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

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1st Quarter, 2021

January 2021

S&P 500 Stocks Summary

								Non-Marketable				
	Non-Directed			Market Orders as %		Marketable Lim	it	Limit Orders as %	of	Other Orders as	%	
Total Non-Directed Orders as % of All			All	of Non-Directed	Total Marketable	Orders as % of I	Non-	Non-Directed		of Non-Directed		
	Orders	Orders	Total Market Order	rs Orders	Limit Orders	Directed Orders	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders		
	70	) 1	00.00 7	0 100.00	) (	)	0.00	0 0	0.00	1	0.00	

Venue - Non- Non-Directed directed Order Flow Orders Citadel Securities	Non-Directed Orders(%)	Market Orders	Market Orders	Marketable Limit (%) Orders	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 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)	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	its
	37	52.86	37	52.86	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	22	31.43	22	31.43	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST) G1 Execution	5	7.14	5	7.14	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services, LLC(ETMM) Two Sigma Securities,	4	5.71	4	5.71	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(SOHO)	1	1.43	1	1.43	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	1	1.43	1	1.43	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

January 2021

Non-S&P 500 Stocks

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

 Orders
 Total Other Orders
 0

 0
 0.00
 0

Venue - Non- Non-Directed directed Order Flow Orders VIRTU Americas	Non-Directe Orders(%)	ed Market Orders	Market Orde	Marketable Limit rs(%) Orders	: 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)	Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for Non-Marketable	Limit Orders(cents	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cents ) per hundred shares	s
LLC(NITE) Citadel Securities LLC(CDRG)	5	45.45 36.36	5	45.45 36.36	0	0.00	0	0.00		0.00	0	0	)	0	0	0	0 0	0
JANE STREET CAPITAL, LLC(JNST) Two Sigma	1	9.09	1	9.09	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0 (	0
Securities, LLC(SOHO)	1	9.09	1	9.09	0	0.00	0	0.00	0	0.00	0	0	)	0	0	0	0 (	0

January 2021

Option Contracts Summary

Non-Marketable
Limit Orders as % of Other U...
Non-Directed of Non-Dir
Orders Total Other Orders Orders

0.00 0 Total Non-Directed Orders as % of All Orders of Non-Directed Orders as % of All Orders of Non-Directed Orders of Non-Directed Orders of Non-Directed Orders Orders

											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
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	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

February 2021

S&P 500 Stocks Summary

	Non-Directe	Market Orde	Market Orders as %					Limit Orders as	: % of	Other Orders as %		
Total Non-Directe	I Non-Directed Orders as % of All			cted	Total Marketable	Orders as % of	f Non-		Non-Directed		of Non-Directe	d
Orders	Orders	Total Market On	ders Orders		Limit Orders	Directed Orde	rs	Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
	38	100.00	38	100.00		0	0.00	)	0	0.00	0	0.00

Venue - Non- Non-Directed directed Order Flow Orders Citadel Serurities	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 Non-Marketable Limit Orders(cents per hundred shares	Net Payment Paid/Received for (3) Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred share	ts
LLC(CDRG)	17	44.74	17 4	14.74	0	0.00	0 0	0.00	0 0.	.00	0	0	0	0	0	0 0	0	0
VIRTU Americas LLC(NITE)	8	21.05	8 2	1.05	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 (	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	7	18.42	7 1	8.42	0	0.00	0 0	0.00	0 0.	.00	0	0	0	0	0	0 0	0	0
UBS Securities, LLC(UBSS)	3	7.89	3	7.89	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 (	0	0
Two Sigma	_		-				-		_			-	-	-			-	-
Securities, LLC(SOHO)	2	5.26	2	5.26	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 0	0	0
G1 Execution Services,																		
LLC(ETMM)	1	2.63	1	2.63	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 0	0	0
February 2021																		
Non-S&P 500 Stocks Summary						Non-Marketable												
Total Non-Directed Orders Orders  Orders  100		Market Orders as of Non-Directed Orders Orders 4 100	Total Marketabl Limit Orders	Directed Orders		Limit Orders as 9 Non-Directed Orders			.00									
Venues		7 100		- 0	<del></del>	- '		- 0										
Venue - Non- Non-Directed	Non-Directed			Marketable Limit		Non-Marketable	Non-Marketable			Net Payment Paid/Received for Market	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 Limit Orders(cents	Net Payment Paid/Received for	Net Payment Paid/Received for Other Orders(cent	
directed Order Flow Orders Citadel Securities	Orders(%)	Market Orders	Market 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	s) Other Orders(USD)		
LLC(CDRG)	1	25.00	1 2	5.00	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 0	0	0
G1 Execution Services,																		
LLC(ETMM)	1	25.00	1 2	5.00	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 (	0	0
JANE STREET CAPITAL, LLC(JNST)	1	25.00	1 2	5.00	0	0.00	0 0	0.00	0 0	.00	0	0	0	0	0	0 (	0	0
UBS Securities, LLC(UBSS)	1	25.00		5.00	0	0.00		0.00		.00	0	0						0
LLC(OBSS)	1	25.00	1 2	5.00	· ·	0.00	0 0	5.00	0 0	.00	U	U	U	U	U	, (	U	U
February 2021																		
Option Contracts																		
Summary						Non-Marketable												
Total Non-Directed Orders Orders  Orders  0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	Total Market	Orders Orders	% Total Marketabl Limit Orders	Directed Orders	n- Total Non-Marketable Limit Orders .00	Limit Orders as 9 Non-Directed Orders			.00									
Venues																		
										Net Payment Paid/Received for	Net Payment Paid/Received for Market	Paid/Received for		Paid/Received for	Net Payment Paid/Received for Non-Marketable		Net Payment Paid/Received for	
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(%)	Market Orders(USD)	Orders(cents per hundred shares)	Marketable Limit Orders(USD)	Orders(cents per hundred shares)	Non-Marketable Limit Orders(USD)		Paid/Received for s) Other Orders(USD)		
March 2021																		
S&P 500 Stocks Summary						Non-Marketable		-u - :										
Total Non-Directed  Total Non-Directed  Orders as % of All  Orders  21  100	Total Market	Market Orders as of Non-Directed Orders Orders 21 100	Total Marketabl Limit Orders	Directed Orders	n- Total Non-Marketable Limit Orders .00	Limit Orders as 9 Non-Directed Orders	6 of Total Other Order 0.00		.00									
Venues																		
											Net Payment		Net Payment		Net Payment			
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	Net Payment Paid/Received for Marketable Limit Orders(USD)	Paid/Received for Marketable Limit	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Paid/Received for Non-Marketable Limit Orders(cents		Net Payment Paid/Received for Other Orders(cent per hundred share	ts
March 2021																		
Non-S&P 500 Stocks Summary																		

Non-Marketable
Limit Orders as % of Other Orders as % of Non-Directed
Orders Total Other Orders Orders

Non-Directed Market Orders as 7 August 1972 | Market Orders as 7 A

4	ı	100.00	4	100.00	0	0.00	0	0.00	0	0.00

Venues

Net Payment Paid/Received for Non-Marketable Non-Marketable Unit Orders(%) Other Orders(%) Oth 
 Venue - Non Non-Directed
 Non-Directed
 Market Orders
 Market Orders
 Market Orders
 Market Orders(%)
 Orders
 Marketable Limit Orders(%)

March 2021

Option Contracts Summary

Non-Marketable
Limit Orders as % of Other Orders as %
Non-Directed of Non-Directed
Orders Total Other Orders Orders
0 0.00 0 0.00 Total Non-Directed Orders as % of All Orders Orders

											Net Payment		Net Payment		Net Payment		
										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
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	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)