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

Generated on Tue Oct 10 2023 09:18:14 GMT-4 EDT

3rd Quarter, 2023

July 2023

S&P 500 Stocks Summary

Julilliary										
							Non-Marketal	ole		
	Non-Directed		Market Orders as %		Marketable Limit		Limit Orders a	s % of	Other Orders	as %
Total Non-Directed	Orders as % of All		of Non-Directed	<b>Total Marketable</b>	Orders as % of Non-		Non-Directed		of Non-Directe	ed
Orders	Orders	Total Market Order	s Orders	Limit Orders	<b>Directed Orders</b>	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
1	100	00	1 100.00	)	0 00	n	0	0.00	n	0.00

Venues

Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Non-Marketable Net Payment Payment Paid/Received for Non-Marketable Net Payment Pa	
Not Doumant Market Brid/Deceived for Marketahle Limit Brid/Deceived for Non Marketahle Not Boumant Brid/Deceived for	
Net rayment market ranguetelived for marketable unit ranguetelived for Mon-marketable Net rayment ranguetelived for	
Venue - Non- Non-Directed Non-Directed Non-Directed Non-Directed Non-Directed Non-Marketable Limit Orders(cents Paid/Received for Other Orders(cents per Marketable Limit Orders(cents Paid/Received for Other O	į
directed Order Flow Orders Orders(%) Market Orders (USD) per hundred shares (USD)	5)
Jane Street Capital,	
LLC(JNST) 1 100.00 1 100.00 0 0.00 0 0.00 0 0.00 0 0 0	0

Net Payment

Net Payment

Net Payment

Net Payment

Net Payment

Net Payment

July 2023

Non-S&P 500 Stocks

Summary

Non-Directed			Market Ord	Market Orders as %			Marketable Limit				Limit Orders as % of			
Total Non-Dire	cted Orders as % of	All	of Non-Dire	ected	Total Marketable	Orders as %	of Non-			Non-Directed		of Non-Dire	ected	
Orders	Orders	Total Mar	ket Orders Orders		Limit Orders	Directed Or	ders	Total Non-Marketable Limit Orders		Orders	Total Other Orders	Orders		
	0	0.00	0	0.00		0	0.00	1	0		0.00	0	0.00	

Venues

			Paid/Received for	Net Payment	Paid/Received for Net F	t Payment Paid/Received for	Net Payment
			Net Payment Market	Paid/Received for	Marketable Limit Paid,	id/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-	n-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	nit Orders(USD) per hundred shares) Other Orders(USD)	per hundred shares)

Non-Marketable

July 2023

Option Contracts Summary

Non-Directed Non-Directed Orders as % of All Orders as % of Non-Directed Orders of Non-Directe

Venues

												Net Payment		Net Payment Net Payment		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- No	Ion-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 Or	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 2023

S&P 500 Stocks Summary

•							Non-Marketab	le		
	Non-Directed		Market Orders as 9	6	Marketable Li	nit	Limit Orders as	s % of	Other Orders as	%
Total Non-Directed	Orders as % of A	di .	of Non-Directed	Total Marketable	Orders as % o	Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orde	rs Total Non-Marketable Limit Orders	Orders	<b>Total Other Orders</b>	Orders	
(	)	0.00	0.0	00	0	0.00	0	0.00	)	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders  August 2023	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(USI	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	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
August 2025																	
Non-S&P 500 Stocks Summary						Non-Marketable											
Total Non-Directed Orders Orders Onders Onders Onders Onders Onders	Total Market Orde	Market Orders as 9 of Non-Directed ers Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0 0.	<b>Total Non-Marketable Limit Orders</b>	Limit Orders as 9 Non-Directed Orders	6 of  Total Other Order 0.00	Other Orders as % of Non-Directed s Orders 0 0.									
Venues	.00	0 0.1	50	0.			5.00	0.	00								
Venue - Non- Non-Directed	Non-Directed			Marketable Limit		Non-Marketable				Net Payment Paid/Received for	Net Payment Paid/Received for Market Orders(cents per	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable		Paid/Received for	Net Payment 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(USE	) hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares	s) Other Orders(USD)	per hundred shares)
August 2023																	
Option Contracts Summary																	
Non-Directed Total Non-Directed Orders as % of All Orders Orders	Total Market Orde	Market Orders as 9 of Non-Directed ers Orders 0 0.0	Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0 0.	<b>Total Non-Marketable Limit Orders</b>	Non-Marketable Limit Orders as 9 Non-Directed Orders		Other Orders as % of Non-Directed s Orders 0 0.									
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(USI		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 Paid/Received for S) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
September 2023																	
S&P 500 Stocks Summary						Non-Marketable											
Total Non-Directed Total Non-Directed Orders as % of All Orders 1 100.	Total Market Orde	Market Orders as 9 of Non-Directed ers Orders 1 100.0	Total Marketable Limit Orders	Marketable Limit Orders as % of Non Directed Orders 0 0.	n- Total Non-Marketable Limit Orders	Limit Orders as 9 Non-Directed Orders		Other Orders as % of Non-Directed s Orders 0 0.									
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)		Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	1 100.	00	1 100.0	00	0	0.00	0 0.	00	0 0.	00	0	0	0	0	0	0	0 0

September 2023

Non-S&P 500 Stocks

Total Non-Directed Total Non-Directed Orders as % of All Orders 0 0.00	Market Orders as % of Non-Directed Total Market Orders Orders 0 0 0.00  Total Market Orders Orders	Marketable Limit Orders as % of Non- Directed Orders Total Non-Marketable Limit Orders 0 0.00		Other Orders as % of Non-Directed 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 Non-Marketable Limit Orders Limit Orders(%)	Other Orders Other Orders(%)	Net Payment Paid/Received for Net Payment Market Paid/Received for Paid/Received for Orders(cents per Market Orders(USD) hundred shares)  Orders(USD)  Orders(USD)	Net Payment Paid/Received for Net Payment Paid/Received for Non-Marketable Limit Orders(cents per Non-Marketable Limit Orders(USD) Non-Marketable Limit Orders(USD) Non-Marketable Net Payment Paid/Received for Other Orders(cents per hundred shares) Other Orders(cents per hundred shares) Other Orders(cents per hundred shares)
September 2023						
Option Contracts Summary			Non-Marketable			
Total Non-Directed Orders Orders  0 0.00	Market Orders as % of Non-Directed Total Market Orders Orders Limit Orders 0 0.00	Marketable Limit Orders as % of Non- Directed Orders Total Non-Marketable Limit Orders 0 0.00		Other Orders as % of Non-Directed 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 Non-Marketable Limit Orders Limit Orders(%)	Other Orders Other Orders(%)	Net Payment Paid/Received for Net Payment Market Paid/Received for Paid/Received for Paid/Received for Market Orders(USD) hundred shares)  Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Net Payment Marketable Limit Paid/Received for Orders(cents per hundred shares)  Net Payment Paid/Received for Non-Marketable Limit Orders(USD)  Net Payment Paid/Received for Non-Marketable Net Payment Paid/Received for Other Orders(cents Paid/Received for Other