

# Spiderrock EXS, LLC - Held NMS Stocks and Options Order Routing Public Report

Generated on Wed Feb 08 2023 05:17:49 GMT-0600 (Central Standard Time)

1st Quarter, 2021

January 2021

## S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.36	0.01	85.10	14.90	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	21.16	0.00	20.32	24.16	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	19.68	0.00	18.38	24.31	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	2.03	0.00	2.59	0.04	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	2.65	0.00	3.39	0.04	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	8.84	0.00	10.74	2.11	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEXG)	3.05	0.00	3.90	0.03	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	10.16	0.00	8.43	16.34	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.46	0.00	0.58	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ - ALL MARKETS (XNAS)	24.98	0.00	25.17	24.34	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NEW YORK STOCK EXCHANGE, INC. (XNYS)	3.31	0.00	4.22	0.10	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	0.01	0.00	0.01	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

#### NYSE ARCA (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

#### CBOE BATS OPTIONS EXCHANGE (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

#### CBOE BATY OPTIONS EXCHANGE (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

#### CBOE EDGA OPTIONS EXCHANGE (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

#### CBOE EDGX OPTIONS EXCHANGE (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

#### INVESTORS EXCHANGE (IEGX):

IEGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEGX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEGX_Exchange_Fee_Schedule_Current.pdf)

#### NYSE MKT LLC (XASE):

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

#### NASDAQ OMX BX (XBOS):

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

#### NASDAQ - ALL MARKETS (XNAS):

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2> . For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

#### NEW YORK STOCK EXCHANGE, INC. (XNYS):

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

#### NASDAQ OMX PSX (XPSX):

XPSX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [http://www.nasdaqtrader.com/Trader.aspx?id=PSX\\_Pricing](http://www.nasdaqtrader.com/Trader.aspx?id=PSX_Pricing)

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January 2021

Non-S&P 500 Stocks

**Summary**

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.79	0.01	85.10	14.90	0.00

**Venues**

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	22.09	0.00	21.45	23.10	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	19.68	0.00	16.06	23.33	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	1.90	0.00	3.72	0.30	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	1.76	0.00	3.61	0.12	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	10.00	0.00	13.46	7.08	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEGX)	1.53	0.00	3.22	0.03	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	13.05	0.00	6.72	19.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ - ALL MARKETS (XNAS)	23.04	0.00	23.25	23.31	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NEW YORK STOCK EXCHANGE, INC. (XNYS)	2.50	0.00	4.88	0.41	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.56	0.00	1.08	0.10	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE NATIONAL, INC. (XCIS)	0.01	0.00	0.03	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	0.02	0.00	0.05	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

**Material Aspects:**

NYSE ARCA (ARCX):

ARCX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

**CBOE BATS OPTIONS EXCHANGE (BATS):**

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

**CBOE BATY OPTIONS EXCHANGE (BATY):**

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

**CBOE EDGA OPTIONS EXCHANGE (EDGA):**

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

**CBOE EDGX OPTIONS EXCHANGE (EDGX):**

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

**INVESTORS EXCHANGE (IEXG):**

IEXG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEX_Exchange_Fee_Schedule_Current.pdf)

**NYSE MKT LLC (XASE):**

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

**NASDAQ - ALL MARKETS (XNAS):**

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2> . For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

**NEW YORK STOCK EXCHANGE, INC. (XNYS):**

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

**NASDAQ OMX BX (XBOS):**

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

**NYSE NATIONAL, INC. (XCIS):**

XCIS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://www.nyse.com/markets/nyse-national>

**NASDAQ OMX PSX (XPSX):**

XPSX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [http://www.nasdaqtrader.com/Trader.aspx?id=PSX\\_Pricing](http://www.nasdaqtrader.com/Trader.aspx?id=PSX_Pricing)

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## January 2021

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### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
98.84	0.00	85.10	14.90	0.00

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE AMEX OPTIONS (AMXO)	10.82	0.00	12.67	0.01	0.00	0.00	0.0000	13,695.32	46.9018	1,909.22	28.9276	0.00	0.0000
NYSE ARCA OPTIONS (ARCO)	36.05	0.00	37.62	27.03	0.00	0.00	0.0000	83,123.33	25.6237	120,372.84	24.3818	0.00	0.0000
CBOE BATO OPTIONS EXCHANGE (BATO)	10.37	0.00	8.93	18.81	0.00	0.00	0.0000	97,226.80	50.0395	19,774.51	45.6686	0.00	0.0000
CBOE EDGO OPTIONS EXCHANGE (EDGO)	0.06	0.00	0.07	0.01	0.00	0.00	0.0000	4,516.99	41.8240	7,674.59	51.5073	0.00	0.0000
MIAX EMERALD, LLC (EMLD)	0.65	0.00	0.20	3.28	0.00	0.00	0.0000	11,494.05	55.2599	1,828.98	31.5341	0.00	0.0000
ISE GMNI EXCHANGE (GMNI)	0.74	0.00	0.23	3.72	0.00	0.00	0.0000	15,399.92	52.5595	4,085.32	38.9078	0.00	0.0000
MIAX PEARL, LLC (MPRL)	9.01	0.00	7.42	18.32	0.00	0.00	0.0000	23,802.23	49.5880	11,823.88	53.7449	0.00	0.0000
BOX OPTIONS EXCHANGE (XBOX)	2.04	0.00	2.38	0.01	0.00	0.00	0.0000	9,680.00	52.0430	1,355.50	67.7750	0.00	0.0000
CBOE GLOBAL MARKETS INC. (XCBO)	0.40	0.00	0.39	0.05	0.00	0.00	0.0000	26,577.24	47.6295	37,178.93	50.6525	0.00	0.0000
NASDAQ OPTIONS MARKET (XNDQ)	1.43	0.00	0.89	4.60	0.00	0.00	0.0000	74,017.72	50.3865	29,565.79	56.5311	0.00	0.0000
NASDAQ OMX PHLX (XPHL)	10.61	0.00	12.04	2.23	0.00	0.00	0.0000	27,730.48	43.1939	34,846.25	47.9976	0.00	0.0000
NASDAQ OMX BX OPTIONS (XBXO)	0.01	0.00	0.01	0.01	0.00	0.00	0.0000	5,838.48	45.2595	158.47	79.2350	0.00	0.0000
ISE (XISE)	0.21	0.00	0.22	0.13	0.00	0.00	0.0000	15,081.34	21.3315	4,194.36	21.1836	0.00	0.0000
MIAX XMIO, LLC (XMIO)	5.27	0.00	6.17	0.01	0.00	0.00	0.0000	6,026.90	51.9560	14,484.50	53.6463	0.00	0.0000
ISE MERCURY, LLC (MCRY)	0.01	0.00	0.01	0.00	0.00	0.00	0.0000	544.39	60.4878	25.50	0.0000	0.00	0.0000

#### Material Aspects:

##### NYSE AMEX OPTIONS (AMXO):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

##### NYSE ARCA OPTIONS (ARCO):



MIAX XMIO, LLC (XMIO):

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ISE MERCURY, LLC (MCRY):

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## February 2021

### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.31	0.01	82.65	17.35	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	19.90	0.00	18.64	24.94	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	19.26	0.00	17.92	24.62	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	2.24	0.00	2.81	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	2.20	0.00	2.75	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	9.07	0.00	10.86	1.91	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEXG)	3.51	0.00	4.39	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	9.10	0.00	7.51	15.48	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.47	0.00	0.59	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NASDAQ - ALL MARKETS (XNAS)	24.55	0.00	24.47	24.86	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NEW YORK STOCK EXCHANGE, INC. (XNYS)	6.47	0.00	8.08	0.02	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

## Material Aspects:

### NYSE ARCA (ARCX):

ARCX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

### CBOE BATS OPTIONS EXCHANGE (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

### CBOE BATY OPTIONS EXCHANGE (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

### CBOE EDGA OPTIONS EXCHANGE (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

### CBOE EDGX OPTIONS EXCHANGE (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

### INVESTORS EXCHANGE (IEXG):

IEXG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEX_Exchange_Fee_Schedule_Current.pdf)

### NYSE MKT LLC (XASE):

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

### NASDAQ OMX BX (XBOS):

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

### NASDAQ - ALL MARKETS (XNAS):

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>. For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

### NEW YORK STOCK EXCHANGE, INC. (XNYS):

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

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## February 2021

### Non-S&P 500 Stocks



## Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.57	0.01	82.65	17.35	0.00

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	19.69	0.00	18.63	23.38	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	17.19	0.00	15.27	23.12	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	2.98	0.00	4.04	0.19	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	2.69	0.00	3.68	0.11	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	10.76	0.00	13.75	3.06	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEXG)	2.84	0.00	3.90	0.06	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	9.43	0.00	7.06	16.28	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.53	0.00	0.73	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ - ALL MARKETS (XNAS)	22.17	0.00	21.90	23.80	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NEW YORK STOCK EXCHANGE, INC. (XNYS)	6.03	0.00	8.26	0.20	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

## Material Aspects:

### NYSE ARCA (ARCX):

ARCX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

### CBOE BATS OPTIONS EXCHANGE (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

### CBOE BATY OPTIONS EXCHANGE (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

**CBOE EDGA OPTIONS EXCHANGE (EDGA):**

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

**CBOE EDGX OPTIONS EXCHANGE (EDGX):**

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

**INVESTORS EXCHANGE (IEXG):**

IEXG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEX_Exchange_Fee_Schedule_Current.pdf)

**NYSE MKT LLC (XASE):**

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

**NASDAQ OMX BX (XBOS):**

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

**NASDAQ - ALL MARKETS (XNAS):**

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>. For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

**NEW YORK STOCK EXCHANGE, INC. (XNYS):**

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

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## February 2021

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### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
99.12	0.00	82.65	17.35	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA OPTIONS (ARCO)	37.85	0.00	40.99	22.92	0.00	0.00	0.0000	74,090.71	27.1097	102,035.72	24.8504	0.00	0.0000
CBOE BATO OPTIONS EXCHANGE (BATO)	11.06	0.00	9.08	20.61	0.00	0.00	0.0000	86,770.59	52.8123	17,996.70	48.2485	0.00	0.0000
MIAX EMERALD, LLC (EMLD)	0.79	0.00	0.22	3.49	0.00	0.00	0.0000	7,913.50	58.1875	1,662.15	29.1605	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
BOX OPTIONS EXCHANGE (XBOX)	3.94	0.00	4.76	0.01	0.00	0.00	0.0000	7,234.60	52.8073	1,217.65	67.6472	0.00	0.0000
NASDAQ OPTIONS MARKET (XNDQ)	1.60	0.00	0.86	5.12	0.00	0.00	0.0000	62,386.04	49.7496	29,702.29	62.0090	0.00	0.0000
NASDAQ OMX PHLX (XPHL)	6.28	0.00	7.58	0.09	0.00	0.00	0.0000	22,538.54	44.3672	32,698.38	50.5385	0.00	0.0000
NYSE AMEX OPTIONS (AMXO)	10.63	0.00	12.86	0.01	0.00	0.00	0.0000	14,892.84	51.5323	1,322.10	28.7413	0.00	0.0000
CBOE EDGO OPTIONS EXCHANGE (EDGO)	0.08	0.00	0.09	0.01	0.00	0.00	0.0000	6,488.61	41.5937	7,338.91	55.1798	0.00	0.0000
ISE GMNI EXCHANGE (GMNI)	0.87	0.00	0.26	3.76	0.00	0.00	0.0000	15,859.11	61.9496	3,764.35	38.8077	0.00	0.0000
MIAX PEARL, LLC (MPRL)	5.87	0.00	2.73	20.93	0.00	0.00	0.0000	25,363.56	50.8288	10,474.40	56.0128	0.00	0.0000
NASDAQ OMX BX OPTIONS (XBXO)	0.01	0.00	0.01	0.01	0.00	0.00	0.0000	5,886.74	45.2826	67.22	67.2200	0.00	0.0000
CBOE GLOBAL MARKETS INC. (XCBO)	0.46	0.00	0.51	0.04	0.00	0.00	0.0000	22,942.58	50.3127	32,598.22	53.0916	0.00	0.0000
ISE (XISE)	0.14	0.00	0.12	0.09	0.00	0.00	0.0000	10,294.10	25.1076	4,441.15	27.5848	0.00	0.0000
MIAX XMIO, LLC (XMIO)	4.86	0.00	5.88	0.01	0.00	0.00	0.0000	4,755.81	51.1377	12,587.16	54.9658	0.00	0.0000
ISE MERCURY, LLC (MCRY)	0.01	0.00	0.01	0.01	0.00	0.00	0.0000	321.45	53.5750	33.26	0.0000	0.00	0.0000

#### Material Aspects:

##### NYSE ARCA OPTIONS (ARCO):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### CBOE BATO OPTIONS EXCHANGE (BATO):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### MIAX EMERALD, LLC (EMLD):

EMLD has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.miaxoptions.com/sites/default/files/fee\\_schedule-files/MIAX\\_Emerald\\_Fee\\_Schedule\\_01012023\\_1.pdf](https://www.miaxoptions.com/sites/default/files/fee_schedule-files/MIAX_Emerald_Fee_Schedule_01012023_1.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### BOX OPTIONS EXCHANGE (XBOX):



## March 2021

### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.45	0.01	87.66	12.34	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	18.84	0.00	17.67	23.89	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	18.97	0.00	17.82	23.96	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	2.39	0.00	2.94	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	1.99	0.00	2.45	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	6.52	0.00	7.62	1.76	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEXG)	4.60	0.00	5.66	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	11.20	0.00	9.66	17.84	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.32	0.00	0.39	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ - ALL MARKETS (XNAS)	23.04	0.00	22.86	23.84	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NEW YORK STOCK EXCHANGE, INC. (XNYS)	8.80	0.00	10.83	0.02	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	0.01	0.00	0.02	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE NATIONAL, INC. (XCIS)	0.01	0.00	0.01	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

## Material Aspects:

### NYSE ARCA (ARCX):

ARCX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

### CBOE BATS OPTIONS EXCHANGE (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

### CBOE BATY OPTIONS EXCHANGE (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

### CBOE EDGA OPTIONS EXCHANGE (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

### CBOE EDGX OPTIONS EXCHANGE (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

### INVESTORS EXCHANGE (IEGX):

IEGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEX_Exchange_Fee_Schedule_Current.pdf)

### NYSE MKT LLC (XASE):

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

### NASDAQ OMX BX (XBOS):

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

### NASDAQ - ALL MARKETS (XNAS):

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>. For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

### NEW YORK STOCK EXCHANGE, INC. (XNYS):

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

### NASDAQ OMX PSX (XPSX):

XPSX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [http://www.nasdaqtrader.com/Trader.aspx?id=PSX\\_Pricing](http://www.nasdaqtrader.com/Trader.aspx?id=PSX_Pricing)

### NYSE NATIONAL, INC. (XCIS):

XCIS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://www.nyse.com/markets/nyse-national>

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## March 2021

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### Non-S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.73	0.01	87.66	12.34	0.00

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA (ARCX)	20.87	0.00	20.25	22.90	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATS OPTIONS EXCHANGE (BATS)	18.44	0.00	17.23	21.56	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BATY OPTIONS EXCHANGE (BATY)	2.03	0.00	2.97	0.25	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA OPTIONS EXCHANGE (EDGA)	1.36	0.00	2.04	0.05	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGX OPTIONS EXCHANGE (EDGX)	8.96	0.00	9.50	8.23	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
INVESTORS EXCHANGE (IEGX)	2.04	0.00	3.08	0.06	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE MKT LLC (XASE)	9.92	0.00	8.69	12.73	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX (XBOS)	0.40	0.00	0.60	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ - ALL MARKETS (XNAS)	23.75	0.00	22.99	26.19	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NEW YORK STOCK EXCHANGE, INC. (XNYS)	7.24	0.00	10.92	0.21	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE NATIONAL, INC. (XCIS)	0.01	0.00	0.02	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	0.03	0.00	0.04	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

## Material Aspects:

### NYSE ARCA (ARCX):

ARCX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf) For options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

### CBOE BATS OPTIONS EXCHANGE (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

### CBOE BATY OPTIONS EXCHANGE (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

### CBOE EDGA OPTIONS EXCHANGE (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

**CBOE EDGX OPTIONS EXCHANGE (EDGX):**

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

**INVESTORS EXCHANGE (IEXG):**

IEXG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://storage.googleapis.com/assets-bucket/exchange/assets/IEX\\_Exchange\\_Fee\\_Schedule\\_Current.pdf](https://storage.googleapis.com/assets-bucket/exchange/assets/IEX_Exchange_Fee_Schedule_Current.pdf)

**NYSE MKT LLC (XASE):**

XASE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

**NASDAQ OMX BX (XBOS):**

XBOS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

**NASDAQ - ALL MARKETS (XNAS):**

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>. For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

**NEW YORK STOCK EXCHANGE, INC. (XNYS):**

XNYS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf). For Options: The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>

**NYSE NATIONAL, INC. (XCIS):**

XCIS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://www.nyse.com/markets/nyse-national>

**NASDAQ OMX PSX (XPSX):**

XPSX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [http://www.nasdaqtrader.com/Trader.aspx?id=PSX\\_Pricing](http://www.nasdaqtrader.com/Trader.aspx?id=PSX_Pricing)

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## March 2021

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### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
98.82	0.00	87.66	12.34	0.00

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE ARCA OPTIONS (ARCO)	48.66	0.00	50.86	33.24	0.00	0.00	0.0000	77,465.43	27.0574	120,088.44	24.6994	0.00	0.0000
CBOE BATO OPTIONS EXCHANGE (BATO)	5.70	0.00	5.07	10.30	0.00	0.00	0.0000	82,113.29	52.4351	14,375.31	49.9143	0.00	0.0000
ISE GMNI EXCHANGE (GMNI)	0.98	0.00	0.20	6.64	0.00	0.00	0.0000	11,317.53	56.5877	2,802.40	38.3890	0.00	0.0000



Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable 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 shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CBOE GLOBAL MARKETS INC. (XCBO)	0.49	0.00	0.47	0.07	0.00	0.00	0.0000	20,164.66	50.9209	36,144.11	54.0271	0.00	0.0000
NYSE AMEX OPTIONS (AMXO)	7.50	0.00	8.55	0.01	0.00	0.00	0.0000	9,112.95	45.5648	1,090.38	29.4697	0.00	0.0000
CBOE EDGO OPTIONS EXCHANGE (EDGO)	0.06	0.00	0.07	0.01	0.00	0.00	0.0000	4,888.85	40.0725	8,619.83	53.5393	0.00	0.0000
MIAX EMERALD, LLC (EMLD)	0.94	0.00	0.18	6.43	0.00	0.00	0.0000	4,591.95	57.3994	1,208.00	27.4545	0.00	0.0000
MIAX PEARL, LLC (MPRL)	2.01	0.00	1.08	8.74	0.00	0.00	0.0000	23,538.60	51.2824	8,352.31	58.4078	0.00	0.0000
BOX OPTIONS EXCHANGE (XBOX)	2.81	0.00	3.15	0.01	0.00	0.00	0.0000	5,756.50	49.2009	941.90	67.2786	0.00	0.0000
NASDAQ OMX BX OPTIONS (XBXO)	0.01	0.00	0.01	0.00	0.00	0.00	0.0000	10,462.70	48.2152	221.27	73.7567	0.00	0.0000
ISE (XISE)	0.20	0.00	0.19	0.30	0.00	0.00	0.0000	9,520.80	22.1414	4,374.05	24.1660	0.00	0.0000
NASDAQ OPTIONS MARKET (XNDQ)	1.33	0.00	0.83	4.93	0.00	0.00	0.0000	60,454.35	44.5829	26,488.83	55.3003	0.00	0.0000
NASDAQ OMX PHLX (XPHL)	4.86	0.00	5.52	0.13	0.00	0.00	0.0000	21,288.07	42.4912	33,329.62	49.0863	0.00	0.0000
MIAX XMIO, LLC (XMIO)	3.64	0.00	4.15	0.01	0.00	0.00	0.0000	4,611.15	50.6720	13,854.23	53.6986	0.00	0.0000
ISE MERCURY, LLC (MCRY)	0.01	0.00	0.01	0.01	0.00	0.00	0.0000	84.21	42.1050	25.99	0.0000	0.00	0.0000

#### Material Aspects:

##### NYSE ARCA OPTIONS (ARCO):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### CBOE BATO OPTIONS EXCHANGE (BATO):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### ISE GMNI EXCHANGE (GMNI):

The Firm has entered an agreement with Instinet, pursuant to which the Firm is provided access to its tiered pricing/payment schedule for client orders routed to Instinet for execution on the exchange. Information reflecting Instinet's tiered pricing schedule can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>. Pursuant to this agreement, the Firm also receives (i) 100% of any benefit tied to Instinet's tiered pricing/payment schedule for the tiers that the Firm reaches independent of Instinet's customer orders, and (ii) a split of any benefit between the tier reached by the Firm's customer orders and the tier reached by Instinet inclusive of the Firm's customer orders. Finally, this agreement allows the Firm to benefit from a portion of payments for order flow ("PFOF") that Instinet receives from the Firm's client orders that are routed to Instinet for execution on the exchange. Information on the Firm's PFOF payments for this quarter can be found at the following link: <https://spiderrockexs.com/supplemental-reports/>.

##### CBOE GLOBAL MARKETS INC. (XCBO):



