

B. Roker - Held NMS Stocks and Options Order Routing Public Report

Generated on Wed Apr 01 2020 18:55:48 GMT-0400 (Eastern Daylight Time)

1st Quarter, 2020

January 2020

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

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)
New York Stock Exchange LLC. (NYSE)													
NYSE Arca, Inc. (ARCA)													
BATS Exchange, Inc. (BATS)													
EDGX Exchange, Inc. (EDGX)													
The Nasdaq Stock Market LLC. (XNAS)													
B. Roker Exec and Clring (BREC)													
EDGA Exchange,Inc. (EDGA)													
TUBS Exchange, Inc. (TUBS)													
NASDAQ OMX BX. (BOSE)													

Material Aspects:

January 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

Venues

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New York Stock Exchange LLC. (NYSE)													
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BATS Exchange, Inc. (BATS)													
EDGX Exchange, Inc. (EDGX)													
The Nasdaq Stock Market LLC. (XNAS)													
B. Roker Exec and Clrng (BREC)													
EDGA Exchange,Inc. (EDGA)													
TUBS Exchange, Inc. (TUBS)													
NASDAQ OMX BX. (BOSE)													

Material Aspects:

January 2020

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

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)
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[illegible]

Material Aspects:

February 2020

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

Venues

[illegible]

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)
Boston Options Exchange Group (BOXX)													

Material Aspects:

March 2020

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

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)
New York Stock Exchange LLC. (NYSE)													
NYSE Arca, Inc. (ARCA)													
BATS Exchange, Inc. (BATS)													
EDGX Exchange, Inc. (EDGX)													
The Nasdaq Stock Market LLC. (XNAS)													
B. Roker Exec and Clrng (BREC)													
EDGA Exchange,Inc. (EDGA)													
BATS Exchange Y, Inc. (BATY)													
NASDAQ OMX BX. (BOSE)													

Material Aspects:

March 2020

Non-S&P 500 Stocks

Summary

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The Nasdaq Stock Market LLC. (XNAS)													
B. Roker Exec and Clrng (BREC)													
EDGA Exchange,Inc. (EDGA)													
BATS Exchange Y, Inc. (BATY)													
NASDAQ OMX BX. (BOSE)													

Material Aspects:

March 2020

Options

Summary

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BATS Options Exchange. (BATO)													
NYSE Arca, Inc. (PCXX)													
International Securities Exch (ISEE)													
Nasdaq Options Market LLC. (NOMM)													
Chicago Board Options Exchange (CBOE)													
NYSE MKT, LLC (AMEX)													
Nasdaq OMX PHLX,Inc (PHLX)													
C2 Options Exchange (COPT)													
Boston Options Exchange Group (BOXX)													

Material Aspects: