STATE STREET GLOBAL MARKETS, LLC - Held NMS Stocks and Options Order Routing Public Report Generated on Fri Apr 07 2023 04:57:59 GMT-0400 (Eastern Daylight Time)

1st Quarter, 2023

January 2023

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	94.44	3.33	2.22	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)
National Financial Services LLC (XSTM)	37.96	0.00	0.00	0.00	98.11	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Citadel Securities LLC (CDRG)	21.90	35.44	100.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	17.52	30.38	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	13.87	24.05	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Jane Street Capital, LLC (JNST)	2.92	5.06	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Cboe EDGX US Equities Exchange (EDGX)	1.46	0.00	0.00	66.67	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Two Sigma Securities, LLC (SOHO)	1.46	2.53	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Instinet BlockCross (BLKX)	0.73	0.00	0.00	0.00	1.89	0	0.0000	0	0.0000	0	0.0000	0	0.0000
StoneX Financial INC. (INTL)	0.73	1.27	0.00	0.00	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)
New York Stock Exchange (NYSE)	0.73	0.00	0.00	33.33	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

National Financial Services LLC (XSTM):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routing equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books and charge explicit fees for orders that provide liquidity to their books. The credits are considered payment for order fow even though they may not offset the Broker such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker, it is conceivable such credits conceivable such cred

Citadel Securities LLC (CDRG):

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G1 Execution Services, LLC (ETMM):

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Two Sigma Securities, LLC (SOHO)

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Instinet BlockCross (BLKX):

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StoneX Financial INC. (INTL):

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New York Stock Exchange (NYSE):

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January 2023

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	89.09	3.64	7.27	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)
National Financial Services LLC (XSTM)	27.10	0.00	0.00	0.00	64.44	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Instinet BlockCross (BLKX)	14.95	0.00	0.00	0.00	35.56	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Citadel Securities LLC (CDRG)	14.95	28.57	100.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	14.02	30.61	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	14.02	30.61	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
NASDAQ Execution Services, LLC (NSDQ)	5.61	0.00	0.00	54.55	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Jane Street Capital, LLC (JNST)	3.74	8.16	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Cboe EDGX US Equities Exchange (EDGX)	2.80	0.00	0.00	27.27	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)	1.87	0.00	0.00	18.18	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Two Sigma Securities, LLC (SOHO)	0.93	2.04	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

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NASDAQ Execution Services, LLC (NSDQ):

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Choe EDGX US Equities Exchange (EDGX):

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Members Exchange (MEMX):

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January 2023

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
1	100.00	97.14	0.00	2.86	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)	100.00	0.00	0.00	100.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

Citadel Securities LLC (CDRG):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routing equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books. The credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or may or may or exceed the debits charged to the Broker for such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker, it is conceivable such credits conceivabl

February 2023

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	100.00	0.00	0.00	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)	33.33	42.31	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	21.21	26.92	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
National Financial Services LLC (XSTM)	21.21	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	18.18	23.08	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Jane Street Capital, LLC (JNST)	3.03	3.85	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Two Sigma Securities, LLC (SOHO)	3.03	3.85	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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National Financial Services LLC (XSTM):

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VIRTU Americas, LLC (NITE):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routing equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books because the state of the Broker for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or may or may or may or may not offset the Broker for such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker. However, it is conceivable such credits conceivable such credits out result in cash payments to the Broker.

Jane Street Capital, LLC (JNST):

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Two Sigma Securities, LLC (SOHO):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routes customer equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these executers to redits for orders that extract liquidity to their books and charge explicit fees for orders that extract liquidity from their books and charge explicit fees for orders that extract liquidity from their books and charge explicit fees for orders that extract liquidity from their books. The credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or exceed the debits are considered payment for order fow credits have resulted in the Broker received be such credits could result in any cash payments to the Broker. However, it is conceivable such credits could result in cash payments to the Broker.

February 2023

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
1	100.00	100.00	0.00	0.00	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)
National Financial Services LLC (XSTM)	27.27	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Citadel Securities LLC (CDRG)	25.00	34.38	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	20.45	28.13	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	18.18	25.00	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Jane Street Capital, LLC (JNST)	4.55	6.25	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Two Sigma Securities, LLC (SOHO)	4.55	6.25	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

National Financial Services LLC (XSTM):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routes customer equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books and charge explicit fees for orders that provide liquidity to their books. The credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given venue may or redit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker. It is conceivable such credits conceivable such credits conceivable such credits not read by apyments to the Broker.

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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Two Sigma Securities, LLC (SOHO):

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February 2023

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	95.83	0.00	4.17	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)	100.00	0.00	0.00	100.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

Citadel Securities LLC (CDRG):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routes customer equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books books and charge explicit fees for orders that provide liquidity to their books. The credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or wenue may or wenue may or exceed the debits charged to the Broker for such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker. However, it is conceivable such credits c

March 2023

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
1	100.00	95.83	0.00	4.17	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)
National Financial Services LLC (XSTM)	30.77	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	23.08	34.88	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Citadel Securities LLC (CDRG)	18.46	27.91	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	13.85	20.93	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Jane Street Capital, LLC (JNST)	6.15	9.30	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
StoneX Financial INC. (INTL)	1.54	2.33	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Members Exchange (MEMX)	1.54	0.00	0.00	50.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
NASDAQ Execution Services, LLC (NSDQ)	1.54	0.00	0.00	50.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Two Sigma Securities, LLC (SOHO)	1.54	2.33	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
UBS Securities, LLC (UBSS)	1.54	2.33	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

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Jane Street Capital, LLC (JNST):

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StoneX Financial INC. (INTL):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routing equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books while others offer cash credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or may not offset the Broker for such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker. However, it is conceivable such credits could result in cash payments to the Broker.

Members Exchange (MEMX):

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NASDAQ Execution Services, LLC (NSDQ):

State Street Global Markets, LLC (the Broker) does not receive payment for order fow or have a proft-sharing arrangement for routing equity orders (held only) to this venue/market maker. Please note, consistent with the requirements of Rule 606, the data above captures only a portion of the Brokers order fow. The Broker routing equity orders (not-held) to national securities exchanges, alternative trading systems, market centers and broker-dealers unafliated with the Broker. In exchange for the Broker routing equity orders to these execution venues, certain of these venues offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books while others offer cash credits for orders that provide liquidity to their books. The credits are considered payment for order fow even though they may not offset the Broker's aggregate payment obligations to the venue. In any given month, the credits received by the Broker from a given venue may or may not exceed the debits charged to the Broker for such period. Typically, these order fow credits have resulted in the Broker receiving a credit against a portion of the expenses due from the Broker and do not result in any cash payments to the Broker. However, it is conceivable such credits could result in cash payments to

Two Sigma Securities, LLC (SOHO):

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UBS Securities, LLC (UBSS)

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March 2023

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	91.67	8.33	0.00	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)
National Financial Services LLC (XSTM)	37.93	0.00	0.00	0.00	64.71	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Instinet BlockCross (BLKX)	20.69	0.00	0.00	0.00	35.29	0	0.0000	0	0.0000	0	0.0000	0	0.0000
VIRTU Americas, LLC (NITE)	17.24	45.45	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
Citadel Securities LLC (CDRG)	10.34	27.27	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
G1 Execution Services, LLC (ETMM)	10.34	27.27	0.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000
NASDAQ Execution Services, LLC (NSDQ)	3.45	0.00	100.00	0.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

National Financial Services LLC (XSTM):

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Instinet BlockCross (BLKX):

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VIRTU Americas, LLC (NITE)

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Citadel Securities LLC (CDRG):

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G1 Execution Services, LLC (ETMM):

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NASDAQ Execution Services, LLC (NSDQ):

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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
1	100.00	94.92	1.69	3.39	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)	100.00	0.00	100.00	100.00	0.00	0	0.0000	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

Citadel Securities LLC (CDRG):

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