

B. RokerHeld NMS Stocks

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

For C. Shtumer

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

Orders - Held NMS Stocks

Order ID	Type	Venue	Time of Transaction (UTC)
00471	Directed	Venue One	2019-12-01 14:11:02
			2019-12-02 16:30:02
			2019-12-03 09:12:03
			2019-12-04 10:23:08
			2019-12-05 09:12:54
		Venue Two	2019-12-01 13:09:29
			2019-12-02 12:08:01
			2019-12-03 11:13:56
			2019-12-04 14:29:12
			2019-12-05 10:18:08
		Venue Three	2019-12-01 13:23:51
			2019-12-02 10:13:33
			2019-12-03 13:15:49
			2019-12-04 13:11:55
			2019-12-05 15:09:02
		Venue Four	2019-12-01 13:29:01
			2019-12-02 14:05:23
			2019-12-03 11:14:07
			2019-12-04 14:28:49
			2019-12-05 12:25:49
13453	Directed	Venue One	2019-12-01 12:24:36
			2019-12-02 16:10:46
			2019-12-03 14:28:50
			2019-12-04 16:12:24
			2019-12-05 16:01:25
		Venue Two	2019-12-01 13:21:39
			2019-12-02 15:05:13
			2019-12-03 12:10:03
			2019-12-04 15:18:03
			2019-12-05 12:03:40
		Venue Three	2019-12-01 15:09:53
			2019-12-02 12:06:08
			2019-12-03 13:16:55
			2019-12-04 11:20:30
			2019-12-05 16:06:06
		Venue Four	2019-12-01 10:07:34
			2019-12-02 16:26:04
			2019-12-03 15:12:01
			2019-12-04 11:06:36
			2019-12-05 09:21:38
29087	Directed	Venue One	2019-12-01 09:22:04
			2019-12-02 10:07:31
			2019-12-03 15:09:41
			2019-12-04 13:07:14
			2019-12-05 13:13:54
		Venue Two	2019-12-01 15:06:14

Order ID	Type	Venue	Time of Transaction (UTC)		
			2019-12-02 09:18:26		
			2019-12-03 14:17:21		
			2019-12-04 16:13:40		
			2019-12-05 15:02:25		
		Venue Three	2019-12-01 15:19:00		
		2019-12-02 13:19:30			
		2019-12-03 14:20:51			
		2019-12-04 09:05:09			
		2019-12-05 15:18:24			
		Venue Four	2019-12-01 10:29:29		
		2019-12-02 15:08:29			
		2019-12-03 13:12:26			
		2019-12-04 12:27:28			
		2019-12-05 16:28:57			
		17318	Non-Directed	Venue One	2019-12-01 13:27:26
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			2019-12-03 12:22:51		
			2019-12-04 09:03:38		
			2019-12-05 11:18:52		
		Venue Two	2019-12-01 11:20:15		
			2019-12-02 16:21:41		
			2019-12-03 14:21:30		
			2019-12-04 13:26:41		
			2019-12-05 14:09:22		
		Venue Three	2019-12-01 13:18:11		
			2019-12-02 16:20:23		
			2019-12-03 13:14:33		
			2019-12-04 11:12:26		
			2019-12-05 16:12:48		
		Venue Four	2019-12-01 12:14:17		
			2019-12-02 15:00:38		
			2019-12-03 13:00:32		
			2019-12-04 13:22:06		
			2019-12-05 10:11:27		
07551	Directed	Venue One	2019-12-01 10:03:22		
			2019-12-02 14:04:31		
			2019-12-03 13:20:49		
			2019-12-04 14:03:43		
			2019-12-05 11:01:28		
		Venue Two	2019-12-01 16:07:13		
			2019-12-02 14:24:55		
			2019-12-03 09:01:48		
			2019-12-04 13:10:18		
			2019-12-05 14:14:16		
		Venue Three	2019-12-01 10:22:25		
			2019-12-02 15:04:52		
			2019-12-03 13:21:56		
			2019-12-04 11:11:34		
			2019-12-05 11:00:47		
		Venue Four	2019-12-01 11:27:12		
			2019-12-02 11:10:46		

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-04 11:30:24
			2019-12-05 14:09:28
08905	Directed	Venue One	2019-12-01 12:02:03
			2019-12-02 16:29:45
			2019-12-03 14:01:32
			2019-12-04 11:05:20
			2019-12-05 10:06:35
		Venue Two	2019-12-01 13:21:45
			2019-12-02 09:05:16
			2019-12-03 10:21:13
			2019-12-04 09:20:17
			2019-12-05 10:30:29
		Venue Three	2019-12-01 16:23:04
			2019-12-02 15:28:05
			2019-12-03 16:12:54
			2019-12-04 11:20:00
			2019-12-05 16:29:57
		Venue Four	2019-12-01 14:15:34
			2019-12-02 09:19:04
			2019-12-03 10:17:57
			2019-12-04 11:19:17
			2019-12-05 09:24:51
29812	Directed	Venue One	2019-12-01 14:02:23
			2019-12-02 10:19:34
			2019-12-03 13:11:43
			2019-12-04 10:22:53
			2019-12-05 11:21:38
		Venue Two	2019-12-01 14:20:34
			2019-12-02 13:29:00
			2019-12-03 11:00:29
			2019-12-04 13:12:21
			2019-12-05 12:19:23
		Venue Three	2019-12-01 14:12:01
			2019-12-02 14:18:08
			2019-12-03 11:30:21
			2019-12-04 14:30:41
			2019-12-05 10:22:09
		Venue Four	2019-12-01 09:07:44
			2019-12-02 16:28:13
			2019-12-03 10:20:41
			2019-12-04 11:24:17
			2019-12-05 12:09:36
31151	Non-Directed	Venue One	2019-12-01 12:23:41
			2019-12-02 16:28:41
			2019-12-03 11:19:29
			2019-12-04 12:16:29
			2019-12-05 15:13:32
		Venue Two	2019-12-01 11:30:57
			2019-12-02 09:29:40
			2019-12-03 16:29:46

Order ID	Type	Venue	Time of Transaction (UTC)		
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			2019-12-03 15:01:20		
			2019-12-04 12:21:19		
			2019-12-05 15:01:42		
			2019-12-05 15:01:42		
		Venue Four	2019-12-01 16:20:52		
			2019-12-02 09:20:57		
			2019-12-03 10:18:31		
			2019-12-04 14:24:02		
			2019-12-05 16:03:28		
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2019-12-02 16:17:25					
2019-12-03 15:28:37					
2019-12-04 16:28:09					
2019-12-05 15:09:29					
Venue Two	2019-12-01 13:30:21				
	2019-12-02 09:03:02				
	2019-12-03 10:25:13				
	2019-12-04 11:07:17				
	2019-12-05 10:25:33				
Venue Three	2019-12-01 14:27:40				
	2019-12-02 10:13:50				
	2019-12-03 11:09:38				
	2019-12-04 13:01:08				
	2019-12-05 11:26:37				
Venue Four	2019-12-01 09:17:10				
	2019-12-02 13:28:28				
	2019-12-03 13:01:44				
	2019-12-04 11:21:25				
	2019-12-05 10:14:35				
	2019-12-05 10:14:35				
	2019-12-05 10:14:35				
	2019-12-05 10:14:35				
31949	Directed			Venue One	2019-12-01 15:29:40
					2019-12-02 09:04:29
					2019-12-03 12:24:15
					2019-12-04 10:11:35
					2019-12-05 09:10:18
		Venue Two	2019-12-01 13:09:49		
			2019-12-02 09:10:14		
			2019-12-03 15:01:22		
			2019-12-04 14:01:20		
			2019-12-05 16:21:00		
		Venue Three	2019-12-01 16:18:37		
			2019-12-02 09:18:33		
			2019-12-03 09:03:06		
			2019-12-04 10:08:21		
			2019-12-05 13:23:50		
		Venue Four	2019-12-01 13:05:28		
			2019-12-02 15:05:54		
			2019-12-03 10:08:29		
			2019-12-04 11:09:31		

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-04 09:06:41
			2019-12-05 11:03:12
		Venue Two	2019-12-01 16:18:06
			2019-12-02 12:25:26
			2019-12-03 16:21:01
			2019-12-04 11:05:27
			2019-12-05 13:29:56
		Venue Three	2019-12-01 09:20:21
			2019-12-02 11:24:31
			2019-12-03 10:09:34
			2019-12-04 12:23:54
			2019-12-05 13:00:02
		Venue Four	2019-12-01 16:25:04
			2019-12-02 15:15:17
			2019-12-03 10:24:14
			2019-12-04 09:10:29
			2019-12-05 12:20:55
30057	Non-Directed	Venue One	2019-12-01 09:00:27
			2019-12-02 14:20:52
			2019-12-03 16:15:31
			2019-12-04 11:29:48
			2019-12-05 16:07:24
		Venue Two	2019-12-01 10:24:11
			2019-12-02 10:03:21
			2019-12-03 09:20:35
			2019-12-04 09:12:20
			2019-12-05 16:06:14
		Venue Three	2019-12-01 09:22:16
			2019-12-02 16:17:15
			2019-12-03 12:07:05
			2019-12-04 11:04:51
			2019-12-05 12:17:09
		Venue Four	2019-12-01 15:18:37
			2019-12-02 14:04:25
			2019-12-03 12:01:37
			2019-12-04 14:08:22
			2019-12-05 15:10:57
23653	Directed	Venue One	2019-12-01 13:26:54
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			2019-12-03 14:23:04
			2019-12-04 09:05:13
			2019-12-05 15:26:18
		Venue Two	2019-12-01 09:11:30
			2019-12-02 16:23:00
			2019-12-03 13:18:20
			2019-12-04 09:27:25
			2019-12-05 13:29:26

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-03 11:20:58
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			2019-12-05 14:14:28
		Venue Four	2019-12-01 13:20:22
			2019-12-02 16:07:04
			2019-12-03 14:17:39
			2019-12-04 13:06:02
			2019-12-05 13:06:15
31757	Non-Directed	Venue One	2019-12-01 15:14:52
			2019-12-02 16:09:23
			2019-12-03 16:30:29
			2019-12-04 14:23:30
			2019-12-05 09:15:31
		Venue Two	2019-12-01 14:00:06
			2019-12-02 16:06:55
			2019-12-03 16:13:04
			2019-12-04 09:21:41
			2019-12-05 13:27:18
		Venue Three	2019-12-01 13:12:06
			2019-12-02 13:08:24
			2019-12-03 10:26:13
			2019-12-04 14:13:56
			2019-12-05 10:25:06
		Venue Four	2019-12-01 11:20:58
			2019-12-02 14:04:28
			2019-12-03 15:12:57
			2019-12-04 16:23:02
			2019-12-05 10:09:15
07426	Directed	Venue One	2019-12-01 15:08:54
			2019-12-02 13:02:48
			2019-12-03 10:13:01
			2019-12-04 14:19:58
			2019-12-05 16:14:41
		Venue Two	2019-12-01 14:11:06
			2019-12-02 11:01:44
			2019-12-03 14:29:31
			2019-12-04 11:05:23
			2019-12-05 16:30:11
		Venue Three	2019-12-01 12:12:40
			2019-12-02 15:19:22
			2019-12-03 16:15:59
			2019-12-04 16:02:55
			2019-12-05 15:07:05
		Venue Four	2019-12-01 15:09:49
			2019-12-02 15:16:03
			2019-12-03 13:17:27
			2019-12-04 12:13:26
			2019-12-05 15:27:40
14985	Non-Directed	Venue One	2019-12-01 11:18:41

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-02 12:12:10
			2019-12-03 11:09:47
			2019-12-04 14:09:28
			2019-12-05 09:08:38
		Venue Two	2019-12-01 14:03:05
			2019-12-02 16:27:19
			2019-12-03 15:25:42
			2019-12-04 10:18:36
			2019-12-05 09:15:36
		Venue Three	2019-12-01 11:19:14
			2019-12-02 16:22:52
			2019-12-03 16:29:43
			2019-12-04 14:07:22
			2019-12-05 11:11:24
		Venue Four	2019-12-01 14:09:30
			2019-12-02 14:15:29
			2019-12-03 12:20:00
			2019-12-04 11:21:13
			2019-12-05 15:27:43
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2019-12-03 09:17:56			
2019-12-04 15:22:23			
2019-12-05 10:29:08			
Venue Two	2019-12-01 12:11:40		
	2019-12-02 13:24:47		
	2019-12-03 10:00:25		
	2019-12-04 15:12:57		
	2019-12-05 15:22:47		
Venue Three	2019-12-01 09:03:07		
	2019-12-02 12:16:07		
	2019-12-03 15:23:33		
	2019-12-04 09:08:05		
	2019-12-05 13:27:52		
Venue Four	2019-12-01 10:27:22		
	2019-12-02 12:18:35		
	2019-12-03 15:04:59		
	2019-12-04 11:26:25		
	2019-12-05 11:05:44		
21659	Directed	Venue One	2019-12-01 10:27:09
			2019-12-02 16:29:37
			2019-12-03 15:29:48
			2019-12-04 13:14:28
			2019-12-05 14:16:18
		Venue Two	2019-12-01 13:01:38
			2019-12-02 15:04:37
			2019-12-03 11:02:26
			2019-12-04 13:15:21
			2019-12-05 13:03:34
		Venue Three	2019-12-01 15:24:15
			2019-12-02 11:05:43

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-04 11:20:18
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		Venue Four	2019-12-01 11:02:25
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			2019-12-03 13:02:32
			2019-12-04 13:27:27
			2019-12-05 14:00:20
06606	Non-Directed	Venue One	2019-12-01 16:24:35
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			2019-12-03 10:21:34
			2019-12-04 14:13:47
			2019-12-05 09:02:11
		Venue Two	2019-12-01 15:25:23
			2019-12-02 13:24:12
			2019-12-03 16:15:24
			2019-12-04 12:05:45
			2019-12-05 14:03:20
		Venue Three	2019-12-01 15:24:38
			2019-12-02 14:24:45
			2019-12-03 10:29:01
			2019-12-04 14:18:39
			2019-12-05 09:22:46
		Venue Four	2019-12-01 15:19:38
			2019-12-02 10:24:55
			2019-12-03 09:00:40
			2019-12-04 14:15:50
			2019-12-05 09:13:38
30785	Directed	Venue One	2019-12-01 15:01:52
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			2019-12-03 11:00:08
			2019-12-04 13:06:54
			2019-12-05 09:07:47
		Venue Two	2019-12-01 10:29:14
			2019-12-02 14:04:36
			2019-12-03 13:16:23
			2019-12-04 15:16:59
			2019-12-05 14:19:25
		Venue Three	2019-12-01 16:27:59
			2019-12-02 12:10:54
			2019-12-03 16:15:59
			2019-12-04 12:16:44
			2019-12-05 11:29:06
		Venue Four	2019-12-01 16:16:27
			2019-12-02 09:24:09
			2019-12-03 11:08:05
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			2019-12-05 13:04:22
08610	Non-Directed	Venue One	2019-12-01 13:25:46
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Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-05 15:07:54
		Venue Two	2019-12-01 14:25:46
			2019-12-02 15:05:57
			2019-12-03 16:20:32
			2019-12-04 14:11:59
			2019-12-05 14:30:01
		Venue Three	2019-12-01 09:09:32
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			2019-12-03 09:15:05
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		Venue Four	2019-12-01 11:02:53
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			2019-12-03 11:18:23
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2019-12-05 14:09:11			
02209	Non-Directed	Venue One	2019-12-01 16:18:14
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			2019-12-03 14:18:49
			2019-12-04 10:11:41
			2019-12-05 15:27:25
		Venue Two	2019-12-01 11:12:16
			2019-12-02 16:02:28
			2019-12-03 13:14:32
			2019-12-04 16:05:06
			2019-12-05 13:24:03
		Venue Three	2019-12-01 09:04:47
			2019-12-02 11:25:21
			2019-12-03 16:18:49
			2019-12-04 10:22:03
			2019-12-05 16:22:35
		Venue Four	2019-12-01 13:10:53
			2019-12-02 15:27:51
			2019-12-03 12:13:33
			2019-12-04 10:19:05
			2019-12-05 15:26:19
11490	Non-Directed	Venue One	2019-12-01 13:12:34
			2019-12-02 09:02:32
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			2019-12-04 16:06:47
			2019-12-05 13:05:01
		Venue Two	2019-12-01 10:14:47
			2019-12-02 13:05:28
			2019-12-03 16:26:59
			2019-12-04 15:27:08
			2019-12-05 15:00:47
		Venue Three	2019-12-01 15:01:48
			2019-12-02 13:30:48
			2019-12-03 13:02:21
			2019-12-04 11:15:06

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-05 15:26:54
		Venue Four	2019-12-01 16:25:36
			2019-12-02 09:07:37
			2019-12-03 14:12:25
			2019-12-04 10:21:10
			2019-12-05 09:07:35
13442	Non-Directed	Venue One	2019-12-01 15:02:30
			2019-12-02 15:18:52
			2019-12-03 09:09:16
			2019-12-04 12:23:56
			2019-12-05 11:27:44
		Venue Two	2019-12-01 14:27:46
			2019-12-02 11:09:11
			2019-12-03 14:21:44
			2019-12-04 11:26:45
			2019-12-05 16:14:58
		Venue Three	2019-12-01 12:29:21
			2019-12-02 15:29:56
			2019-12-03 11:06:38
			2019-12-04 13:19:43
			2019-12-05 14:07:28
		Venue Four	2019-12-01 11:19:53
			2019-12-02 12:12:13
			2019-12-03 13:03:17
			2019-12-04 16:20:49
			2019-12-05 11:01:49
15921	Directed	Venue One	2019-12-01 11:04:46
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			2019-12-04 16:09:55
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		Venue Two	2019-12-01 10:04:40
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			2019-12-04 12:23:45
			2019-12-05 09:20:16
		Venue Three	2019-12-01 12:04:56
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			2019-12-03 14:19:45
			2019-12-04 09:06:13
			2019-12-05 10:00:03
		Venue Four	2019-12-01 15:30:56
			2019-12-02 10:02:18
			2019-12-03 09:29:11
			2019-12-04 15:12:42
			2019-12-05 13:17:56

Unable to render more than 500 Held NMS Stocks transactions. Open larger 606(b)(1) XML files in a spreadsheet or other application.