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

Generated on Tue Jul 11 2023 11:07:48 GMT-4 EDT

2nd Quarter, 2023

April 2023

S&P 500 Stocks

	•									Non-Marketable	9		
		Non-Directed	d	Mar	rket Orders as %		Marketable Lim	t		Limit Orders as	-	Other Orders a	as %
Total	Non-Directed	Orders as % o	of All	of N	Non-Directed	Total Marketable	Orders as % of I	on-		Non-Directed		of Non-Directe	ed
Orde	rs	Orders	Total	Market Orders Ord	lers	Limit Orders	Directed Orders	Total Non-Marke	table Limit Orders	Orders	Total Other Orders	Orders	
	13	3	100.00	13	100.00	0)	0.00		0	0.00)	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders VIRTU Americas,	Non-Directed Orders(%)	l Market Orders	Market Order	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%)	Net Payment Paid/Received for Market Orders(USD		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	Limit Orders(cents		Net Payment Paid/Received for Other Orders(cents per hundred shares)	
LLC(NITE)	8	61.54	8	61.54	0	0.00	0	0.00	0 0	.00	0	0	0	0	0	0 0	D 0)
Citadel Securities LLC(CDRG) G1 Execution	3	23.08	3	23.08	0	0.00	0	0.00	0 0	.00	0	0	0	0	0	0 0	0 0)
Services, LLC(ETMM)	2	15.38	2	15.38	0	0.00	0	0.00	0 0	.00	0	0	0	0	0	0 0	o 0)

April 2023

Non-S&P 500 Stocks

,										
							Non-Marketak	ole		
	Non-Directed		Market Orders as 9	6	Marketable Lii	nit	Limit Orders a	s % 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 Order	s Orders	Limit Orders	Directed Orde	s Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
(0	0.00	0.0	00	0	0.00	0	0.00	0.0)

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 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)

Non-Marketable

April 2023

Option Contracts

	Non-Directed		Market Orders as 9	%	Marketable Lir	nit	Limit Orders as	s % of	Other Orders as %
Total Non-Directed	Orders as % of /	di .	of Non-Directed	Total Marketable	Orders as % of	Non-	Non-Directed		of Non-Directed
Orders	Orders	Total Market Orde	rs Orders	Limit Orders	Directed Order	s Total Non-Marketable Limit Orders	orders Orders	Total Other Orders	Orders
(0	0.00	0.0	00	0	0.00	0	0.00	0.00

Venues

												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 Flow	Orders	Orders(%)	Market Orders	Market Orders(%)	Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Market Orders(USI	D) hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares	Other Orders(USD)	per hundred shares)

Net Payment

Net Payment

Net Payment

May 2023

S&P 500 Stocks Summary

Total Non-Directed	Marketable Limit Orders as % of Non- Directed Orders Total Non-Marketable Limit Orders 0 0.00	Non-Marketable Limit Orders as % of Non-Directed Orders Total Other Orders 0 0.00	Other Orders as % of Non-Directed Orders 0 0.00		
Venue - Non- Non-Directed Non-Directed directed Order Flow Orders Orders(%) Market Orders Market Orders (? Citadel Securities LLC(CDRG) 1 100.00 1 10		Non-Marketable Umit Orders Umit Orders(%) .00 0 0.00	,	SD) hundred shares) Orders(USD) hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD) Net Payment Paid/Received for Non-Marketable Limit Orders(SuSD) Net Payment Paid/Received for Paid/Received for Paid/Received for Other Orders(USD) O 0 0 0 0
May 2023					
Non-S&P 500 Stocks Summary Non-Directed Non-Directed Orders as % of All Orders Ord	Directed Orders Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders Total Other Orders 0 0.00	Other Orders as % of Non-Directed Orders 0 0.00		
Venue - Non- Non-Directed Non-Directed directed Order Flow Orders Orders(%) Market Orders Market Orders(7	Marketable Limit) Orders Marketable Limit Orders(%)	Non-Marketable Non-Marketable Limit Orders Limit Orders(%)	Net Payment Paid/Received for Other Orders Other Orders(%) Market Orders(U	Net Payment Paid/Received for Market Market Orders(cents per Marketable Limit Orders(cents per Marketable Limit Orders(cents per hundred shares) Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	
May 2023 Option Contracts Summary Non-Directed Market Orders as % Total Non-Directed Orders as % of All Orders Orders Total Market Orders Orders Unit Orders Venues	Marketable Limit Orders as % of Non- Directed Orders Total Non-Marketable Limit Orders 0 0.00	Non-Marketable Limit Orders as % of Non-Directed Orders Total Other Orders 0 0.00	Other Orders as % of Non-Directed Orders 0 0.00		
Venue - Non- Non-Directed Non-Directed directed Orders Orders(?) Market Orders Market Orders(?)	Marketable Limit) Orders Marketable Limit Orders(%)	Non-Marketable Non-Marketable Limit Orders Limit Orders(%)	Net Payment Paid/Received for Other Orders Other Orders(%) Market Orders(US	Net Payment Paid/Received for Market Orders(cents per Db) hundred shares) Net Payment Paid/Received for Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Net Payment Paid/Received for Non-Marketable Limit Orders(Cents per hundred shares) Net Payment Paid/Received for Not Payment Paid/Received for Other Orders(Cents per hundred shares) Net Payment Paid/Received for Other Orders(Cents per hundred shares)
June 2023 S&P 500 Stocks Summary Non-Directed Market Orders as % Total Non-Directed Orders as % of All of Non-Directed Total Marketable Orders Orders Total Market Orders Orders Limit Orders 2 100.00 2 100.00	Marketable Limit Orders as % of Non- Directed Orders Total Non-Marketable Limit Orders 0 0.00	Non-Marketable Limit Orders as % of Non-Directed Orders Total Other Orders 0 0.00	Other Orders as % of Non-Directed Orders 0 0.00		
Venues Venue - Non- Non-Directed Non-Directed directed Order Flow Orders Orders(%) Market Orders Market Orders(5 Services,	•	Non-Marketable Non-Marketable Limit Orders Limit Orders(%)		SD) hundred shares) Orders(USD) hundred shares)	Paid/Received for Non-Marketable Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares) Other Orders(USD) Per hundred shares) Other Orders(USD) Per hundred shares)
LLC(ETMM) 1 50.00 1 5	0.00 0.00	.00 0 0.0	0 0.00	0 0	0 0 0 0

VIRTU America	ıs,																	
LLC(NITE)		1 5	0.00	1 50.	.00	0	0.00	0 0.0	10	0 0.	00	0	0	0	0	0 () (
June 2023																		
Non-S&P 500 S	itocks																	
Summary							Non-Marketable											
	Non-Directed		Market Orders as	· %	Marketable Limit		Limit Orders as %	of	Other Orders as %									
	cted Orders as % of		of Non-Directed	Total Marketable			Non-Directed		of Non-Directed									
Orders	Orders	Total Market Or		Limit Orders		Total Non-Marketable Limit Orders	Orders	Total Other Orders										
	0	0.00	0 0	0.00	0 0.0	10	0 0.	00	0 0.	00								
Venues																		
												Net Payment Paid/Received for	Net Payment	Net Payment Paid/Received for	Not Payment	Net Payment Paid/Received for		Net Payment
											Net Payment	Market	Paid/Received for	Marketable Limit	Paid/Received for		Net Payment	Paid/Received for
Venue - Non-	Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Paid/Received for	Market Orders(cents per	Paid/Received for Marketable Limit		Paid/Received for Non-Marketable	Non-Marketable Limit Orders(cents	Paid/Received for	Paid/Received for Other Orders(cents
directed Order		Non-Directed Orders(%)	Market Orders	Market Orders(%)		Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Paid/Received for	Market	Paid/Received for	Marketable Limit	Paid/Received for	Non-Marketable Limit Orders(cents		Paid/Received for Other Orders(cents
			Market Orders	Market Orders(%)		Marketable Limit Orders(%)			Other Orders	Other Orders(%)	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	Paid/Received for	Paid/Received for Other Orders(cents
			Market Orders	Market Orders(%)		Marketable Limit Orders(%)			Other Orders	Other Orders(%)	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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order	Flow Orders		Market Orders	Market Orders(%)		Marketable Limit Orders(%)			Other Orders	Other Orders(%)	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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order	Flow Orders		Market Orders	Market Orders(%)		Marketable Limit Orders(%)			Other Orders	Other Orders(%)	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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order June 2023 Option Contrac	Flow Orders				Orders	Marketable Limit Orders(%)	Limit Orders Non-Marketable	Limit Orders(%)		,	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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order June 2023 Option Contract Summary	Flow Orders cts Non-Directed	Orders(%)	Market Orders as	**	Orders Marketable Limit		Limit Orders Non-Marketable Limit Orders as % o	Limit Orders(%)	Other Orders as %	,	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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order June 2023 Option Contrac Summary Total Non-Dire	Priow Orders tts Non-Directed orders as % of	Orders(%)	Market Orders as of Non-Directed	. % Total Marketable	Orders Marketable Limit Orders as % of Non	· · ·	Limit Orders Non-Marketable Limit Orders as % of Non-Directed	Limit Orders(%)	Other Orders as % of Non-Directed	,	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	Paid/Received for	Paid/Received for Other Orders(cents
June 2023 Option Contract Summary	Flow Orders cts Non-Directed	Orders(%)	Market Orders as of Non-Directed ders Orders	**	Orders Marketable Limit	Total Non-Marketable Limit Orders	Limit Orders Non-Marketable Limit Orders as % Non-Directed Orders	Limit Orders(%)	Other Orders as % of Non-Directed Orders		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	Paid/Received for	Paid/Received for Other Orders(cents
directed Order June 2023 Option Contrac Summary Total Non-Dire	Non-Directed Orders as % of Orders	Orders(%) Ali Total Market Or	Market Orders as of Non-Directed ders Orders	% Total Marketable Limit Orders	Orders Marketable Limit Orders as % of Non Directed Orders	Total Non-Marketable Limit Orders	Limit Orders Non-Marketable Limit Orders as % Non-Directed Orders	Limit Orders(%) of Total Other Orders	Other Orders as % of Non-Directed		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	Paid/Received for	Paid/Received for Other Orders(cents

Limit Orders(%) Other Orders

Non-Marketable Non-Marketable

Non-Directed

directed Order Flow Orders

Non-Directed

Orders(%)

Marketable Limit

Marketable Limit Orders(%)

Market Orders Market Orders(%) Orders

Net Payment

Market

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

Net Payment

Paid/Received for Net Payment

Net Payment

Paid/Received for Net Payment

Paid/Received for Orders(cents per Marketable Limit Orders(cents per Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents

Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment

Net Payment

Paid/Received for

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

Net Payment

Paid/Received for