RETTINGER & LEECH FINANCIAL - Hold NMS Stocks and Options Order Routing Public

5 EST

4th Quarter, 2022

S&P 500 Stocks Summary

Non-Directed Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All Orders Orders of Non-Directed Total Marketable Orders as % of NonTorders Limit Orders Directed Orders Total Non-Marketable Limit Orders Non-Directed of Non-D Orders Total Other Orders Orders Total Market Orders Orders 0.00 0.00 0.00

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

Net Payment

October 2022

Non-S&P 500 Stocks

Summary

Non-Marketable Limit Orders as % of Market Orders as % Other Orders as % Non-Directed Marketable Limit Total Non-Directed Orders as % of All 
 of Non-Directed
 Total Marketable
 Orders as % of Non-Directed Orders or Orders
 Total Non-Marketable Limit Orders

 0
 0.00
 0.00
 0
 0
 0.00
 Non-Directed of Non-Directed Orders Total Market Orders Orders Orders Total Other Orders Orders Orders 0.00 0.00

Venues

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

October 2022

**Option Contracts** 

Non-Marketable Limit Orders as % of Non-Directed Non-Directed Market Orders as % Marketable Limit Other Orders as % 
 Market Urders as % of Non-Directed
 Total Marketable Unit Orders so Orders as % of Non 

 so Greers
 Limit Orders
 Directed Orders
 Total Non-Marketable Limit Orders

 0
 0.00
 0.00
 0.00
 Total Non-Directed Orders as % of All Orders ... 0.00 Total Market Orders Orders Lin 0.00 Total Other Orders Orders Orders Orders

Net Payment Paid/Received for Net Payment Net Payment Paid/Received for Paid/Received for Net Payment Net Payment Net Payment Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment Paid/Received for Market Paid/Received for 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) Orders(USD) hundred shares) Limit Orders(USD) per hundred shares) Other Orders(USD) per hundred shares)

> Non-Marketable Limit Orders as % of

November 2022

S&P 500 Stocks Summary

of Non-Directed Total Marketable Orders as % of Non-Total Non-Directed Orders as % of All

Non-Directed Orders Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders
0 0.00 0 0.00 0 0.00 0.00

Venues

Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Market Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment Paid/Received for Non-Directed Non-Directed Marketable Limit Non-Marketable Non-Marketable Market 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) Limit Orders(USD)

Total Other Orders Orders

of Non-Directed

November 2022

Non-S&P 500 Stocks

Non-Marketable Market Orders as % Marketable Limit of Non-Directed Total Marketable Orders as % of Non-Limit Orders as % of Other Orders as % Total Non-Directed Orders as % of All Non-Directed of Non-Directed Orders Tot Total Market Orders Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders

.00 0 0.00 0 0.00 Orders Total Other Orders Orders

Venue - Non- Non-Directed directed Order Flow 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(%)	Net Payment Paid/Received for Market 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)	Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Net Payment Limit Orders(cents Paid/Received for per hundred shares) Other Orders(USD)	
November 2022																
Option Contracts Summary						Non-Marketable										
Total Non-Directed Total Non-Directed Orders Orders  0 0.00	Total Market Orders		Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0.0	Total Non-Marketable Limit Orders	Limit Orders as % Non-Directed Orders	Total Other Order	Other Orders as % of Non-Directed s Orders 0 0.	00							
Venues																
Venue - Non- Non-Directed directed Order Flow 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(%)	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)	Limit Orders(cents Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
December 2022																
S&P 500 Stocks Summary						Non-Marketable										
Total Non-Directed Orders as % of All Orders 3 100.00	Total Market Orders		Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0 0.0	Total Non-Marketable Limit Orders	Limit Orders as % Non-Directed Orders	Total Other Order	Other Orders as % of Non-Directed s Orders 0 0:								
Venues																
										Net Payment Paid/Received for	Net Payment Paid/Received for Market	Net Payment Paid/Received for	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for	Net Payment Paid/Received for Non-Marketable Net Payment	Net Payment Paid/Received for
Venue - Non- Non-Directed directed Order Flow Orders G1 Execution	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(%)	Market Orders(USD)	Orders(cents per hundred shares)	Marketable Limit Orders(USD)	Orders(cents per hundred shares)	Non-Marketable Limit Orders(USD)	Limit Orders(cents Paid/Received for per hundred shares) Other Orders(USD)	Other Orders(cents
Services, LLC(ETMM) 2 Citadel Securities	2 66.67	, 2	66.67	7	0	0.00	0 0.	00	0 0.	.00	0	0	0	0	0 0	0 0
LLC(CDRG) 1	1 33.33	1 1	33.33	3	n	0.00	0 0	00	0 0	00	0	0	0	0	0 0	0 0
LLC(CDRG) 1	1 33.33	3 1	33.33	3	0	0.00	0 0.	00	0 0.	.00	0	0	0	0	0 0	0 0
LLC(CDRG) 1 December 2022	1 33.33	1	33.3	3	0	0.00	0 0.	00	0 0.	00	0	0	0	0	0 0	0 0
	1 33.33	3 1	. 33.3:	3	0	0.00	0 0.	00	0 0.	.00	0	0	0	0	0 0	0 0
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Diersted Orders	of Total Other Order	Other Orders as % of Non-Directed		.00	0	0	0	0	0 0	0 0
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All Orders Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Diersted Orders	of Total Other Order	Other Orders as % of Non-Directed s Orders		00	0	0	0	0	0 0	0 0
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All Orders  O 0 0.000	Total Market Orders	Market Orders as % of Non-Directed Orders 0.00	Total Marketable Limit Orders (	Marketable Limit Orders as % of Non Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Diersted Orders	of Total Other Order	Other Orders as % of Non-Directed s 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(cents per hundred shares)		Net Payment Paid/fleceived for Nor-Marketable Limit Order/sizens Paid/fleceived for	
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All Orders  Orders  Orders  Venues	Total Market Orders	Market Orders as % of Non-Directed Orders 0.00	Total Marketable Limit Orders (	Marketable Limit Orders as % of Non Directed Orders 0.0	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Directed Orders 0 0	of Total Other Order 00 Non-Marketable	Other Orders as % of Non-Directed s Orders 0.	<b>10</b>	Net Payment Paid/Received for Market	Net Payment Paid/Received for Market	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/fleceived for Nor-Marketable Limit Order/sizens Paid/fleceived for	Paid/Received for Other Orders(cents
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders a % of All Orders  Orders  Venues  Venue - Non- Mon-Directed directed Order Flow December 2022 Option Contracts	Total Market Orders	Market Orders as % of Non-Directed Orders 0.00	Total Marketable Limit Orders (	Marketable Limit Orders as % of Non Directed Orders 0.0	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Directed Orders 0 0	of Total Other Order 00 Non-Marketable	Other Orders as % of Non-Directed s Orders 0.	<b>10</b>	Net Payment Paid/Received for Market	Net Payment Paid/Received for Market	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/fleceived for Nor-Marketable Limit Order/sizens Paid/fleceived for	Paid/Received for Other Orders(cents
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All Orders  Onders  Venues  Venue - Non- directed Order Flow December 2022 Option Contracts Summary  Non-Directed Total Non-Directed	Total Market Orders  Non-Directed Orders(%)	Market Orders as % of Non-Directed Orders 0.000  Market Orders  Market Orders as % of Non-Directed Orders as % of Non-Directed Orders	Total Marketable Limit Orders  ( Market Orders(%)  Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0.0 Marketable Limit Orders Marketable Limit Orders as % of Non	Total Non-Marketable Limit Orders  Marketable Limit Orders(%)  Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Diected Orders  Non-Marketable Limit Orders  Non-Marketable Limit Orders as % Non-Diected Orders	of Total Other Order 00 Non-Marketable Limit Orders(%)	Other Orders as % of Non-Directed 5 Orders 0 0.  Other Orders  Other Orders as % of Non-Directed	Other Orders(%)	Net Payment Paid/Received for Market	Net Payment Paid/Received for Market	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/fleceived for Nor-Marketable Limit Order/sizens Paid/fleceived for	Paid/Received for Other Orders(cents
December 2022  Non-S&P 500 Stocks Summary  Non-Directed Total Non-Directed Orders as % of All Orders  O 0 0.00  Venues  Venue - Non- Directed Orders  December 2022  Option Contracts Summary  Non-Directed Total Non-Directed Total Non-Directed Orders as % of All Orders  Orders orders as % of All Orders  Orders orders as % of All Orders orders as % of All	Total Market Orders  Non-Directed Orders(%)	Market Orders as % of Non-Directed Orders 0.000  Market Orders  Market Orders as % of Non-Directed Orders as % of Non-Directed Orders	Total Marketable Limit Orders  ( Market Orders(%)  Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0.0 Marketable Limit Orders Marketable Limit Orders as % of Non	Total Non-Marketable Limit Orders  Marketable Limit Orders(%)  Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Diected Orders  Non-Marketable Limit Orders  Non-Marketable Limit Orders as % Non-Diected Orders	of Total Other Order ONO Non-Marketable Limit Orders(%)  of Total Other Order	Other Orders as % of Non-Directed s Orders 0.  Other Orders  Other Orders as % of Non-Directed s Orders as % of Non-Directed s Orders	Other Orders(%)	Net Payment Paid/Received for Market	Net Payment Paid/Received for Market	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/fleceived for Nor-Marketable Limit Order/sizens Paid/fleceived for	Paid/Received for Other Orders(cents

Net Payment

Net Payment

Net Payment