BETTINGER & LEECH FINANCIAL - Held NMS Stocks and Options Order Routing Public Generated on Thu Oct 14 2021 09:05:58 GMT-

3rd Quarter, 2021

July 2021

S&P 500 Stocks

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

Venues

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

Net Payment

Net Payment

Net Payment

Net Payment

**Net Payment** 

**Net Payment** 

Net Payment

Net Payment

**Net Payment** 

Non-Marketable

Non-Marketable

Non-Marketable

Limit Orders as % of

0.00

July 2021

Non-S&P 500 Stocks Summary

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

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

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

Total Other Orders Orders

Other Orders as %

of Non-Directed

July 2021

**Option Contracts** 

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

Venues

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

August 2021

S&P 500 Stocks Summary

Non-Directed Market Orders as % Marketable Limit of Non-Directed Total Marketable Non-Directed Orders Orders **Total Market Orders Orders** Limit Orders Directed Orders Total Non-Marketable Limit Orders Orders 100.00 0.00

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

Venues

Venue - Non- Non-Directed directed Order Flow Orders Citadel Securities LLC(CDRI)	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit rs(%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)		Other Orders(%	Net Payment Paid/Received for ) Market Orders(US	Net Payment Paid/Received for Market Orders(cents per ID) hundred shares)	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 S) Other Orders(USD)	Net Payment Paid/Received fo Other Orders(cer per hundred shar	nts
LLC(CDRG)	10	50.00	10	50.00	U	0.00	U	0.00	U	0.00	U	U	U	U	U	U	U	U
JANE STREET																		
CAPITAL, LLC(JNST)	5	25.00	5	25.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE) G1 Execution	3	15.00	3	15.00	U	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Services,																		
LLC(ETMM)	2	10.00	2	10.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
August 2021																		
Non-S&P 500 Stocks																		
Summary																		
•						Non-Marketable												
Non-Directed	•11	Market Orders as		Marketable Limit		Limit Orders as %	of	Other Orders as	%									
Total Non-Directed Orders as % of Orders Orders	All Total Market	of Non-Directed	Total Marketa Limit Orders	able Orders as % of No Directed Orders	on- Total Non-Marketable Limit Orders	Non-Directed Orders	Total Other Ord	of Non-Directed										
	.00.00		0.00		0.00		.00		0.00									

Venues

100.00

											ivet rayillelit		ivet rayillelit		ivet rayillelit			
											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	i		Marketable Lin	nit	Non-Marketable	Non-Marketabl	e		Paid/Received for	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	Paid/Received for	Other Orders(cenf	is
directed Order Flow Orders	Orders(%)	Market Orders	Market Ord	ders(%) Orders	Marketable Limit Orders(%)	Limit Orders	Limit Orders(%)	Other Orders	Other Orders(%)	Market Orders(US	D) hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred share	s) Other Orders(USD)	per hundred share	25)
Citadel Securities																		
LLC(CDRG)	3	42.86	3	42.86	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VIRTU Americas,																		
LLC(NITE)	2	28.57	2	28.57	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET																		
CAPITAL, LLC(JNST)	1	14.29	1	14.29	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities,																		
LLC(LIBSS)	1	14.29	1	14.29	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

August 2021

**Option Contracts** 

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

0.00

Venues

Net Payment Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Paid/Received for Net Payment Market Paid/Received for Marketable Limit Paid/Received for Non-Marketable Net Payment 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 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) directed Order Flow Orders

September 2021

S&P 500 Stocks Summary

Total Non-Directed Orders as % of All Orders Total Market Orders Orders 9 Market Orders as % Marketable Limit of Non-Directed Total Marketable Orders as % of Non-rs Orders Limit Orders Directed Orders Total Non-Marketable Limit Orders 100.00

Non-Marketable Limit Orders as % of Other Orders as % | Non-Directed | Orders | Orde

Venues

Venue - Non- directed Order Flov	Non-Directed w Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketabl Limit Orders(%)		Other Orders(%)	Net Payment Paid/Received for Market Orders(US	Paid/Received for Market Orders(cents per D) 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 Net Paymen Limit Orders(cents Paid/Receiv per hundred shares) Other Order	ed for Other Orders(cents
Citadel Securities LLC(CDRG)		6	66.67	6	66.67	0	0.00	0	0.00	0	0.00	0	0	0	0	0 0	0 0
G1 Execution																	
Services, LLC(ETMM)		1	11.11	1	11.11	0	0.00	0	0.00	0	0.00	0	0	0	0	0 0	0 0
JANE STREET CAPITAL, LLC(JNST)				1	11.11	0	0.00	0	0.00	0	0.00	0	0	0	0	0 0	0 0
VIRTU Americas,	•	1	11.11	1	11.11	O .	0.00	U	0.00	0	0.00	U	U	U	U	0 0	0 0
LLC(NITE)		1	11.11	1	11.11	0	0.00	0	0.00	0	0.00	0	0	0	0	0 0	0 0
September 2021																	
Non-S&P 500 Stock Summary	cs																
Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market	Market Orders as of Non-Directed Orders Orders	Total Marketa Limit Orders	Directed Orders	n- Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % Non-Directed Orders	Total Other Ord									
	1 100	.00	1 100	0.00	0 0	.00	0 0	.00	0 (	0.00							
Venues																	
Venue - Non- directed Order Flov Citadel Securities	Non-Directed w Orders	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit s(%) Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketabl Limit Orders(%)		Other Orders(%)	Net Payment Paid/Received for Market Orders(US	Net Payment Paid/Received for Market Orders(cents per D) 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 shares) Other Order	ed for Other Orders(cents
LLC(CDRG)		1	100.00	1	100.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0 0	0 0
September 2021																	
Option Contracts Summary							Non-Marketable										
Orders	Non-Directed Orders as % of All Orders 0		Market Orders as of Non-Directed Orders Orders		Directed Orders		Limit Orders as % Non-Directed Orders	of Total Other Orc		0.00							
Venues																	
Venue - Non- directed Order Flov	Non-Directed	Non-Directed Orders(%)	Market Orders	Market Order	Marketable Limit	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketabl Limit Orders(%)		Other Orders(%)	Net Payment Paid/Received for	Net Payment Paid/Received for Market Orders(cents per D) 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 Net Paymen Limit Orders(cents Paid/Receiv per hundred shares) Other Order	ed for Other Orders(cents

Net Payment

Net Payment

Net Payment