

B. RokerExempt Not-Held NMS stocks

Generated on Tue Nov 05 2019 11:58:06 GMT-0500 (Eastern Standard Time)

For C. Schtumer

Reporting Period 2019-12-01 to 2020-02-29

Orders - Exempt Not-Held NMS stocks

Order ID	Type	Venue	Time of Transaction (UTC)
27710	Directed	Venue One	2019-12-01 15:05:15
			2019-12-02 09:26:51
			2019-12-03 15:19:14
			2019-12-04 12:13:20
			2019-12-05 13:16:19
		Venue Two	2019-12-01 11:04:03
			2019-12-02 13:11:42
			2019-12-03 10:22:20
			2019-12-04 10:18:17
			2019-12-05 10:21:52
		Venue Three	2019-12-01 11:02:02
			2019-12-02 09:03:35
			2019-12-03 11:11:12
			2019-12-04 15:30:51
			2019-12-05 10:02:02
		Venue Four	2019-12-01 11:16:00
			2019-12-02 15:30:39
			2019-12-03 16:03:06
			2019-12-04 12:29:07
			2019-12-05 11:12:05
00545	Directed	Venue One	2019-12-01 16:24:26
			2019-12-02 13:12:15
			2019-12-03 14:09:02
			2019-12-04 16:22:54
			2019-12-05 12:03:31
		Venue Two	2019-12-01 14:06:21
			2019-12-02 12:11:08
			2019-12-03 16:27:49
			2019-12-04 11:09:42
			2019-12-05 15:15:23
		Venue Three	2019-12-01 10:26:14
			2019-12-02 16:19:03
			2019-12-03 13:15:21
			2019-12-04 12:30:17
			2019-12-05 13:08:12
		Venue Four	2019-12-01 16:05:16
			2019-12-02 16:14:54
			2019-12-03 11:24:55
			2019-12-04 15:06:47
			2019-12-05 09:26:11
04661	Directed	Venue One	2019-12-01 16:15:25
			2019-12-02 14:01:08
			2019-12-03 16:14:32
			2019-12-04 13:28:12
			2019-12-05 12:21:32
		Venue Two	2019-12-01 14:27:54

Order ID	Type	Venue	Time of Transaction (UTC)		
			2019-12-02 10:25:15		
			2019-12-03 11:13:55		
			2019-12-04 13:26:02		
			2019-12-05 11:17:15		
		Venue Three	2019-12-01 13:24:51		
		2019-12-02 11:08:54			
		2019-12-03 16:23:06			
		2019-12-04 09:28:05			
		2019-12-05 10:09:17			
		Venue Four	2019-12-01 14:19:50		
		2019-12-02 13:13:02			
		2019-12-03 09:06:05			
		2019-12-04 10:16:54			
		2019-12-05 12:13:02			
		23942	Non-Directed	Venue One	2019-12-01 16:08:05
					2019-12-02 11:01:07
2019-12-03 13:14:30					
2019-12-04 09:19:51					
2019-12-05 15:16:25					
Venue Two	2019-12-01 16:29:02				
2019-12-02 16:06:04					
2019-12-03 10:08:54					
2019-12-04 13:02:24					
2019-12-05 16:21:58					
Venue Three	2019-12-01 11:20:00				
2019-12-02 11:13:09					
2019-12-03 11:11:44					
2019-12-04 13:06:51					
2019-12-05 10:27:20					
Venue Four	2019-12-01 12:25:24				
2019-12-02 10:26:00					
2019-12-03 11:22:41					
2019-12-04 10:19:26					
2019-12-05 09:04:52					
19659	Directed	Venue One	2019-12-01 10:01:23		
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			2019-12-03 11:05:57		
			2019-12-04 14:29:40		
			2019-12-05 16:04:51		
		Venue Two	2019-12-01 15:22:23		
		2019-12-02 10:12:39			
		2019-12-03 11:16:26			
		2019-12-04 13:21:26			
		2019-12-05 10:24:24			
		Venue Three	2019-12-01 16:09:55		
		2019-12-02 09:12:02			
		2019-12-03 16:15:17			
		2019-12-04 14:02:57			
		2019-12-05 09:01:56			
		Venue Four	2019-12-01 09:22:25		
		2019-12-02 14:25:05			

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-03 15:21:09
			2019-12-04 16:13:56
			2019-12-05 15:17:34
17131	Non-Directed	Venue One	2019-12-01 11:30:46
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			2019-12-03 11:17:50
			2019-12-04 13:21:30
			2019-12-05 13:08:05
		Venue Two	2019-12-01 09:23:26
			2019-12-02 15:18:49
			2019-12-03 11:26:02
			2019-12-04 11:04:25
			2019-12-05 12:20:46
		Venue Three	2019-12-01 09:29:48
			2019-12-02 14:15:26
			2019-12-03 11:14:20
			2019-12-04 15:18:02
			2019-12-05 16:02:28
		Venue Four	2019-12-01 14:24:23
			2019-12-02 12:13:24
			2019-12-03 10:30:54
			2019-12-04 11:12:11
			2019-12-05 09:27:58
31316	Non-Directed	Venue One	2019-12-01 16:26:22
			2019-12-02 14:22:26
			2019-12-03 11:17:34
			2019-12-04 14:26:47
			2019-12-05 15:15:24
		Venue Two	2019-12-01 11:04:09
			2019-12-02 14:21:33
			2019-12-03 09:04:57
			2019-12-04 16:09:43
			2019-12-05 15:07:12
		Venue Three	2019-12-01 10:00:57
			2019-12-02 14:03:57
			2019-12-03 10:21:24
			2019-12-04 15:23:16
			2019-12-05 16:30:17
		Venue Four	2019-12-01 10:12:35
			2019-12-02 16:05:10
			2019-12-03 10:16:53
			2019-12-04 13:16:56
			2019-12-05 15:15:29
06031	Non-Directed	Venue One	2019-12-01 09:29:44
			2019-12-02 13:18:30
			2019-12-03 10:15:56
			2019-12-04 15:28:41
			2019-12-05 14:02:43
		Venue Two	2019-12-01 09:12:15
			2019-12-02 09:26:09
			2019-12-03 11:21:13

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-02 12:19:06
			2019-12-03 11:07:09
			2019-12-04 12:02:19
			2019-12-05 14:10:27
		Venue Four	2019-12-01 15:14:35
			2019-12-02 15:25:05
			2019-12-03 12:25:30
2019-12-04 09:07:51			
2019-12-05 15:10:31			
23637	Directed	Venue One	2019-12-01 11:19:06
			2019-12-02 15:18:22
			2019-12-03 13:19:20
			2019-12-04 14:23:28
			2019-12-05 11:24:51
		Venue Two	2019-12-01 12:04:29
			2019-12-02 13:28:19
			2019-12-03 14:13:40
			2019-12-04 14:08:01
			2019-12-05 14:03:30
		Venue Three	2019-12-01 15:04:30
			2019-12-02 10:30:17
			2019-12-03 16:18:19
			2019-12-04 10:07:48
			2019-12-05 16:08:39
		Venue Four	2019-12-01 13:24:59
			2019-12-02 10:20:49
			2019-12-03 11:27:32
			2019-12-04 09:15:54
			2019-12-05 13:03:00
09689	Non-Directed	Venue One	2019-12-01 13:02:11
			2019-12-02 14:03:45
			2019-12-03 12:02:59
			2019-12-04 10:03:36
			2019-12-05 14:20:28
		Venue Two	2019-12-01 12:25:42
			2019-12-02 10:28:36
			2019-12-03 15:22:39
			2019-12-04 13:04:12
			2019-12-05 14:21:03
		Venue Three	2019-12-01 13:11:55
			2019-12-02 11:05:52
			2019-12-03 12:04:17
			2019-12-04 13:21:00
			2019-12-05 14:18:42
		Venue Four	2019-12-01 14:25:09
			2019-12-02 16:03:20
			2019-12-03 15:18:46
			2019-12-04 15:15:03

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-02 10:08:11
			2019-12-03 09:26:10
			2019-12-04 16:12:43
			2019-12-05 10:04:44
		Venue Two	2019-12-01 11:02:30
			2019-12-02 15:10:26
			2019-12-03 09:25:07
			2019-12-04 13:27:42
			2019-12-05 09:06:19
		Venue Three	2019-12-01 11:21:45
			2019-12-02 16:25:00
			2019-12-03 13:10:05
			2019-12-04 13:29:24
			2019-12-05 10:27:21
		Venue Four	2019-12-01 12:26:12
			2019-12-02 10:15:15
			2019-12-03 13:19:58
			2019-12-04 10:16:37
			2019-12-05 09:22:28
29319	Directed	Venue One	2019-12-01 16:25:44
			2019-12-02 13:20:19
			2019-12-03 15:18:07
			2019-12-04 15:17:44
			2019-12-05 09:19:41
		Venue Two	2019-12-01 14:24:34
			2019-12-02 11:15:45
			2019-12-03 11:17:34
			2019-12-04 14:05:30
			2019-12-05 13:18:46
		Venue Three	2019-12-01 14:08:52
			2019-12-02 09:02:02
			2019-12-03 09:19:43
			2019-12-04 11:04:13
			2019-12-05 15:10:28
		Venue Four	2019-12-01 10:01:06
			2019-12-02 09:07:09
			2019-12-03 09:22:27
			2019-12-04 12:18:02
			2019-12-05 14:30:59
05120	Directed	Venue One	2019-12-01 11:28:33
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			2019-12-03 16:22:32
			2019-12-04 12:24:08
			2019-12-05 12:00:15
		Venue Two	2019-12-01 16:29:18
			2019-12-02 15:23:23
			2019-12-03 11:03:04
			2019-12-04 13:03:36
			2019-12-05 11:18:44

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-03 16:02:44
			2019-12-04 16:30:22
			2019-12-05 11:30:06
		Venue Four	2019-12-01 16:29:54
			2019-12-02 10:30:45
			2019-12-03 12:30:27
			2019-12-04 15:27:25
			2019-12-05 12:15:25
22012	Non-Directed	Venue One	2019-12-01 13:03:24
			2019-12-02 14:09:54
			2019-12-03 09:21:16
			2019-12-04 15:09:42
			2019-12-05 15:22:03
		Venue Two	2019-12-01 09:21:07
			2019-12-02 16:21:35
			2019-12-03 11:07:54
			2019-12-04 11:24:37
			2019-12-05 12:22:55
		Venue Three	2019-12-01 13:05:25
			2019-12-02 13:06:18
			2019-12-03 14:20:48
			2019-12-04 09:10:05
			2019-12-05 15:07:45
		Venue Four	2019-12-01 09:04:08
			2019-12-02 16:00:26
			2019-12-03 15:13:34
			2019-12-04 13:24:49
			2019-12-05 15:00:01
06451	Non-Directed	Venue One	2019-12-01 14:07:25
			2019-12-02 09:01:20
			2019-12-03 14:24:20
			2019-12-04 11:27:50
			2019-12-05 16:24:26
		Venue Two	2019-12-01 09:27:23
			2019-12-02 10:13:06
			2019-12-03 16:30:55
			2019-12-04 12:06:29
			2019-12-05 15:10:46
		Venue Three	2019-12-01 09:27:13
			2019-12-02 11:14:08
			2019-12-03 16:00:04
			2019-12-04 10:04:32
			2019-12-05 15:16:40
		Venue Four	2019-12-01 11:01:27
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			2019-12-03 13:26:45
			2019-12-04 11:14:09
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10474	Directed	Venue One	2019-12-01 16:15:03

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-03 11:06:54
			2019-12-04 13:06:00
			2019-12-05 10:10:41
		Venue Two	2019-12-01 16:15:35
		2019-12-02 16:26:59	
		2019-12-03 09:19:57	
		2019-12-04 11:22:51	
		2019-12-05 11:23:43	
		Venue Three	2019-12-01 14:21:23
		2019-12-02 11:04:43	
		2019-12-03 11:28:18	
		2019-12-04 11:28:21	
		2019-12-05 11:08:21	
		Venue Four	2019-12-01 14:17:06
		2019-12-02 11:30:54	
2019-12-03 13:01:16			
2019-12-04 12:17:23			
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30772	Directed	Venue One	2019-12-01 15:11:37
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			2019-12-03 16:00:03
			2019-12-04 13:13:16
			2019-12-05 14:02:54
		Venue Two	2019-12-01 16:28:15
		2019-12-02 09:01:11	
		2019-12-03 11:22:48	
		2019-12-04 15:14:03	
		2019-12-05 15:11:54	
		Venue Three	2019-12-01 16:29:09
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		2019-12-03 12:30:43	
		2019-12-04 16:25:39	
		2019-12-05 13:20:09	
		Venue Four	2019-12-01 09:28:24
		2019-12-02 12:04:10	
		2019-12-03 09:01:17	
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		2019-12-05 14:18:08	
21415	Directed	Venue One	2019-12-01 16:28:04
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			2019-12-03 11:16:00
			2019-12-04 12:08:44
			2019-12-05 15:30:45
		Venue Two	2019-12-01 16:13:02
		2019-12-02 10:00:00	
		2019-12-03 11:22:19	
		2019-12-04 12:17:16	
		2019-12-05 11:10:13	
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		2019-12-02 12:09:45	

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-03 16:20:56
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			2019-12-05 13:27:17
		Venue Four	2019-12-01 10:27:51
			2019-12-02 09:05:21
			2019-12-03 14:00:32
			2019-12-04 12:05:27
			2019-12-05 13:25:13
		03677	Directed
2019-12-02 15:26:52			
2019-12-03 16:21:05			
2019-12-04 11:06:02			
2019-12-05 12:01:01			
Venue Two	2019-12-01 15:16:16		
	2019-12-02 12:24:50		
	2019-12-03 15:30:22		
	2019-12-04 15:05:14		
	2019-12-05 12:20:42		
Venue Three	2019-12-01 13:01:24		
	2019-12-02 15:02:16		
	2019-12-03 16:29:13		
	2019-12-04 11:06:00		
	2019-12-05 13:18:19		
Venue Four	2019-12-01 10:17:45		
	2019-12-02 09:05:19		
	2019-12-03 10:21:41		
	2019-12-04 09:26:05		
	2019-12-05 15:18:38		
11743	Directed	Venue One	2019-12-01 14:06:43
			2019-12-02 16:12:52
			2019-12-03 16:27:29
			2019-12-04 13:02:00
			2019-12-05 13:05:18
		Venue Two	2019-12-01 15:13:15
			2019-12-02 16:11:07
			2019-12-03 11:26:25
			2019-12-04 11:04:52
			2019-12-05 16:00:29
		Venue Three	2019-12-01 13:18:05
			2019-12-02 11:13:23
			2019-12-03 14:17:52
			2019-12-04 12:04:40
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		Venue Four	2019-12-01 13:02:44
			2019-12-02 10:11:39
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			2019-12-05 09:26:47
07327	Directed	Venue One	2019-12-01 15:16:51
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Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-05 12:06:44
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			2019-12-02 11:03:09
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			2019-12-04 14:08:36
			2019-12-05 16:18:10
		Venue Three	2019-12-01 15:15:11
			2019-12-02 11:15:04
			2019-12-03 15:05:34
			2019-12-04 15:25:41
			2019-12-05 10:20:31
		Venue Four	2019-12-01 13:12:17
			2019-12-02 14:16:42
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2019-12-05 15:01:02			
16264	Non-Directed	Venue One	2019-12-01 10:17:34
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			2019-12-03 09:16:40
			2019-12-04 11:25:26
			2019-12-05 14:24:32
		Venue Two	2019-12-01 14:27:59
			2019-12-02 14:30:51
			2019-12-03 09:27:15
			2019-12-04 09:26:05
			2019-12-05 10:15:50
		Venue Three	2019-12-01 14:16:59
			2019-12-02 15:26:13
			2019-12-03 10:15:05
			2019-12-04 12:20:04
			2019-12-05 15:03:30
		Venue Four	2019-12-01 13:23:38
2019-12-02 09:15:28			
2019-12-03 14:11:00			
2019-12-04 10:25:02			
2019-12-05 11:20:55			
26879	Non-Directed	Venue One	2019-12-01 12:08:36
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			2019-12-03 13:25:08
			2019-12-04 15:23:40
			2019-12-05 11:20:04
		Venue Two	2019-12-01 09:13:47
			2019-12-02 16:25:11
			2019-12-03 15:22:50
			2019-12-04 09:14:01
			2019-12-05 16:23:39
		Venue Three	2019-12-01 16:12:39
			2019-12-02 13:27:58
			2019-12-03 10:26:29
			2019-12-04 13:28:21

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-05 09:15:53
		Venue Four	2019-12-01 12:11:41
			2019-12-02 12:21:14
			2019-12-03 09:11:05
			2019-12-04 10:27:08
			2019-12-05 15:24:54
02463	Non-Directed	Venue One	2019-12-01 14:01:31
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			2019-12-03 14:14:25
			2019-12-04 14:18:45
			2019-12-05 12:19:28
		Venue Two	2019-12-01 12:09:20
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			2019-12-03 13:04:23
			2019-12-04 13:28:40
			2019-12-05 10:29:56
		Venue Three	2019-12-01 12:27:03
			2019-12-02 12:01:48
			2019-12-03 11:07:32
			2019-12-04 15:25:32
			2019-12-05 14:14:12
		Venue Four	2019-12-01 16:12:08
			2019-12-02 13:08:42
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			2019-12-04 10:25:31
			2019-12-05 16:30:47
19088	Directed	Venue One	2019-12-01 13:28:55
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			2019-12-05 13:01:50
		Venue Two	2019-12-01 11:17:24
			2019-12-02 15:29:37
			2019-12-03 12:12:49
			2019-12-04 10:15:30
			2019-12-05 14:19:31
		Venue Three	2019-12-01 10:16:14
			2019-12-02 09:17:11
			2019-12-03 09:04:01
			2019-12-04 10:04:03
			2019-12-05 09:02:56
		Venue Four	2019-12-01 16:12:04
			2019-12-02 16:04:10
			2019-12-03 14:05:14
			2019-12-04 11:09:42
			2019-12-05 14:14:32

Unable to render more than 500 Exempt Not-Held NMS stocks transactions. Open larger 606(b)(1) XML files in a spreadsheet or other application.