BETTINGER & LEECH FINANCIAL - Held NMS Stocks and Options Order Routing Public Generated on Thu Oct 06 2022 06:39:19 GMT-

4 EDT

3rd Quarter, 2022

July 2022

S&P 500 Stocks

Summary

,							Non-Marke	table				
Non-Directed			Market Orders as %		Marketable Lin	iit	Limit Order	s as % of	Othe	Other Orders as %		
Total Non-Directed Orders as % of All			of Non-Directed	Total Marketable	Orders as % of	Non-	Non-Directe	ed	of N	of Non-Directed		
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Order	Total Non-Marketable Limit Order	s Orders	Total Othe	er Orders Orde	ers		
	4	100.00	4 100.0)	0	0.00	0	0.00	0	0.00		

Venues

Venue - Non- Non-Directed directed Order Flow Orders G1 Execution	Non-Directe Orders(%)	ed Market Orders	Market Orde	Marketable Limit	t Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%)		Net Payment Paid/Received for Market Orders(cents per D) hundred shares)	Paid/Received for	Orders(cents per	Paid/Received for Non-Marketable	Limit Orders(cents			nts
Services, LLC(ETMM) VIRTU Americas,	3	75.00	3	75.00	0	0.00	0	0.00	0 0	1.00	0	0	0	0	0	0	0	0
LLC(NITE)	1	25.00	1	25.00	0	0.00	0	0.00	0 0	0.00	0	0	0	0	0	0	0	0

Net Payment

Net Payment

Net Payment

July 2022

Non-S&P 500 Stocks Summary

Non-Marketable 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 Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders Orders Orders 0.00 0.00

Venues

												,		,		,		
											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)

July 2022

Option Contracts

Non-Marketable 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 Orders **Total Market Orders Orders** Limit Orders Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders 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
											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	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)

August 2022

S&P 500 Stocks Summary

Non-Marketable Limit Orders as % of Non-Directed Market Orders as % Marketable Limit 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 Orders Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders 100.00 100.00 0.00 Venues Net Payment Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Net Payment Market Paid/Received for Marketable Limit Non-Marketable Net Payment Paid/Received for Non-Marketable Paid/Received for Orders(cents per Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents Venue - Non-Non-Directed Non-Directed Marketable Limit Marketable Limit Orders(cents per 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) Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares) hundred shares) Citadel Securities LLC(CDRG) 100.00 100.00 0.00 0.00 Ω 0.00 0 August 2022 Non-S&P 500 Stocks Non-Marketable Market Orders as % Limit Orders as % of Other Orders as % Non-Directed Marketable Limit Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders as % of Non-Non-Directed of Non-Directed Orders Orders Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders 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 Market Paid/Received for Marketable Limit Paid/Received for Paid/Received for Paid/Received for Orders(cents per Marketable Limit Orders(cents per 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) August 2022 **Option Contracts** 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 Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders Venues Net Payment Net Payment Paid/Received for 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 Limit Orders(cents Paid/Received for Other Orders(cents Venue - Non-Non-Directed Marketable Limit Non-Marketable Non-Marketable Paid/Received for Orders(cents per Marketable Limit Orders(cents per 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 September 2022 S&P 500 Stocks Summary Non-Marketable Market Orders as % Limit Orders as % of Other Orders as % Marketable Limit 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 Directed Orders Total Non-Marketable Limit Orders Orders Total Other Orders Orders Orders Orders 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 Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment Paid/Received for Net Payment Market

0.00

Ω

Paid/Received for Orders(cents per

Λ

Other Orders(%) Market Orders(USD) hundred shares)

0.00

Marketable Limit

Orders(USD)

0

Orders(cents per

hundred shares)

Non-Marketable

Ω

Ω

Limit Orders(cents Paid/Received for Other Orders(cents

Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares)

Ω

Non-Marketable

Ω

0.00

Venue - Non-

G1 Execution Services, LLC(ETMM)

directed Order Flow Orders

Non-Directed

Non-Directed

66 67

2

Orders(%)

2

Marketable Limit

Ω

66 67

Marketable Limit Orders(%)

VIRTU Americas,						_								_					
LLC(NITE)		1	33.33	1 33	3.33	0	0.00	0 0	.00	0 0.	.00	0	0	0	0	0 0	0)	0
September 2022																			
Non-S&P 500 Stocks																			
Summary																			
	Non-Directed		Market Orders as	ıs %	Marketable Limit		Non-Marketable Limit Orders as %	of	Other Orders as	%									
Total Non-Directed			of Non-Directed	Total Marketable			Non-Directed		of Non-Directed										
Orders	Orders 0.0	Total Market C		Limit Orders 0.00	Directed Orders 0 0.0	Total Non-Marketable Limit Orders	Orders	Total Other Order 0.00		0.00									
Venues																			
venues																			
												Net Payment Paid/Received for	r Net Payment	Net Payment Paid/Received for	Net Payment	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- directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)		Orders(cents per D) hundred shares)	Marketable Limit Orders(USD)	Orders(cents per hundred shares)	Non-Marketable Limit Orders(USD)	Limit Orders(cents per hundred shares)		Other Orders(cents per hundred shares	
September 2022																			
Option Contracts																			
Summary							Non-Marketable												
	Non-Directed		Market Orders as	s %	Marketable Limit		Limit Orders as %	of	Other Orders as	%									
Total Non-Directed Orders	Orders as % of All Orders	Total Market C	of Non-Directed	Total Marketable Limit Orders	Orders as % of Non Directed Orders	Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Order	of Non-Directed										
Orders				0.00	0 0.0			0.00		0.00									
Venues																			
												Net Payment Paid/Received for	r Net Payment	Net Payment Paid/Received for	Net Payment	Net Payment Paid/Received for		Net Payment	
Venue - Non-	Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Net Payment Paid/Received for	Market Orders(cents per	Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Paid/Received for Non-Marketable	Non-Marketable Limit Orders(cents	Net Payment	Paid/Received for Other Orders(cents	
directed Order Flow		Orders(%)	Market Orders	Market Orders(%)		Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)		iD) hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	•			