

# WallachBeth Capital - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2020

October 2020

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## 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
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### 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(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)

Material Aspects:

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October 2020

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## 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
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Material Aspects:

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October 2020

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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
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### 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)
CDRG	94.03	0.00	100.00	52.27	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GEBB	5.97	0.00	0.00	47.73	0.00	0.0000	0.0000	0.0000	0.0000	-78.0000	-20.0000	0.0000	0.0000

### Material Aspects:

#### CDRG:

WallachBeth Capital pays exchange, regulatory, market data and clearing fees to CDRG – Citadel and receives exchange rebates as credits where applicable

#### GEBB:

Wallach Beth (WB) pays exchange, regulatory, market data and clearing fees to GEBB – Susquhanna and receives exchange rebates as credits where applicable WB also receives incremental pricing benefits if certain volume thresholds are met

## November 2020

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## 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
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### Material Aspects:

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## November 2020

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## Non-S&P 500 Stocks Summary

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#### Material Aspects:

## November 2020

### Options

#### Summary

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CDRG	90.77	0.00	96.25	46.51	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GEBB	9.23	0.00	3.75	53.49	0.00	0.0000	0.0000	-61.0000	-10.2000	-86.0000	-10.2000	0.0000	0.0000

#### Material Aspects:

##### CDRG:

WallachBeth Capital pays exchange, regulatory, market data and clearing fees to CDRG – Citadel and receives exchange rebates as credits where applicable

##### GEBB:

Wallach Beth (WB) pays exchange, regulatory, market data and clearing fees to GEBB – Susquahanna and receives exchange rebates as credits where applicable WB also receives incremental pricing benefits if certain volume thresholds are met

## December 2020

### S&P 500 Stocks

#### Summary

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## Venues

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Material Aspects:

December 2020

## 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
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Material Aspects:

December 2020

## Options

### Summary

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CDRG	83.74	0.00	90.78	36.51	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GEGB	16.26	0.00	9.22	63.49	0.00	0.0000	0.0000	-37.0000	-15.0000	-37.0000	-15.0000	0.0000	0.0000

Material Aspects:

CDRG:

WallachBeth Capital pays exchange, regulatory, market data and clearing fees to CDRG – Citadel and receives exchange rebates as credits where applicable

GEBB:

Wallach Beth (WB) pays exchange, regulatory, market data and clearing fees to GEBB – Susquhanna and receives exchange rebates as credits where applicable WB also receives incremental pricing benefits if certain volume thresholds are met