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

2nd Quarter, 2021

April 2021

S&P 500 Stocks Summary

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

										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-Directe	ed Non-Direct	ted		Marketable Limit		Non-Marketable	Non-Marketabl	e		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 Orde	ers(%) 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	1
Citadel Securities																		
LLC(CDRG)	3	100.00	3	100.00	0	0.00	0	0.00	0 0	00	0	0	0	0	0)	0	٥

April 2021

Non-S&P 500 Stocks Summary

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

Venues

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 Orders(cents per Marketable Limit Orders(cents Paid/Received for Other Other Other Orders(cents Paid/Received for Other Othe Paid/Received for Non-Directed Non-Directed Marketable Limit Non-Marketable Non-Marketable Market Market Orders(%) Orders Marketable Limit Orders(%) Limit Orders(%) Other Orders

Net Payment

Net Payment

Net Payment

Net Payment

Net Payment

April 2021

Option Contracts

Non-Directea
Total Non-Directed Orders as % of All Orders Orders Orders
Orders Orders Orders Market Orders as % Marketable Limit Limit Orders as % of Other Orders as % Limit Orders as A - Non-Directed Orless Orders

Total Other Orders 0 of Non-Directed Orders 0.00

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

May 2021

S&P 500 Stocks Summary

Non-Marketable Market Orders as % Limit Orders as % of Other Orders as % Non-Directed Orders Orders Orders of Non-Directed Total Marketable Orders as % of Non-rs Orders Limit Orders Directed Orders Total Non-Directed Orders as % of All of Non-Directed Orders Total Market Orders Orders Directed Orders Total Non-Marketable Limit Orders
0 0.00 100.00 100.00

Venue - Non- Non-Direc directed Order Flow Orders Citadel Securities		i-Directed ers(%)	Market Orders	Market Order	Marketable Lin	uit Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit 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)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Paid/Received for Non-Marketable Limit Orders(cents per hundred share	Net Payment	Net Payment Paid/Received for Other Orders(cent per hundred share	its
LLC(CDRG)	20		52.63	20	52.63	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																			
LLC(NITE)	9		23.68	9	23.68	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST) G1 Execution Services,	7	:	18.42	7	18.42	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(ETMM) Two Sigma Securities,	1		2.63	1	2.63	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
LLC(SOHO)	1		2.63	1	2.63	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

May 2021

Non-S&P 500 Stocks Summary Total Non-Directed Orders	Non-Directed Orders as % o Orders	f All	Market Orders of Non-Directe et Orders Orders 7 1		Directed Orders	on-	Lim	n-Marketable nit Orders as % of n-Directed ders 0.00	Total Other Orders		%		
Venues													
Venue - Non-	Non-Directed	Non-Directe	ed		Marketable Limi	t	No	n-Marketable	Non-Marketable			Net Payment Paid/Received for Market	Net F Paid, Mark Orde
directed Order Flow Citadel Securities	Orders	Orders(%)	Market Orders	Market Orders(%	Orders	Marketable Limit Orders(%)	Lim	nit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Orders(USD)	hund
LLC(CDRG) VIRTU Americas.		4	57.14	4 57	14	0	0.00	0	0.0	00	0	0.00	0
LLC(NITE)		2	28.57	2 28	.57	0	0.00	0	0.0	00	0	0.00	0
JANE STREET													
CAPITAL, LLC(JNST)		1	14.29	1 14	29	0	0.00	0	0.0	00	0	0.00	0
May 2021													
Option Contracts													

Summary										
							Non-Marketab	le		
	Non-Directed		Market Orders a	s %	Marketable Lim	nit	Limit Orders as	: % of	Other Orders as	%
Total Non-Directed	Orders as % of A	I	of Non-Directed	Total Marketable	Orders as % of I	Non-	Non-Directed		of Non-Directed	
Orders	Orders	Total Market Order	s Orders	Limit Orders	Directed Orders	s Total Non-Marketable Limit Orders	Orders	Total Other Orders	Orders	
() (0.00	0 (0.00	0	0.00	0	0.00	0	0.0

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
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 Flor	w 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)

Net Payment
Paid/Received for Market able Limit
Orders(cent per Mondred Aires) Orders(Cent per Orders(Cent per Orders(Limit) Ord

0

0

Net Payment

0

0 0 0

June 2021 S&P 500 Stocks

Venues

Venue - Non- Non-Directed directed Order Flow Orders Citadel Securities	Non-Directed Orders(%)	d Market Orders	Market Orde	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketal Limit Orders(%		Other Orders(9	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(cent per hundred shar	Net Payment	Net Payment Paid/Received fo Other Orders(cer per hundred shai	nts
LLC(CDRG) VIRTU Americas, LLC(NITE)	20	62.50 25.00	20	62.50 25.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST) Two Sigma	2	6.25	2	6.25	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Securities, LLC(SOHO) UBS Securities, LLC(UBSS)	1	3.13 3.13	1	3.13 3.13	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

June 2021

Non-S&P 500 Stocks Summary

	Non-Directed		Market Orders as %		Marketable Lim	it		Limit Orders as	% of	Other Orders as	5 %
Total Non-Directed	Orders as % of All		of Non-Directed	Total Marketable	Orders as % of N	lon-		Non-Directed		of Non-Directed	ž.
Orders	Orders	Total Market Orders	Orders	Limit Orders	Directed Orders	Total Non-Marketable Li	mit Orders	Orders	Total Other Orders	Orders	
11	100.0	0 11	100.00		0	0.00		D	0.00	D	0.00

Venues

Venue - Non- Non-Directed directed Order Flow Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketab Limit Orders(%		Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for		Paid/Received for Non-Marketable	Limit Orders(cents	Paid/Received for	Net Payment Paid/Received for Other Orders(cents per hundred shares)	
Citadel Securities LLC(CDRG) VIRTU Americas, LLC(NITE)	5	45.45 36.36		5.45 6.36	0	0.00	0	0.00	0 0.0		0	0	0	0 (o (0 0	0	
JANE STREET CAPITAL, LLC(JNST)	2	18.18	2 1	8.18	0	0.00	0	0.00	0 0.0	0	0	0	0	0 () (0 (o e	,

June 2021

Option Contracts Summary

| Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Summary | Sum

Venues

Net Payment Paid/Received for Mon-Directed directed Order flow Orders (with the Condent flow orders) (with the Condent flow