BETTINGER & LEECH FINANCIAL - Held NMS Stocks and Options Order Routing Public Report Generated on Thu Apr 30 2020 01:17:42 GMT-4 EDT

1st Quarter, 2020

January 2020

S&P 500 Stocks Summary

Marketable Limit Non-Marketable

Non-Directed Market Orders as Orders as % of Limit Orders as % Other Orders as % Orders as % of All % of Non-Directed Non-Directed of Non-Directed of Non-Directed Orders Orders Orders Orders Orders 0.00 100.00 100.00 0.00 0.00

Venues

Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Market Paid/Received for Marketable Limit Paid/Received for Limit Paid/Received for Other Venue - Non-Marketable Limit Non-Marketable Net Payment Paid/Received for Market Orders(cents per Marketable Limit Orders(cents per Non-Marketable Orders(cents per Other directed Order Non-Directed Orders(cents per Flow Orders(%) Market Orders(%) Orders(%) Limit Orders(%) Other Orders(%) Orders(USD) hundred shares) Orders(USD) hundred shares) Limit Orders(USD) hundred shares) Orders(USD) hundred shares) Citadel Securities LLC(CDRG) 100.00 100.00 0.00 0.00 0.00

Material Aspects:

January 2020

Non-S&P 500 Stocks Summary

Marketable Limit Non-Marketable

Non-Directed Market Orders as Orders as % of Limit Orders as % Other Orders as % Orders as % of All % of Non-Directed Non-Directed of Non-Directed of Non-Directed Orders Orders Orders Orders Orders 0.00 0.00 0.00 0.00 0.00

Venues

Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Paid/Received for Marketable Limit Paid/Received for Limit Venue - Non-Market Paid/Received for Other directed Order Non-Directed Marketable Limit Non-Marketable Net Payment Paid/Received for Market Orders(cents per Marketable Limit Orders(cents per Non-Marketable Orders(cents per Other Orders(cents per Market Orders(%) Orders(%) hundred shares) Orders(USD) hundred shares) Limit Orders(USD) hundred shares) Orders(USD) Orders(%) Limit Orders(%) Other Orders(%) Orders(USD) hundred shares)

Material Aspects:

January 2020

Option Contracts Summary

Marketable Limit Non-Marketable

Non-Directed Orders as S Orders as S Orders as S Orders as S Ofter Orders as S Order Orders as S Orders of Non-Directed Orders Order Or

Venues

Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Natheatable Net Payment Paid/Received for Other

Venue - Non-

Venue - Non-directed Order Flow Orders(%) Market Orders(%) Orders(

Material Aspects:

February 2020

S&P 500 Stocks Summary

Marketable Limit Non-Marketable

Non-Directed Market Orders as S Orders as S Of Limit Orders as S Other Orders as S Other Orders as S Of All S Orders as S Orders as S Of Non-Directed Non-Directed Orders Orders Orders Orders Orders Orders Orders Orders Orders O.00 0.00 0.00

Venues

Net Payment Net Payment Net Payment Paid/Received for **Net Payment** Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Paid/Received for Marketable Limit Paid/Received for Limit Venue - Non-Market Paid/Received for Other directed Order Non-Directed Marketable Limit Non-Marketable Net Payment Paid/Received for Market Orders(cents per Marketable Limit Orders(cents per Non-Marketable Orders(cents per Other Orders(cents per hundred shares) Orders(USD) Orders(%) Market Orders(%) Orders(%) Limit Orders(%) Other Orders(%) Orders(USD) hundred shares) Limit Orders(USD) hundred shares) Orders(USD) hundred shares) Flow

 Citadel Securities

 LLC(CDRG)
 51.62
 51.62
 0.00
 0.00
 0.00

0 0 0 0 0 0 0

Net Payment

	RTU Americas													
	C(NITE)	31.41	31.41	0.00	0.00	0.00	0	0	0	0	0	0	0	0
	L Execution													
	rvices,													
LLC	C(ETMM)	10.47	10.47	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UB	BS Securities,													
LLC	C(UBSS)	3.61	3.61	0.00	0.00	0.00	0	0	0	0	0	0	0	0
JA	NE STREET													
CA	APITAL,													
LLC	C(JNST)	1.44	1.44	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Tw	vo Sigma													
Se	curities,													
LLC	с(ѕоно)	1.44	1.44	0.00	0.00	0.00	0	0	0	0	0	0	0	0

Material Aspects:

February 2020

Non-S&P 500 Stocks Summary

Marketable Limit Non-Marketable

 Non-Directed
 Market Orders as S Orders as % of Orders as % of Orders as % of All Mor-Directed Non-Directed Orders
 Limit Orders as % Other Orders as % Of Non-Directed Orders of Non-Directed Orders
 Other Orders as % of Non-Directed Orders of Non-Directed Orders

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Venues

Venue - Non- directed Order Flow	Non-Directed Orders(%)	Market Orders(%)			Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for	Orders(cents per	Net Payment Paid/Received for	Net Payment Paid/Received f Other Orders(cents pe hundred shares	er
Citadel Securities														
LLC(CDRG)	49.38	49.38	0.00	0.00	0.00		0	0	0 0) () ())	0
VIRTU Americas														
LLC(NITE)	37.04	37.04	0.00	0.00	0.00		0	0	0 0) () ())	0
G1 Execution														
Services,														
LLC(ETMM)	8.64	8.64	0.00	0.00	0.00		0	0	0 0	() ())	0
JANE STREET CAPITAL,														
LLC(JNST)	3.70	3.70	0.00	0.00	0.00		0	0	0 0) () ()	1	0
Two Sigma	3.70	3.70	0.00	0.00	0.00					•	,	,	,	Ü
Securities,														
LLC(SOHO)	1.23	1.23	0.00	0.00	0.00		0	0	0 0) () ())	0

Material Aspects:

February 2020

Option Contracts Summary

Marketable Limit Non-Marketable

Non-Directed Market Orders as S Orders as % of Limit Orders as % Other Orders as % Of Non-Directed Non-Directed of Non-Directed Orders Orders Orders Orders Orders Orders O.00 0.00 0.00 0.00 0.00 0.00

Venues

Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Venue - Non-Paid/Received for Marketable Limit Paid/Received for Limit Paid/Received for Other directed Order Non-Directed Marketable Limit Non-Marketable Net Payment Paid/Received for Market Orders(cents per Marketable Limit Orders(cents per Non-Marketable Orders(cents per Other Orders(cents per Flow Orders(%) Market Orders(%) Orders(%) Limit Orders(%) Other Orders(%) Orders(USD) hundred shares) Orders(USD) hundred shares) Limit Orders(USD) hundred shares) Orders(USD) hundred shares)

Material Aspects:

March 2020

S&P 500 Stocks Summary

Marketable Limit Non-Marketable

Non-Directed Market Orders as S Orders as S Of Limit Orders as S Other Orders as S Other Orders as S Orders as S Of All S Orders as S Order Orders as S Order Orders Orders Orders Orders Orders Orders Orders Orders Order Or

Venues

Venue - Non- directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)			Net Payment Paid/Received for Market Orders(USD)		Paid/Received for Marketable Limit		Paid/Received for	Limit Orders(cents per	Net Payment Paid/Received for Other	Net Payment Paid/Received for Other Orders(cents pe hundred shares)	r
Citadel Securities LLC(CDRG) UBS Securities,	60.00	60.00	0.00	0.00	0.00		0) () () () () (D	0
LLC(UBSS)	20.00	20.00	0.00	0.00	0.00		0) () (() (ა ()	0

G1 Execution													
Services,													
LLC(ETMM)	6.67	6.67	0.00	0.00	0.00	0	0	0	0	0	0	0	0
VIRTU Americas													
LLC(NITE)	6.67	6.67	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma													
Securities,													
LLC(SOHO)	6.67	6.67	0.00	0.00	0.00	0	0	0	0	0	0	0	0

Material Aspects:

March 2020

Non-S&P 500 Stocks Summary

Non-Directed Market Orders as % of Coders as % of All % of Non-Directed Orders as % of All % of Non-Directed Non-Directed Orders of Non-Directed Orders Orders Orders Orders Orders Orders 0.00 0.00 0.00 0.00

Venues

	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)			Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for	Orders(cents per	Net Payment Paid/Received for	Net Payment Paid/Received fo Other Orders(cents per hundred shares)	r
Citadel Securities														
LLC(CDRG)	57.14	57.14	0.00	0.00	0.00		0	0 (0	() () ()	0
UBS Securities,														
LLC(UBSS)	28.57	28.57	0.00	0.00	0.00		0	0 () 0	() () ()	0
VIRTU Americas														
LLC(NITE)	14.29	14.29	0.00	0.00	0.00		0	0 () (() () ()	0

Material Aspects:

March 2020

Option Contracts Summary Marketable Limit Non-Marketable

Non-Directed Orders as S Orders as S Orders as S Orders as S Ofter Orders as S Order Orders as S Orders of Non-Directed Orders Order Or

Venues

Net Payment Net Payment Net Payment Net Payment Paid/Received for Paid/Received for Net Payment Paid/Received for Net Payment Non-Marketable Net Payment Paid/Received for Venue - Non-Market Paid/Received for Marketable Limit Paid/Received for Limit Paid/Received for Other directed Order Non-Directed Marketable Limit Non-Marketable Net Payment Paid/Received for Market Orders(cents per Marketable Limit Orders(cents per Non-Marketable Orders(cents per Other Orders(cents per Limit Orders(%) Other Orders(%) Orders(USD) hundred shares) Limit Orders(USD) hundred shares) Orders(USD) Flow Orders(%) Market Orders(%) Orders(%) hundred shares) Orders(USD) hundred shares)

Material Aspects: