BETTINGER & LEECH FINANCIAL - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2022

January 2022

S&P 500 Stocks

Summary Non-Marketable Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-Non-Directed of Non-Directed Orders 100.00 Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders 0 0.00 Total Other Orders Orders Orders Orders 100.00 0.00 0.00 1 0 n Venues Net Payment Net Payment Net Payment Paid/Received for Net Payment Market Paid/Received for Paid/Received for Net Payment Marketable Limit Paid/Received for Paid/Received for Non-Marketable Net Payment Net Payment Net Payment Paid/Received for Venue - Non-Non-Directed Non-Directed Marketable Limit Non-Marketable Non-Marketable Paid/Received for Orders(cents per Marketable Limit Orders(cents per Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents directed Order Flow Orders Orders(%) Market Orders Market Orders(%) Orders Marketable Limit Orders(%) Limit Orders Limit Orders(%) Other Orders Other Orders(%) Market Orders(USD) hundred shares) Orders(USD) hundred shares) Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares) VIRTU Americas. LLC(NITE) 1 100.00 1 100.00 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 0 January 2022 Non-S&P 500 Stocks Summary Non-Marketable Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-Non-Directed of Non-Directed Total Market Orders Orders Limit Orders Total Other Orders Orders Orders Orders Directed Orders Total Non-Marketable Limit Orders Orders 0 0.00 0.00 0 0.00 0.00 0.00 0 Venues Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment Net Payment Paid/Received for Market Marketable Limit Venue - Non-Non-Directed Non-Directed Non-Marketable Non-Marketable Paid/Received for Orders(cents per Marketable Limit Orders(cents per Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents directed Order Flow Orders Orders(%) Market Orders Market Orders(%) Orders Marketable Limit Orders(%) Limit Orders Limit Orders(%) Other Orders Other Orders(%) Orders(USD) hundred shares) Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares Market Orders(USD) hundred shares) January 2022 **Option Contracts** Summary Non-Marketable Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % of Non-Directed Total Marketable Orders as % of Non-Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders Total Non-Directed Orders as % of All Non-Directed of Non-Directed Total Market Orders Orders Total Other Orders Orders Orders Orders Orders 0.00 0.00 0 0 0.00 0.00 0.00 0 Venues Net Payment Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment Paid/Received for Net Payment Net Payment Paid/Received for Net Payment Market Venue - Non-Non-Directed Non-Directed Marketable Limit Non-Marketable Non-Marketable Paid/Received for Orders(cents per Marketable Limit Orders(cents per Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents directed Order Flow Orders Orders(%) Market Orders Market Orders(%) Marketable Limit Orders(%) Limit Orders(%) Other Orders Other Orders(%) Market Orders(USD) hundred shares) Orders(USD) hundred shares) February 2022 S&P 500 Stocks Summary Non-Marketable Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-Non-Directed of Non-Directed Directed Orders Total Non-Marketable Limit Orders Total Other Orders Orders Total Market Orders Orders Limit Orders Orders Orders Orders 100.00 100.00 0.00 1 0.00 0.00 0 Venues Net Payment Net Payment Net Payment nec vayment net vayment nec vayment Nad Received for Nat Payment Paid/Received for Marketable Limit Orders(ents per Non-Marketable Limit Orders(ents Venue - Non-Non-Directed Non-Directed Marketable Limit Non-Marketable Non-Marketable directed Order Flow Orders Orders(%) Market Orders Market Orders(%) Orders Marketable Limit Orders(%) Limit Orders Limit Orders(%) Other Orders Other Orders(%) Market Orders(USD) hundred shares) Orders(USD) hundred shares) Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares) **Citadel Securities** LLC(CDRG) 1 100.00 1 100.00 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 0 0 February 2022 Non-S&P 500 Stocks

Summary

Non-Marketable Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-Non-Directed of Non-Directed Total Market Orders Orders L 100.00 Orders 1 100.00 Limit Orders Directed Orders Total Non-Marketable Limit Orders Total Other Orders Orders Orders Orders 0.00 n 0.00

Venues

											Net Payment		Net Payment		Net Payment			
											Paid/Received for	Net Payment	Paid/Received for	Net Payment	Paid/Received for		Net Payment	
										Net Payment	Market	Paid/Received for	Marketable Limit	Paid/Received for	Non-Marketable	Net Payment	Paid/Received fo	r
Venue - Non- Non-Directed	Non-Direc	ted		Marketable Lir	it	Non-Marketable	Non-Marketabl	e		Paid/Received for	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	Paid/Received for	Other Orders(cer	ts
directed Order Flow Orders	Orders(%)	Market Ord	rs Market C	rders(%) Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Market Orders(USI	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares	Other Orders(USD)	per hundred shar	es)
Jane Street Capital,																		
LLC(JNST)	1	100.00	1	100.00	0	0.00	0	0.00	0 0.	.00	0	0	0	0	0 0		0	0

February 2022

Option Contracts Summary

										Non-Marke	table			
	Non-Directe	1		Market Order	s as %		Marketab	le Limit		Limit Order	's as % of		Other Orders	as %
Total Non-Directer	d Orders as %	of All		of Non-Direct	ed	Total Marketable	Orders as	% of Non	-	Non-Direct	ed		of Non-Direct	ed
Orders	Orders		Total Market Orders	orders		Limit Orders	Directed	Orders	Total Non-Marketable Limit Orders	Orders		Total Other Orders	Orders	
	0	0.00	c)	0.00)	0	0.0	10	0	0.00	0	0	0.00
Venues														

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

March 2022

S&P 500 Stocks Summary

Summary	
Non-Marketable	
Non-Directed Market Orders as % Marketable Limit Limit Orders as % of	Other Orders as %
Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non- Non-Directed Non-Directed	of Non-Directed
Orders Orders Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders Orders Total Other Order	ers Orders
23 100.00 23 100.00 0 0.00 0 0.00	0 0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders Citadel Securities	Non-Directe Orders(%)	d Market Orders	Market Orders	Marketable Limit (%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	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)	Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred share	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cent per hundred share	s
LLC(CDRG)	10	43.48	10	43.48	0	0.00	0	0.00	0 0.	.00	D	0	0	0	D	0)	0
G1 Execution Services, LLC(ETMM) VIRTU Americas, LLC(NTE) Jane Street Capital,	5	21.74 21.74		21.74	0	0.00		0.00		.00	D	0	0	0	D	0)	0 0
LLC(JNST)	3	13.04	3	13.04	0	0.00	0	0.00	0 0.	.00	D	0	0	0	D	0)	0

March 2022

Non-S&P 500 Stocks Summary

Total Non-Directed	Non-Directer Orders as % (Market Orders of Non-Directe		Marketable Lin Orders as % of I		Non-Marketab Limit Orders as Non-Directed		Other Orders a of Non-Directe	
Orders	Orders	Total Market Orde	rs Orders	Limit Orders	Directed Order	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
1	D	100.00	10 1	100.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders Jane Street Capital, LLC(INST)	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Lim s(%) Orders 40.00	t Marketable Limit Orders(%) 0	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%)	Net Payment Paid/Received for Market Orders(USI 0.00		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)		Net Payment	Net Payment Paid/Received for Other Orders(cents per hundred shares	
G1 Execution Services, LLC(ETMM) VIRTU Americas, LLC(NITE) Citade Securities LLC(CDRG)	3 2 1	30.00 20.00 10.00	3 2 1	30.00 20.00 10.00	0 0 0	0.00 0.00 0.00	0 0 0	0.00 0.00 0.00	0	0.00 0.00 0.00	0 0	0 0	D D	0 0	0 i 0 i		,	D 0 0

March 2022

Option Contracts Summary

									Non-Marke				
	Non-Directed			Market Orders as %		Marke	table Limit		Limit Order	s as % of		Other Orders as 9	6
Total Non-Directed	Orders as % of	All		of Non-Directed	Total Marketable	Orders	s as % of Non-		Non-Directe	d		of Non-Directed	
Orders	Orders	Tot	tal Market Orders	Orders	Limit Orders	Direct	ed Orders	Total Non-Marketable Limit Orders	Orders	Total 0	Other Orders	Orders	
0)	0.00	0	0.00		0	0.00		0	0.00	0	0	.00

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