

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May 2022

Non-S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 70.27                                        | 7.21                                                       | 21.64                                                          | 0.87                                        |

Venues

| Venue -<br>Non-directed<br>Order Flow   | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|-----------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| Citadel<br>Securities LLC<br>(CDRG)     | 30.13                          | 38.92                   | 41.57                             | 17.64                                     | 7.25                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| VIRTU<br>Americas, LLC<br>(NITE)        | 15.10                          | 21.38                   | 25.84                             | 4.92                                      | 2.42                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| G1 Execution<br>Services, LLC<br>(ETMM) | 13.86                          | 20.73                   | 15.17                             | 4.51                                      | 0.48                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Jane Street<br>Capital, LLC<br>(JNST)   | 11.82                          | 17.13                   | 14.61                             | 4.62                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |

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|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| NASDAQ Execution Services, LLC (NSDQ) | 7.66                    | 0.00              | 0.00                        | 24.00                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Instinet BlockCross (BLKX)            | 6.09                    | 0.00              | 0.00                        | 0.00                            | 89.86            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| NYSE Arca (ARCA)                      | 4.88                    | 0.00              | 0.56                        | 15.18                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Cboe EDGX US Equities Exchange (EDGX) | 4.03                    | 0.00              | 0.00                        | 12.62                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| New York Stock Exchange (NYSE)        | 2.65                    | 0.00              | 0.56                        | 8.21                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Members Exchange (MEMX)               | 1.31                    | 0.00              | 0.00                        | 4.10                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

Material Aspects:

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[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Jane Street Capital, LLC (JNST):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NASDAQ Execution Services, LLC (NSDQ):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Instinet BlockCross (BLKX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NYSE Arca (ARCA):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Cboe EDGX US Equities Exchange (EDGX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

New York Stock Exchange (NYSE):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Members Exchange (MEMX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

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Options

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 25.00                                        | 0.00                                                       | 75.00                                                          | 0.00                                        |

Venues

| Venue -<br>Non-directed<br>Order Flow            | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|--------------------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| Wolverine<br>Execution<br>Services LLC<br>(WEXX) | 31.25                          | 25.00                   | 0.00                              | 33.33                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Citadel Securities<br>LLC (CDRG)                 | 25.00                          | 25.00                   | 0.00                              | 25.00                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Dash Financial<br>Technologies<br>LLC (DASH)     | 25.00                          | 25.00                   | 0.00                              | 25.00                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Susquehanna<br>Capital Group<br>(SUSQ)           | 12.50                          | 25.00                   | 0.00                              | 8.33                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Morgan Stanley<br>& Company LLC<br>(MSCO)        | 6.25                           | 0.00                    | 0.00                              | 8.33                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |

Material Aspects:

Wolverine Execution Services LLC (WEXX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Citadel Securities LLC (CDRG):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Dash Financial Technologies LLC (DASH):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Susquehanna Capital Group (SUSQ):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Morgan Stanley & Company LLC (MSCO):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

June 2022

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S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 82.56                                        | 3.73                                                       | 12.38                                                          | 1.34                                        |

## Venues

| Venue -<br>Non-directed<br>Order Flow | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| Citadel Securities LLC (CDRG)         | 29.21                          | 37.05                   | 46.30                             | 7.71                                      | 13.04                  | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| VIRTU Americas, LLC (NITE)            | 18.36                          | 21.89                   | 40.74                             | 4.19                                      | 65.22                  | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| G1 Execution Services, LLC (ETMM)     | 16.01                          | 21.81                   | 7.41                              | 2.86                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Jane Street Capital, LLC (JNST)       | 13.20                          | 18.14                   | 1.85                              | 2.42                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| NASDAQ Execution Services, LLC (NSDQ) | 12.02                          | 0.00                    | 3.70                              | 44.71                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| New York Stock Exchange (NYSE)        | 5.28                           | 0.00                    | 0.00                              | 19.82                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Cboe EDGX US Equities Exchange (EDGX) | 3.40                           | 0.00                    | 0.00                              | 12.78                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Members Exchange (MEMX)               | 1.41                           | 0.00                    | 0.00                              | 5.29                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Two Sigma Securities, LLC (SOHO)      | 0.65                           | 0.85                    | 0.00                              | 0.22                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Instinet BlockCross (BLKX)            | 0.23                           | 0.00                    | 0.00                              | 0.00                                      | 17.39                  | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |

## Material Aspects:

Citadel Securities LLC (CDRG):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

VIRTU Americas, LLC (NITE):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

G1 Execution Services, LLC (ETMM):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Jane Street Capital, LLC (JNST):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NASDAQ Execution Services, LLC (NSDQ):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

New York Stock Exchange (NYSE):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Cboe EDGX US Equities Exchange (EDGX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Members Exchange (MEMX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Two Sigma Securities, LLC (SOHO):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Instinet BlockCross (BLKX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

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June 2022

Non-S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 83.21                                        | 3.53                                                       | 12.68                                                          | 0.59                                        |

Venues

| Venue -<br>Non-directed<br>Order Flow          | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| Citadel<br>Securities LLC<br>(CDRG)            | 27.34                          | 33.35                   | 28.57                             | 10.96                                     | 6.45                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 18.30                          | 23.67                   | 11.69                             | 4.32                                      | 3.23                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| VIRTU<br>Americas, LLC<br>(NITE)               | 17.33                          | 20.08                   | 46.75                             | 6.48                                      | 4.84                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| Jane Street<br>Capital, LLC<br>(JNST)          | 16.71                          | 21.38                   | 10.39                             | 4.98                                      | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| New York<br>Stock<br>Exchange<br>(NYSE)        | 4.92                           | 0.00                    | 2.60                              | 20.76                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| NASDAQ<br>Execution<br>Services, LLC<br>(NSDQ) | 4.23                           | 0.00                    | 0.00                              | 18.11                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |
| NYSE Arca<br>(ARCA)                            | 3.99                           | 0.00                    | 0.00                              | 17.11                                     | 0.00                   | 0                                                         | 0.0000                                                                          | 0                                                                    | 0.0000                                                                                       | 0                                                                         | 0.0000                                                                                            | 0                                                        | 0.0000                                                                         |

| Venue - Non-directed Order Flow       | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Cboe EDGX US Equities Exchange (EDGX) | 2.79                    | 0.00              | 0.00                        | 11.96                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Instinet BlockCross (BLKX)            | 1.90                    | 0.00              | 0.00                        | 0.00                            | 79.03            | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Members Exchange (MEMX)               | 1.05                    | 0.00              | 0.00                        | 4.49                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

Material Aspects:

Citadel Securities LLC (CDRG):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

G1 Execution Services, LLC (ETMM):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

VIRTU Americas, LLC (NITE):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Jane Street Capital, LLC (JNST):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

New York Stock Exchange (NYSE):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NASDAQ Execution Services, LLC (NSDQ):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

NYSE Arca (ARCA):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Cboe EDGX US Equities Exchange (EDGX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Instinet BlockCross (BLKX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Members Exchange (MEMX):  
[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

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June 2022

Options

Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|----------------------------------------|-------------------------------------------|-----------------------------------------------------|---------------------------------------------------------|------------------------------------------|
| 100.00                                 | 45.00                                     | 0.00                                                | 55.00                                                   | 0.00                                     |

## Venues

| Venue - Non-directed Order Flow         | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit 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)           | 35.00                   | 22.22             | 0.00                        | 45.45                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Dash Financial Technologies LLC (DASH)  | 30.00                   | 33.33             | 0.00                        | 27.27                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Wolverine Execution Services LLC (WEXX) | 20.00                   | 11.11             | 0.00                        | 27.27                           | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |
| Susquehanna Capital Group (SUSQ)        | 15.00                   | 33.33             | 0.00                        | 0.00                            | 0.00             | 0                                                | 0.0000                                                                | 0                                                          | 0.0000                                                                          | 0                                                              | 0.0000                                                                              | 0                                               | 0.0000                                                               |

## Material Aspects:

Citadel Securities LLC (CDRG):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Dash Financial Technologies LLC (DASH):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Wolverine Execution Services LLC (WEXX):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Susquehanna Capital Group (SUSQ):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

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 herein.

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.