USCA SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report Generated on Mon Jan 09 2023 06:43:51 GMT-5 EST 4th Quarter, 2022

October 2022 S&P 500 Stocks Summary

											Non-Market				
		Non-Directed			Market Orders as %			Marketable Limit			Limit Orders	as % of		Other Orders	as %
Total Non-D	irected	Orders as % of All	Total Market		of Non-Directed	Total Marketable		Orders as % of No	et-		Non-Directe	8		of Non-Direct	ed be
Orders		Orders	Orders		Orders	Limit Orders		Directed Orders		Total Non-Marketable Limit Orders	Orders		Total Other Orders	Orders	
	2,293	100.	30	2,214	96.5		4	0	17		75	3.27	6		0.00
Venues															

Venues Venue - Non- Non-Direct directed Order Flow Orders	ted Non-Direct Orders(%)		rs Market Or	Marketable Lim ders(%) Orders	it Marketable Limit Orders(%)	Non-Marketabl Limit Orders	ie Non-Marketa Limit Orders(Other Orders	Net Payment Paid/Received fo 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)	per hundred			
National Financial Services LLC(XSTM) Citadel Securities LLC(CDRG) G1 Execution	1,392 734	36.02 18.99	0 727	0.00 36.61	0	0.00 25.00	0	0.00	1,392 0	97.21 0.00	0	0	0	0	0	0	0	0 0
Services, LLC(ETMM) WIRTU Americas, LLC(NITE) Jane Street Capital, LLC(NIST)	478 457 291	12.37 11.82 7.53	477 456 290	24.02 22.96 14.60	1 0 0	25.00 0.00 0.00	0 1 1	0.00 0.23 0.23	0 0	0.00 0.00 0.00	0 0	0 0	-	0	0 0	0 0	0 0	0 0 0
New York Stock Exchange(NYSE) NASDAQ Execution Services, LLC(NSDD)	272	7.04	0	0.00	2	50.00	270	60.95	0	0.00	0	0	0	0	0	0	0	0
Choe EDGX US Equities Exchange(EDGX) Instinet BlockCross(BLKX)	45	1.16	0	0.00	0	0.00	45 0	10.16	0 40	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	23	0.60	0	0.00	0	0.00	23	5.19	0	0.00	0	0	0	0	0	0	0	0

Non-S&P 500 Stocks Summary

														Non-Marketabl				
		Non-Directed				Market Orders	i as %			Marketable Limit				Limit Orders as	% of		Other Orders a	s %
Total Non-Dire	cted	Orders as % of A	11	Total Market		of Non-Directe	, d	Total Marketabl	le -	Orders as % of No	n-			Non-Directed			of Non-Directe	d
Orders		Orders		Orders		Orders		Limit Orders		Directed Orders		Total Non-Marketable Limit Orders		Orders		Total Other Orders	Orders	
	4,476	100	0.00		3,784		84.54		262	5.	85		43	5	9.61		0	0.00
Venues																		

Venue - Non- Non-Directed directed Order Flow Orders		m-Directed ders(%)	Market Orders	Market Orden		t Marketable Limit Orders(%)	Non-Marketa Limit Orders	Limit Orders(%		Other Orders		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)	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(cent: per hundred shares)	
 NYSE Arca(ARCA)	3,287	30	0.31	0	0.00	0	0.00	3,287	\$5.53	0	0.00	a	0	0	0	0	0	0	0
 National Financial																			
	2,861	26	6.38	0	0.00	0	0.00	0	0.00	2,861	95.88	0	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	1.521		4.03 1	,313	35.84	120	45.98	88	2.24		0.00		0	0	0				
VIRTU Americas.	1,521	14	4.03		30.64	120	40.30	88	2.24	0	0.00	u	0	0	0	0	0	0	0
	1.127	10	0.39	995	27.16	71	27.20	61	1.55	0	0.00	0	0	0	0	0	0	0	0
S1 Execution																			
Services,																			
LLC(ETMM)	941	1	8.68	824	22.49	61	23.37	56	1.42	0	0.00	0	0	0	0	0	0	0	0
lane Street Capital, LLC(JNST)	513		4.73	481	13.13	6	1.92	27	0.69	0	0.00	0	0	0	0	0	0	0	
New York Stock					13.13	5	1.94	10	0.07	0	0.00		0		0				
Exchange(NYSE)	161	:	1.48	0	0.00	0	0.00	161	4.09	0	0.00	0	0	0	0	0	0	0	0
instinet																			
BlockCross(BLKX)	123		1.13	0	0.00	0	0.00	0	0.00	123	4.12	0	0	0	0	0	0	0	0
Choe EDGX US Equities																			
Exchange(EDGX)	104		0.96	0	0.00	0	0.00	104	2.64	0	0.00	0	0	0	0	0	0	0	0
NASDAO Execution																			
NASDAQ Execution Services, LLC(NSDQ)	91	0	0.84	0	0.00	0	0.00	91	2.31	0	0.00	0	0	0	0	0	0	0	0

October 2022 Option Contracts Summary

Other Orders as %
of Non-Directed
Orders
0.00

V d	Yenues Yenue - Non- irected Order Flow Itadel Securities	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit s(%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketa 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)		per hundred		Net Payment Paid/Received for Other Orders(centr per hundred shares)	
	LC(CDRG)	3	51	44.26	283	47.09	7	53.85	61	34.08	0	0.00	0	0	0	0	0	0	0	0
6 0 1	usquehanna lapital iroup(SUSQ) lash Financial lechnologies LC(DASH)			25.73	195 69	32.45	5	38.46	4	2.23			0	-	0	0	0			0
E LI N	Volverine xecution Services LC(WEXX) Aorgan Stanley & iompany LC(MSCO)		92 41	11.60 5.17	22 32	3.66 5.32	0	0.00	70 9	39.11 5.03			0	-	0	0	0	0		0

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Venue - Non- Non-Directed directed Order Flow Orders	Non-I Order	Directed rs(%)	Market Orders	Market Orders(1	Marketable Limit S) Orders	Marketable Limit Orders(%)	Non-Mark Limit Orde			Other Orders(9	Net Payment Paid/Received for Market G 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)	per hundred	Net Payment Paid/Received for Other Orders(USD)		
National Financial Services LLC/XSTM1	1.202	32.24		0	0.00	0	0.00		0.00	1.202	98.28	0	0						
Citadel Securities	1,202	32.24	•	0	0.00	0	0.00	u	0.00	1,202	98.28	U	0	0	0	0		0	0
LLC(CDRG)	603	16.17	, s	i61 3	3.41	2	25.00	40	4.89	0	0.00	٥	0	0	0	0		•	0
VIRTU Americas,																			
LLC[NITE]	524	14.05	i 4	183 2	8.77	2	25.00	39	4.77	0	0.00	0	0	0	0	0	0 1	0	0
NASDAQ Execution Services, LLC(NSDQ) G1 Execution Services, LLC(ETMM) Jane Street Capital.	516 400	13.84			0.00	0	0.00	516 23	63.08	0	0.00	0	-	0	0	0	D 1	•	0 0
LLC[INST]	238	6.38	1 2	122 1	3.22	1	12.50	15	1.83	0	0.00	0	0	0	0	0		0	0
New York Stock Exchange(NYSE) Choe EDGX US Equities	93	2.49		0	0.00	0	0.00	93	11.37	0	0.00	0	0	0	0	0	0	0	0
Exchange(EDGX) Two Sigma	70	1.88	1	0	0.00	0	0.00	70	8.56	0	0.00	0	0	0	0	0	0	•	0
Securities, LLC(SOHO) Instinet	24	0.64		23	1.37	0	0.00	1	0.12	0	0.00	0	0	0	0	0		•	0
BlockCross(BLKX)	21	0.56		0	0.00	0	0.00	0	0.00	21	1.72	0	0	0	0	0	D 1	0 1	0

Summary Non-Directed Total Non-Directed Orders 2,961		Orders		Directed Orders	lon-	Non-Marketabi Limit Orders as Non-Directed Orders 230		Other Orders of Non-Direct lers Orders 4										
Venues Venue - Non- Non-Directed directed Order Flow Orders	I Non-Directe Orders(%)	d Market Orders	s Market Orden	Marketable Limi (%) Orders	t Marketable Limit Orders(%)	Non-Marketabi Limit Orders	le Non-Marketabl 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)	per hundred			
National Financial Services LLCOSTMI NYSE Arca(ARCA) Citadel Securities LLC(DING) WRTU Ammricas, LLC(DINT) G1 Enexution Services, LLC(PTMM) Jane Street Capital, LLC(DINT)	1,890 966 932 711 645 348	30.81 15.75 15.19 11.59 10.52 5.67	681	0.00 0.00 34.75 26.62 24.04 12.86	11	0.00 0.00 35.71 19.64 21.43 17.86	966 e 21 17 18	0.00 52.89 1.37 1.11 1.17 0.59	1,890 0 2 2 0 0	95.36 0.00 0.10 0.10 0.00	0 0 0 0	0 0 0 0	0 0 0 0	0 0 0 0	0 0	0	0 0 0	0 0 0 0
NASDAQ Execution Services, LLC(NSDQ)	144	2.35	0	0.00	0	0.00	144	9.38	0	0.00	0	0	0	0	0	0	0	0

oe EDGX US																		
ities hange(EDGX)	126	2.05	0	0.00	0	0.00	126	8.20	0	0.00	0	0	0	0	0	0	0	0
York Stock	100	1.63		0.00	1		99	6.45		0.00	0						0	0
nge(NYSE) et Cross(BLKX)	90	1.47		0.00		0.00	0	0.00		4.54	0					0	0	
(united and a second seco		147	0	0.00		0.00	5	0.00	~									
mber 2022																		
an Contracts																		
nary						Non-Marketable Limit Orders as 9												
Non-Directed Non-Directed Orders as % of	f All Total Market Orders	Market Order of Non-Direct Orders	Total Mashatah	Marketable Limit le Orders as % of No	16-	Limit Orders as 9 Non-Directed Orders	/s of	Other Orders a of Non-Directe rders Orders	1%									
rs Orders 613 1	Orders 100.00	Orders 479	Limit Orders 78.14	le Orders as % of No Directed Orders 16 2	Total Non-Marketable Limit Orders .61	Orders 118 15	Total Other O 19.25	rders Orders 0	0.00									
LNRS																		
											Net Payment		Net Payment		Net Payment Paid/Received for Non-Marketable		Not Payment	
										Net Payment Paid/Received fo	Paid/Received for Market	Net Payment Paid/Received for Marketable Limit	Paid/Received for Marketable Limit	Net Payment Paid/Received for	Non-Marketable Limit Orders(cents	Net Payment	Net Payment Paid/Received f Other Orders(ce	or ints
e - Non- Non-Directed ted Order Flow Orders	Non-Directed Orders(%)	Market Order	rs Market Ordersi	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	e Non-Marketal Limit Orders(!	ble 5) Other Orders	Other Orders(?	Market	Orders(cents per hundred shares)	Marketable Limit Orders(USD)	Orders(cents per hundred shares)	Paid/Received for Non-Marketable Limit Orders(USD)	per hundred shares)	Net Payment Paid/Received for Other Orders/USD	per hundred shares)	
lel Securities (DRG)	283	43.54		16.14	2	33.33		36.36		0.00	0		0				0	0
	283	43.54		0.14	1	33.33	60	30.30	0	0.00	0	0	0	0	0		0	U
tal ip(SUSQ)	162	24.92	155	12.36	2	33.33	5	3.03	0	0.00	0	0	0	0	0	0	0	0
erine																		
ution Services VEXX)	93	14.31	24	5.01	1	16.67	68	41.21	0	0.00	0	0	0	0	0	0	0	0
Financial nologies DASH)																		
(an Stanley &	77	11.85	49 :	10.23	1	16.67	27	16.36	0	0.00	0	0	0	0	0	0	0	0
sany (SCO)	35	5.38	30	6.26	0	0.00	5	3.03	0	0.00	0	0	0	0	0	0		c
,			~		-	2.000	-				-	-	-	-	-	-	-	3
iber 2022																		
500 Stocks																		
sary						Non-Marketable												
Non-Directed Non-Directed Orders as % of	f All Total Market	Market Order of Non-Direct	ted Total Marketab	Marketable Limit le Orders as % of No	ut-	Limit Orders as 9 Non-Directed	6 of	Other Orders a of Non-Directe	1% 1									
ers Orders 2,160 1	Orders 100.00	Orders 2,138	Limit Orders 98.98	Marketable Limit le Orders as % of No Directed Orders 1 0	Total Non-Marketable Limit Orders 05		Total Other O 0.97	rders Orders 0	0.00									
ats																		
											Net Payment		Not Payment		Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)		Not Payment	
										Net Payment Inid (Received fo	Net Payment Paid/Received for Market Orders(cents per	Net Payment	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for	Non-Marketable	Net Document	Net Payment Paid/Received f Other Orders(ce	or
e - Non- Non-Directed ted Order Flow Orders	Non-Directed Orders(%)	Market Order	rs Market Ordersi	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	e Non-Marketal Limit Orders!	ble 5) Other Orders	Other Orders()	Paid/Received fo Market Orders(USD)	Orders(cents per hundred shares)	Paid/Received for Marketable Limit Orders(USD)	Orders(cents per hundred shares)	Non-Marketable Limit Orders(USD)	per hundred	Net Payment Paid/Received for Other Orders[USD]	per hundred	ind
	orders(%)	market Order	 market Orders(a, urders	warketable Limit Orders(%)	umit Orders	Limit Orders(1	wy Uther Orders	uther Orders(9	y urbers(USD)	nunared shares)	Groers(USD)	-runored shares)	cimit orders(USD)	-manes)	Juner Orders(USD)	anares)	
nal Financial ces LLC(XSTM) el Securities	1,482	42.40	0	0.00	0	0.00	0	0.00	1,482	19.26	0	0	0	0	0	0	0	0
DRG)	655	18.74	654 3	14.84	0	0.00	1	0.82	0	0.00	0	0	0	0	0	0	0	0
J Americas, IITE) secution	501	14.33		16.58	1	33.33	1	0.82		0.00	0	0	0	0	0	0	0	0
ecution es, TMM)																		
	446	12.76		13.76	0	0.00	0	0.00		0.00	٥		0	0	0	٥	0	0
Read Conital				12.52	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
itreet Capital, 4ST)	235	6.72	235 :															
itreet Capital, 4ST) fork Stock	235 50	6.72 1.43		0.00	1	33.33	49	40.16	0	0.00	0	0	0	0	0	٥	0	0
Street Capital, NST) York Stock ange(NYSE)				0.00	1	33.33	49	40.16	0	0.00	0	0	0	0	٥	0	0	0
Street Capital, NST) York Stock ange(NYSE)			0	0.00	1	33.33		40.16		0.00	0	0	0	0	0		0	0
Street Capital, INST) Vork Stock ange(NYSE) DAQ Execution fices, LLC(NSDQ) Sigma	50	1.43	0	0.00	1	33.33	48	39.34	0	0.00	0	0	0	0	0	0	0	0
Street Capital, NST) York Stock ange(NYSE) JAQ Execution cs, LLC(NSDQ) Sigma rities, JOHOI	50	1.43	0						0		0	0	0	0	0	0		
Street Capital, NST) York Stock ange(NYSE) DAQ Execution ices, LLC(NSDQ) Sigma Filisa, SOHO) EDGX US	50 49 26	1.43 1.40 0.74	0 0 26	0.00	1	33.33	48	39.34	0	0.00	0	0	0	0	0	0	0	0
Street Capital, IST) York Stock inge(NYSE) AQ Execution exe, LL(DISOO) Sigma (tites, OHO) EDGK US ist inge(EDGK) HE	50 49 26 15	1.43 1.40 0.74 0.43	0 26 0	0.00 1.39 0.00	1 0	33.33 0.00 0.00	48 0 15	39.34 0.00 12.30	0 0	0.00 0.00	0	0	0	0	0	0	0	0
treet Capital, ST) ork Stock (geNrSE) (KSDD) gma gma MO) DDX US KI (MCDDX) St	50 49 26	1.43 1.40 0.74	0 26 0	0.00	1	33.33	48	39.34	0 0	0.00	0	0	0	0	0	0	0	0
Street Capital, NST) York Stock anney(NYSE) Skyma Skyma Check, LLC(NSCO) Skyma Check, LLC(NSCO) Skyma Check, LLC(NSCO) Skyma Check, LLC(NSCO) Skyma Check, LLC(NSCO) Skyma Skyma Check, LLC(NSCO) Skyma Skym	50 49 26 15	1.43 1.40 0.74 0.43	0 26 0	0.00 1.39 0.00	1 0	33.33 0.00 0.00	48 0 15	39.34 0.00 12.30	0 0	0.00 0.00	0	0	0	0	0	0	0	0
Street Capital, STO STO ACQ Execution exe, LLC(NSCQ) Gigma titus, OHCO EDGXUS EDGXUS execution EDGXUS EXECUTION E	50 49 26 15	1.43 1.40 0.74 0.43	0 26 0	0.00 1.39 0.00	1 0	33.33 0.00 0.00	48 0 15	39.34 0.00 12.30	0 0	0.00 0.00	0	0	0	0	0	0	0	0 0 0
Street Capital, 1957) Text Stack mape(INTS2) Capital est, LLCIPOCQ) (ginan tiss, est, est, LLCIPOCQ) (ginan tiss, est, est, est, est, est, est, est, est,	50 49 26 15	1.43 1.40 0.74 0.43	0 26 0	0.00 1.39 0.00	1 0	33.33 0.00 0.00 0.00	48 0 15 0	39.34 0.00 12.30	0 0	0.00 0.00	0	0	0	0	0	0	0	0 0 0
Sover Capital, MRC) Tran Sauda MC Parecellion exe, LC(R)000 MC Parecellion Kensel (BLCK) methor 2022 SAP 500 Stocks mary Non-Soverchell	49 26 15 11	1.43 1.40 0.74 0.43 0.31	0 26 0 0	0.00 1.39 0.00 0.00	1 0 0	33.33 0.00 0.00 0.00	48 0 15 0	39.34 0.00 12.30 0.00	0 0 11	0.00 0.00	0	0	0	0	0	0	0	0
Street Capital, IST) Trans Stack, AQ Execution AQ Exec	49 26 15 11 FAII Total Market	1.43 1.40 0.74 0.43 0.31 Market Order Orders	0 26 0 0 0 0 0 0	0.00 1.39 0.00 0.00	1 0 0	33.33 0.00 0.00 0.00 0.00 Non-Marketalk Wim Drivers as Non-Directed Orders	48 0 15 0	39.34 0.00 12.30 0.00 Other Orders a of Non-Directo	0 0 11	0.00 0.00	0	0	0	0	0	0	0	0
Steet Capity Mithania Ingel (1753) Signa Signa Signa Signa Signa Signa Signa Consultation Signa	49 26 15 11	1.43 1.40 0.74 0.43 0.31	0 26 0 0	0.00 1.39 0.00 0.00 Marketable Limit	1 0 0	33.33 0.00 0.00 0.00 Non-Marketald Non-Marketald Non-Marketald	48 0 15 0	39.34 0.00 12.30 0.00 Other Orders a of Non-Directo	0 0 11	0.00 0.00	0	0	0	0	0	0	0	0
Steet Capity Mithania Ingel (1753) Signa Signa Signa Signa Signa Signa Signa Consultation Signa	49 26 15 11 FAII Total Market	1.43 1.40 0.74 0.43 0.31 Market Order Orders	0 26 0 0 0 0 0 0	0.00 1.39 0.00 0.00	1 0 0	33.33 0.00 0.00 0.00 0.00 Non-Marketalk Wim Orders as Non-Directed Orders	48 0 15 0	39.34 0.00 12.30 0.00 Other Orders a of Non-Directo	0 0 11	0.00 0.00	a a a	0	0 0 0	0	0	0	0 0 0	0
Inter Capital, STOTA	49 26 15 11 FAII Total Market	1.43 1.40 0.74 0.43 0.31 Market Order Orders	0 26 0 0 0 0 0 0	0.00 1.39 0.00 0.00	1 0 0	33.33 0.00 0.00 0.00 0.00 Non-Marketalk Wim Orders as Non-Directed Orders	48 0 15 0	39.34 0.00 12.30 0.00 Other Orders a of Non-Directo	0 0 11	0.00 0.00 0.74	a a a	0 0 0	0 0 0	0 0 0	0	0	0 0 0	0
Steret Capal, Minima medif(YS1) AdDatastion Market Status Market Status	50 49 26 15 11 11 11 11 11 11 11 11 11 11 11 11	1.43 1.40 0.74 0.43 0.31 Munket Order of Non-Direct Orders 4,655	0 26 0 0 0 0 0 0	0.00 1.39 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	1 0 0	33.33 0.00 0.00 0.00 Non-Marketable Umit Orders as Non-Divers as Non-Divers	48 0 15 0 X of Total Other O 398	29.34 0.00 0.00 0.00 Other Orders of Non-Directo	0 0 11	0.00 0.00 0.71 Net Payment Paid/Reserved fo	0 0 0 0 0	0 0 0	0 0 0 Net Paymont Phild/Rescived for Phild/Rescived for	0 0 0	0 0 0 0 0 0 Net Pyrmod Pai//Incohert for Net State	0 0 0	0 0 0 0 0 0 0 Net Payment Pad/Recived 5	0 0 0
There Capaul, 30) make 30) make 3	49 26 15 11 FAII Total Market	1.43 1.40 0.74 0.43 0.31 Munket Order of Non-Direct Orders 4,655	0 26 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.39 0.00 0.00	1 0 0	33.33 0.00 0.00 0.00 0.00 Non-Marketalk Wim Orders as Non-Directed Orders	48 0 15 0 X of Total Other O 398	29.34 0.00 12.30 0.00 Other Orders of Non-Directo of easy of easy of easy	0 0 11	0.00 0.00 0.74 Net Payment	0 0 0 0	0 0 0	0 0 0 Not Payment Paid/Received for	0 0 0	0 0 0 0 0 0 0 0 Net Payment Prid/Recived for	0 0 0	0 0 0 0 Net Payment Paid/faccious d	0 0 0
View Capital, Shi Shaka spectrum and the second View Capital and the second second and the second and the second second and the second and the second and the second second and the second and the	50 40 26 15 11 13 14 11 Total Market Orders Dorders	1.43 1.40 0.74 0.43 0.33 Murket Order 4.555	o o 26 o 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.33 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 2.1 0.00 0	2 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1	33.33 0.00 0.00 Non-Marketable Neo-Deckted Orders 195	48 0 15 0 X of Total Other O 3.98 Non-Marketal Limit Orden(1	29.34 0.00 12.30 0.00 Other Orders 0 Orders	0 0 11 5% 0.00 Other Onder(1)	0.00 0.00 0.01 0.02 4 Net Payment Pad flaceshed for Market Market 9 0	0 0 1 0 0 0 0 Net Perment Paid/factored	0 0 0 0 Net Payment Paid/Received for Paid/Received for Criden(LSD)	O O O O O O O O O O O O O O O O O O O	0 Net Payment Paul/Received for Net Comment Paul/Received for Net Advancement Umit Orders(UDD)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0	0 0 0 0 Net Payment Paid/Received 6 Other Orders(of gar hundred shares)	0 0 0
hter Copus, STORA AC Secultor INCOMENTARY AC Secultor INCOMENTARY AC Secular INCOMENTARY INCOMENTARY AC SECURATION AC AND ACTION AC AND ACTIONA ACTIONA ACTIO	49 49 26 15 11 Man Total Market 0000 Non-Director Ordersta	1.43 1.40 0.24 0.43 0.33 Market Order 37.43	o 25 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.19 0.00	1 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	33.33 0.00 0.00 0.00 0.00 0.00 0.00 Non-Statistical Non-Statis	48 0 15 0 % of Total Other O 3.98 • Non-Murketal Umit Orders(1) 0	39.34 0.00 12.30 0.00 of San Drivets of Coders Orders Orders 0.00	0 0 11 0,00 0,000000	0.00 0.00 0.74 Net Payment Pair/deview of a Pair/deview o	0 0 0 0 0 0 0 0 0 0 0 0 0 0	Net Psymmet MetaPsymmet MetaPsymm	Net Pyrmod N	Net Payment Matchinescould for M	Net Pyrment Paid/Recived for Paid/Recived for time Devrices and shares)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	o o o o o set Dysenset Paid/Secoluted other Ordersfor otherse of set of set of set of the ordersfor otherse of set of set of set of set	0 0 0
hter Copus, STORA AC Secultor INCOMENTARY AC Secultor INCOMENTARY AC Secular INCOMENTARY INCOMENTARY AC SECURATION AC AND ACTION AC AND ACTIONA ACTIONA ACTIO	50 40 26 15 11 13 14 11 Total Market Orders Dorders	1.43 1.40 0.74 0.43 0.33 Murket Order 4.555	o 25 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.19 0.00	2 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1	33.33 0.00 0.00 0.00 0.00 0.00 0.00 Non-Statistical Non-Statis	48 0 15 0 X of Total Other O 3.98 Non-Marketal Limit Orden(1	29.34 0.00 12.30 0.00 Other Orders 0 Orders	0 0 11 0,00 0,000000	0.00 0.00 0.01 0.02 4 Net Payment Pad flaceshed for Market Market 9 0	0 0 1 0 0 0 0 Net Perment Paid/factored	Net Psymmet MetaPsymmet MetaPsymm	Net Pyrmod N	Net Payment Matchinescould for M	Net Pyrment Paid/Recived for Paid/Recived for time Devrices and shares)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 Net Payment Paid/Received 6 Other Orders(of gar hundred shares)	0 0 0
hter Capal, and Cascular and Particular AC Security S Security	49 49 26 15 11 Man Total Market 0000 Non-Director Ordersta	1.43 1.40 0.24 0.43 0.33 Market Order 37.43	o 36 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.30 0.00 0.00 0.00 0.00 0.00 0.00	1 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	33.33 0.00 0.00 0.00 0.00 0.00 0.00 Non-Statistical Non-Statis	48 0 15 0 % of Total Other O 3.98 • Non-Murketal Umit Orders(1) 0	39.34 0.00 12.30 0.00 of San Drivets of Coders Orders Orders 0.00	0 0 11 0.00 0.00 0.00 0.00 0,00 0	0.00 0.00 0.74 Net Payment Pair/deviced for Pair/deviced	0 0 0 0 0 0 0 0 0 0 0 0 0 0	Net Psymmet MetaPsymmet MetaPsymm	Net Pyrmod N	Net Payment Matchinescould for M	Net Pyrment Paid/Recived for Paid/Recived for time Devrices and shares)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	o o o o o set Dysenset Paid/Secoluted other Ordersfor otherse of set of set of set of the ordersfor otherse of set of set of set of set	0 0 0
hitmer Capally, including and a second secon	49 49 25 15 13 4All Total Market Orders 000 co 0 des	1.4 1.6 0.4 0.3 0.3 0.4 0.4 0.4 0.5 0.6 0.6 0.6 0.6 0.6 0.6 0.6 0.6	a b b b b b b b b b b b b b b b b b b b	0.00 1.33 0.00	2 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	21.33 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 1.17 4.13	48 0 15 0 1 55 0 1 56 Total Other O 1 55 0 0 23 23 22	29.34 0.00 11.30 0.00 Other Oriens 0 Orders 0 Orders 0.00 2.21 1.5	0 0 11 0.00 0.00 0.00 0.00	0.00 0.00 0.01 0.02	0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Net Payment Paid/Received for Paid/Received for Numfered Shares)	Net Payment Matchinescould for M	Net Pyrment Paid/Recived for Paid/Recived for time Devrices and shares)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	o o o o o set Dysenset Paid/Secoluted other Ordersfor otherse of set of set of set of the ordersfor otherse of set of set of set of set	o o o mts o o
kine (Capita), signa (49 49 26 15 15 15 10 40 7All Tetral Market 0000 00 40 105 100	1.4 1.0 0.7 0.4 0.3 Montal Order Order 0.5 0.5 0.5 0.5 0.5 0.5 0.5 0.5	0 25 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.00 1.33 0.00	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	23.33 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 1.00 0.00 1.3.7 0.00 0.3.2 0.00 0.3.2 0.00 0.3.2 0.00 0	48 0 15 0 5 5 6 5 6 7 5 8 7 5 8 7 5 8 7 5 8 7 5 8 7 8 7 8 7	23.34 0.00 12.30 0.00 Other Orders 4 0.00 0.00 2.21	0 0 11 0.00 0.00 0.00 0.00	0.00 0.00 0.01 0.04 Met Payment Padd/Recovery 0.04 0.04 0.04 0.04 0.04 0.04 0.04 0.04 0.05 0.	0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Net Pyrmod N	Net Payment Matchinescould for M	Net Pyrment Paid/Recived for Paid/Recived for time Devrices and shares)	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	o o o o o set Dysenset Paid/Secoluted other Ordersfor otherse of set of set of set of the ordersfor otherse of set of set of set of set	o o o ints o
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Here Capala, i strand C	50 40 26 55 13 14 10 10 10 10 10 10 10 10 10 10	1.4 1.6 0.7 0.4 0.3 1.0 0.4 0.4 0.4 0.4 0.4 0.4 0.4 0	0 0 26 0 0 0 10 100 10 100 10 100 10 100 1,616 1<	0.00 1.32 0.00	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	23.33 0.00	48 0 15 0 % of 15 Total Other O 13 10 0 23 12 23 12 12	23.34 0.00 12.30 0.00 0.00 of Max Orders 0.00 0	0 0 11 0000 0000 0000 0000 0000 0000 0	0.00 0.00 0.01 0.02 0.02 0.04 Most Payment Paid Review 16 0.05	0 0 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	No. Prymost No. Prymost Paid/Recoved for Paid/Recoved for Colony(150) 0 0 0 0 0 0 0 0 0 0 0 0 0	Berte Presented B	Net Payment Matchinescould for M	Net Prymets Pdd/Processor Pdd/Processor Imthe Descriptions James Transfered Starsog 0 0 0 0 0 0 0 0 0 0 0 0 0	 Net Payment Paid Payment Payment Paid Payment Payment Payment<!--</td--><td>Net Payment Pala/Net Course Pala/Net Course Pala/Net Course Pala/Net Course Palarity</td><td>0 0 0 0 0 0 0 0 0</td>	Net Payment Pala/Net Course Pala/Net Course Pala/Net Course Pala/Net Course Palarity	0 0 0 0 0 0 0 0 0
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hitere Capality in the Capacity is an experiment of a second seco	50 40 26 55 13 14 10 10 10 10 10 10 10 10 10 10	1.4 1.6 0.7 0.4 0.3 1.0 0.4 0.4 0.4 0.4 0.4 0.4 0.4 0	0 25 0 0 0 0 0 15 10 10 10 10 10 10 10 10 10 10	0.00 1.32 0.00	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	23.33 0.00	48 0 15 0 % of 15 Total Other O 13 10 0 23 12 23 12 12	23.34 0.00 12.30 0.00 0.00 of Max Orders 0.00 0	0 0 11 0000 0000 0000 0000 0000 0000 0	0.00 0.00 0.01 0.02 0.02 0.04 Most Payment Paid Review In Col Ordered Utility 0.05 0.0	0 0 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	 Finite Protected Finite Protected	Berte Presented B	 Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest 	Net Prymets Pdd/Precised Pdd/Precised pdd	Net Payment Net Payment Net Payment Net Payment Net Payment Net N	Net Payment Pala/Net Course Pala/Net Course Pala/Net Course Pala/Net Course Palarity	0 0 0 0 0 0 0 0 0
	50 40 26 15 11 50 50 50 50 50 50 50 50 50 50	1.4 1.4 0.4 0.4 0.3 Market Order of Nachet 0.4 0.4 0.4 0.4 0.4 0.4 0.4 0.4	0 25 0 0 16 10 10 10 10 10 10 10 10 10 10	0.00 1.39 0.00		21.33 0.00	48 0 15 0 5 4 5 4 7 5 4 7 5 4 7 5 10 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	29.34 0.00 12.30 0.00 Other Orders 0 Order 0 Order 0 Order 15 15 15 15 134 0.29 0.29	0 0 11 0.00 0.00 0.00 0 0 0 0 0 0 0 0 0	0.00 0.00 0.01 0.02 0.04	0 0 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	 A set Promotel B set Promotel<td>Net Payment Paid/Received for Paid/Received for Number of Automatical Number of Automatical Number of Automatical O</td><td> Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest </td><td>Ant Protected Paid/Received for Paid/Received fo</td><td> Net Perment Part P</td><td>Nat Payment Paid/facture other forderidge adarws) 0 0 0 0 0 0 0 0 0 0 0 0 0</td><td>0 0 0 0 0 0 0 0 0 0 0</td>	Net Payment Paid/Received for Paid/Received for Number of Automatical Number of Automatical Number of Automatical O	 Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest 	Ant Protected Paid/Received for Paid/Received fo	 Net Perment Part P	Nat Payment Paid/facture other forderidge adarws) 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0
terrent capati, second capati, second capations second capations terrent capations t	50 40 25 15 12 54 54 54 54 54 54 54 54 54 54	1.4 1.4 0.4 0.4 0.3 Market Order 0.4 0.4 0.4 0.4 0.4 0.4 0.4 0.4	0 25 0 0 16 10 10 10 10 10 10 10 10 10 10	0.00 1.39 0.00		21.33 0.00	48 0 15 0 5 4 5 4 7 5 4 7 5 4 7 5 10 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	29.34 0.00 12.30 0.00 Other Orders 0 Order 0 Order 0 Order 13.5 13.5 13.4 0.29 0.29 0.29	0 0 11 0.00 0.00 0.00 0 0 0 0 0 0 0 0 0	0.00 0.00 0.01 0.02 0.04	 Ret Pergment Ret Pergment Pack Pergment Pack Pergment Order (control or percent) Description Description<	 FieldPrecoded for Second Second Seco	Not Payment Minist Payment Ministry Payment M	 Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest Net Pyrmest 	Ant Protected Paid/Received for Paid/Received fo	 Net Perment Part P	Net Payment Pack/Rooked 6 Pack/Rooked 6 Pack/Pack/Rooked 6 Pack/Pack/Pack/Pack/Pack/Pack/Pack/Pack/	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
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NASDAQ Execution Services, LLC(NSDQ) December 2022 Option Contracts Summary

										ion-Marketable								
	Non-Directer			Market Orde			Marketable Li			imit Orders as %	of	Other Orders						
Total Non-Direc	ted Orders as %	of All 1	fotal Market	of Non-Direc	cted	Total Marketable	Orders as % o	f Non-	N	ion-Directed		of Non-Direct	d					
Orders	Orders		Orders	Orders		Limit Orders	Directed Orde	rs Total Non-Marketable Limi	t Orders O	Inders	Total Other Orders	Orders						
	540	100.00		420	77.78	1	10	1.85	110	20	1.37	0	0.00					
Venues																		
																Net Payment		
														Net Payment	Net Payment	Paid/Received for	Net Payment	

	Order Flow Orders	cted	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit s(%) Orders	Marketable Limit Orders(%)	Non-Market Limit Orders			Other Orders(1	Net Payment Paid/Received for Market G) Orders(USD)	Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)		
LLC(CDR Susqueh		25	2	44.21	202	48.10	4	40.00	46	32.86	0	0.00	0	0	D	0	0	0	D	0
Capital Group(S Dash Fin	ancial	14	7	25.79	144	34.29	3	30.00	٥	0.00	0	0.00	0	0	D	0	0	•	D	0
Technol LLC[DAS		7	5	13.16	42	10.00	3	30.00	30	21.43	0	0.00	0	0	D	0	0	0	D	0
LLC(WE) Morgan	on Services OX) Stanley &	7	1	12.46	13	3.10	0	0.00	58	41.43	0	0.00	0	0	D	0	٥	0	D	0
Compan LLC(MSC Interacti		2	3	4.04	18	4.29	0	0.00	5	3.57	0	0.00	0	0	0	0	0	•	D	0
LLC(IBKF	k)		2	0.35	1	0.24	0	0.00	1	0.71	0	0.00	0	0	D	0	0	0	D	0