

ViewTrade - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2022

October 2022

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
100.00	7.22	31.97	60.22	0.59

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)
SOHO	23.06	28.76	25.06	21.44	10.53	214.84	0.1100	828.91	0.1100	1,335.55	0.3000	6.41	0.3000
NITE	22.52	22.96	23.95	21.54	39.47	209.13	0.1100	965.52	0.1100	1,635.91	0.2900	29.32	0.2900
CDRG	22.78	24.68	25.40	21.23	15.79	172.71	0.1200	786.97	0.1200	1,239.02	0.2800	9.01	0.2800
UBSS	21.93	23.61	23.07	21.00	34.21	175.99	0.1200	761.55	0.1200	1,305.52	0.2900	20.80	0.2900
DASH	9.70	0.00	2.47	14.80	0.00	0.00	0.1100	78.42	0.1100	884.13	0.2700	0.00	0.2700
NSDQ	0.02	0.00	0.05	0.00	0.00	0.00	0.2000	0.06	0.2000	0.00	-0.3000	0.00	-0.3000

Material Aspects:

SOHO:

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.

UBSS:

ViewTrade receives payment from XXXX for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 12 mils for market and marketable limit orders and 29 for non-marketable limit orders.

DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

NSDQ:

ViewTrade receives rebates (-30 mils) and pays fees for taking liquidity (20 mils) based on the published rates on the NASDAQ website.

October 2022

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
97.87	9.65	37.85	51.02	1.48

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)
SOHO	20.58	19.85	22.39	19.71	9.20	580.39	0.1100	2,565.95	0.1100	3,045.71	0.3000	41.33	0.3000
NITE	19.72	19.18	21.26	18.79	16.00	682.58	0.1100	2,966.62	0.1100	3,535.44	0.2900	87.51	0.2900
CDRG	23.40	21.33	24.89	23.19	6.40	563.48	0.1200	2,578.68	0.1200	3,237.96	0.2800	25.98	0.2800
UBSS	20.89	18.44	22.76	20.31	9.20	537.48	0.1200	2,601.38	0.1200	3,129.90	0.2900	41.21	0.2900
DASH	14.92	21.20	8.06	17.53	59.20	1,014.41	0.1100	1,511.33	0.1100	4,434.01	0.2700	435.17	0.2700
NSDQ	0.48	0.00	0.64	0.47	0.00	0.00	0.2000	5.23	0.2000	-4.96	-0.3000	0.00	-0.3000

Material Aspects:

SOHO:

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.

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DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

NSDQ:

ViewTrade receives rebates (-30 mils) and pays fees for taking liquidity (20 mils) based on the published rates on the NASDAQ website.

October 2022

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
100.00	24.93	28.17	35.81	11.10

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)
CDRG	100.00	100.00	100.00	100.00	100.00	2.65	0.1200	66.22	0.1200	143.04	0.2800	15.89	0.2800

Material Aspects:

CDRG:

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November 2022

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
99.96	7.90	31.28	60.27	0.55

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)
SOHO	22.45	23.30	24.78	21.21	13.51	198.39	0.1100	835.49	0.1100	1,377.44	0.3000	8.06	0.3000
NITE	21.80	23.86	23.25	20.59	43.24	233.39	0.1100	900.20	0.1100	1,535.53	0.2900	29.64	0.2900
CDRG	23.93	23.67	25.65	23.19	10.81	185.10	0.1200	793.71	0.1200	1,383.07	0.2800	5.92	0.2800
UBSS	23.39	29.17	23.92	22.27	32.43	249.42	0.1200	809.79	0.1200	1,452.77	0.2900	19.43	0.2900
DASH	8.32	0.00	2.25	12.64	0.00	0.00	0.1100	69.85	0.1100	756.44	0.2700	0.00	0.2700
NSDQ	0.10	0.00	0.14	0.10	0.00	0.00	0.2000	0.21	0.2000	-0.30	-0.3000	0.00	-0.3000

Material Aspects:

SOHO:

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

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UBSS:

ViewTrade receives payment from XXXX for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 12 mils for market and marketable limit orders and 29 for non-marketable limit orders.

DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

NSDQ:

ViewTrade receives rebates (-30 mils) and pays fees for taking liquidity (20 mils) based on the published rates on the NASDAQ website.

November 2022

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
97.04	10.29	37.60	50.57	1.55

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)
SOHO	21.14	23.31	22.93	19.78	7.72	765.53	0.1100	2,752.64	0.1100	3,196.03	0.3000	38.00	0.3000
NITE	20.52	21.87	22.14	19.08	19.49	822.42	0.1100	3,043.16	0.1100	3,527.91	0.2900	109.79	0.2900
CDRG	23.74	23.58	24.89	23.46	5.88	684.84	0.1200	2,641.75	0.1200	3,350.59	0.2800	25.60	0.2800
UBSS	21.18	22.26	22.37	20.43	9.19	735.03	0.1200	2,699.97	0.1200	3,318.56	0.2900	45.48	0.2900
DASH	13.14	8.98	7.11	17.11	57.72	476.00	0.1100	1,378.36	0.1100	4,459.22	0.2700	458.48	0.2700
NSDQ	0.28	0.00	0.56	0.15	0.00	0.00	0.2000	5.76	0.2000	-2.12	-0.3000	0.00	-0.3000

Material Aspects:**SOHO:**

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.

UBSS:

ViewTrade receives payment from XXXX for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 12 mils for market and marketable limit orders and 29 for non-marketable limit orders.

DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

NSDQ:

ViewTrade receives rebates (-30 mils) and pays fees for taking liquidity (20 mils) based on the published rates on the NASDAQ website.

November 2022

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
100.00	12.79	27.63	47.25	12.32

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)
CDRG	100.00	0.00	100.00	100.00	0.00	0.00	0.1200	43.86	0.1200	219.30	0.2800	0.00	0.2800

Material Aspects:

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.

December 2022

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
100.00	7.44	34.17	57.72	0.67

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)
SOHO	24.82	25.29	25.77	24.28	17.02	226.15	0.1100	1,058.25	0.1100	1,684.91	0.3000	13.81	0.3000
NITE	22.83	26.83	24.55	21.03	46.81	261.12	0.1100	1,097.06	0.1100	1,587.35	0.2900	41.33	0.2900
CDRG	24.37	24.52	25.26	24.01	8.51	198.37	0.1200	938.74	0.1200	1,507.30	0.2800	6.25	0.2800
UBSS	23.48	23.36	23.71	23.31	27.66	201.92	0.1200	941.18	0.1200	1,563.63	0.2900	21.69	0.2900
DASH	4.47	0.00	0.63	7.37	0.00	0.00	0.1100	13.00	0.1100	256.48	0.2700	0.00	0.2700

Material Aspects:

SOHO:

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

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DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

December 2022

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
94.79	9.91	38.63	50.03	1.43

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)
SOHO	21.77	23.27	23.02	20.89	8.81	704.76	0.1100	2,720.85	0.1100	3,196.47	0.3000	38.51	0.3000
NITE	21.90	23.08	23.20	20.63	22.91	755.90	0.1100	2,965.31	0.1100	3,415.10	0.2900	108.28	0.2900
CDRG	25.76	24.28	26.18	26.25	7.49	634.22	0.1200	2,668.05	0.1200	3,463.31	0.2800	28.22	0.2800
UBSS	21.98	22.44	23.22	21.05	18.06	656.31	0.1200	2,649.40	0.1200	3,110.49	0.2900	76.23	0.2900
DASH	8.45	6.93	4.12	11.11	42.73	175.73	0.1100	407.88	0.1100	1,423.54	0.2700	156.38	0.2700

Material Aspects:

SOHO:

ViewTrade receives payment from SOHO for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 11 mils for market and marketable limit orders and 30 for non-marketable limit orders.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and payment are received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received 11 mils per share or a non-marketable limit order for which the firm receives up to 29 mils be share.

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.

UBSS:

ViewTrade receives payment from XXXX for directing order flow and payment is received only for securities priced greater than \$1 per share The Firm receives 12 mils for market and marketable limit orders and 29 for non-marketable limit orders.

DASH:

ViewTrade receives payment from Dash Financial Technology (DASH) for directing order flow and ViewTrade pays DASH an execution fee of 4 mils per share and receives a net rebate amount of up to 27 mils per share for routed orders for which DASH pays ViewTrade up to 20 cents per contract for option orders executed through them.

December 2022

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
100.00	13.33	25.06	48.53	13.08

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)
CDRG	100.00	0.00	100.00	100.00	100.00	0.00	0.1200	51.49	0.1200	182.37	0.2800	21.46	0.2800

Material Aspects:

CDRG:

ViewTrade receives payment from Citadel Securities LLC (Citadel) for directing order flow and payment is received only for securities priced greater than \$1 per share and only varies based upon whether the order executed was a market or marketable-limit order for which the firm received up to 15 mils per share or a non-marketable limit order for which the firm receives up to 28 mils per share, in addition, the firm receives up to 17 cent/contract for option orders.