

## B. Roker - Held 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

Order ID	Type	Venue	Time of Transaction (UTC)
		Venue Two	2019-12-01 15:06:14
			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
			2019-12-02 11:17:35
			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

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-02 11:10:46
			2019-12-03 15:27:17
			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

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-04 16:07:38
			2019-12-05 12:06:53
		Venue Three	2019-12-01 13:01:35
			2019-12-02 15:27:22
			2019-12-03 15:01:20
			2019-12-04 12:21:19
			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
27354	Directed	Venue One	2019-12-01 11:26:10
			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
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

Order ID	Type	Venue	Time of Transaction (UTC)
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			2019-12-05 16:05:36
11926	Directed	Venue One	2019-12-01 16:19:59
			2019-12-02 12:21:51
			2019-12-03 10:04:11
			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
			2019-12-02 13:01:52
			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

Order ID	Type	Venue	Time of Transaction (UTC)
		Venue Three	2019-12-05 13:29:26
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			2019-12-02 15:23:42
			2019-12-03 11:20:58
			2019-12-04 16:01:05
			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

Order ID	Type	Venue	Time of Transaction (UTC)
14985	Non-Directed	Venue One	2019-12-01 11:18:41
			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
06215	Directed	Venue One	2019-12-01 15:29:16
			2019-12-02 16:27:00
			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

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-02 11:05:43
			2019-12-03 10:04:10
			2019-12-04 11:20:18
			2019-12-05 09:28:10
		Venue Four	2019-12-01 11:02:25
			2019-12-02 15:23:04
			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
			2019-12-02 13:12:19
			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
			2019-12-02 11:22:01
			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
			2019-12-04 09:07:43
			2019-12-05 13:04:22
08610	Non-Directed	Venue One	2019-12-01 13:25:46
			2019-12-02 14:13:23

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-03 10:26:34
			2019-12-04 09:29:14
			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
			2019-12-02 13:04:46
			2019-12-03 09:15:05
			2019-12-04 13:26:42
			2019-12-05 13:17:29
		Venue Four	2019-12-01 11:02:53
			2019-12-02 14:02:20
			2019-12-03 11:18:23
			2019-12-04 11:17:27
			2019-12-05 14:09:11
02209	Non-Directed	Venue One	2019-12-01 16:18:14
			2019-12-02 13:19:34
			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
			2019-12-03 10:23:36
			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

Order ID	Type	Venue	Time of Transaction (UTC)
			2019-12-04 11:15:06
			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
			2019-12-02 13:15:08
			2019-12-03 13:29:44
			2019-12-04 16:09:55
			2019-12-05 16:08:02
		Venue Two	2019-12-01 10:04:40
			2019-12-02 16:21:50
			2019-12-03 10:11:00
			2019-12-04 12:23:45
			2019-12-05 09:20:16
		Venue Three	2019-12-01 12:04:56
			2019-12-02 13:18:32
			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.