

# ViewTrade - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2024

October 2024

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## 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                                 | 53.76                                     | 21.46   | 24.65   | 0.13                                     |

### 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                            | 23.96                   | 23.86             | 24.79                       | 23.49                           | 17.65            | 1,633.49   | 0.1100  | 667.53   | 0.1100  | 736.25   | 0.3000  | 2.94  | 0.3000   |
| NITE                            | 25.09                   | 25.51             | 24.75                       | 24.46                           | 23.53            | 1,697.02   | 0.1500  | 647.71   | 0.1500  | 745.01   | 0.2900  | 3.82  | 0.2900   |
| CDRG                            | 25.98                   | 25.72             | 25.88                       | 26.62                           | 23.53            | 1,848.91   | 0.1200  | 731.73   | 0.1200  | 876.02   | 0.2800  | 4.12  | 0.2800   |
| UBSS                            | 24.96                   | 24.91             | 24.50                       | 25.40                           | 35.29            | 1,758.91   | 0.1200  | 680.47   | 0.1200  | 821.23   | 0.2900  | 6.08  | 0.2900   |

### Material Aspects:

SOHO:

ViewTrade receives payment from Two Sigma Securities (SOHO) 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 11 mils per share or a non-marketable limit order for which the firm receives 30 mils per share.

NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 15 mils per share or a non-marketable limit order for which the firm receives 29 mils be share. In addition, the firm receives 50 cents per executed order for OTC securities priced between 1 cent and 1 dollar

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 12 mils per share or a non-marketable limit order for which the firm receives 28 mils per share, in addition, the firm receives 19 cent/contract for option orders.

UBSS:

ViewTrade receives payment from UBS Securities LLC (UBSS) for directing order flow and payment is received only for securities priced greater than \$1 per share and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 12 mils per share per share or a non-marketable limit order for which the firm receives 29 mils per share.

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October 2024

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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 |
|--|---|---|---|--|
| 100.00                                 | 22.74                                     | 37.12   | 40.11   | 0.03                                     |

## 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                            | 23.25                   | 25.05             | 22.69                       | 22.73                           | 50.00            | 1,036.20   | 0.1100  | 1,529.00   | 0.1100  | 1,656.50   | 0.3000  | 3.04  | 0.3000   |
| NITE                            | 26.61                   | 25.17             | 27.17                       | 26.92                           | 16.67            | 1,002.18   | 0.1500  | 1,761.86   | 0.1500  | 1,888.47   | 0.2900  | 0.97  | 0.2900   |
| CDRG                            | 26.58                   | 24.98             | 26.55                       | 27.52                           | 33.33            | 1,070.46   | 0.1200  | 1,853.65   | 0.1200  | 2,078.02   | 0.2800  | 2.10  | 0.2800   |
| UBSS                            | 23.42                   | 24.80             | 23.43                       | 22.64                           | 0.00             | 1,059.87   | 0.1200  | 1,630.57   | 0.1200  | 1,704.78   | 0.2900  | 0.00  | 0.2900   |

## Material Aspects:

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### NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 15 mils per share or a non-marketable limit order for which the firm receives 29 mils per share. In addition, the firm receives 50 cents per executed order for OTC securities priced between 1 cent and 1 dollar

### 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 12 mils per share or a non-marketable limit order for which the firm receives 28 mils per share, in addition, the firm receives 19 cent/contract for option orders.

### UBSS:

ViewTrade receives payment from UBS Securities LLC (UBSS) for directing order flow and payment is received only for securities priced greater than \$1 per share and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 12 mils per share per share or a non-marketable limit order for which the firm receives 29 mils per share.

## October 2024

## 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                                 | 25.00                                     | 25.00   | 50.00   | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CDRG                            | 100.00                  | 100.00            | 100.00                      | 100.00                          | 0.00             | 24.51  | 0.1900  | 24.51  | 0.1900  | 49.03  | 0.1900  | 0.00  | 0.1900   |

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## November 2024

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### 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                                 | 4.80                                      | 44.55   | 50.22   | 0.43                                     |

#### 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                            | 24.59                   | 25.62             | 23.88                       | 25.10                           | 27.59            | 68.17  | 0.1100  | 584.76   | 0.1100  | 694.82   | 0.3000  | 6.57  | 0.3000   |
| NITE                            | 23.92                   | 25.93             | 24.25                       | 23.46                           | 20.69            | 72.76  | 0.1500  | 626.27   | 0.1500  | 685.18   | 0.2900  | 5.20  | 0.2900   |
| CDRG                            | 27.02                   | 27.78             | 26.33                       | 27.65                           | 17.24            | 78.28  | 0.1200  | 682.77   | 0.1200  | 810.63   | 0.2800  | 4.35  | 0.2800   |
| UBSS                            | 24.43                   | 20.68             | 25.49                       | 23.76                           | 34.48            | 56.97  | 0.1200  | 646.28   | 0.1200  | 681.14   | 0.2900  | 8.50  | 0.2900   |

#### Material Aspects:

##### SOHO:

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##### NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 15 mils per share or a non-marketable limit order for which the firm receives 29 mils be share. In addition, the firm receives 50 cents per executed order for OTC securities priced between 1 cent and 1 dollar

##### 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 12 mils per share or a non-marketable limit order for which the firm receives 28 mils per share, in addition, the firm receives 19 cent/contract for option orders.

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## November 2024

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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 |
|--|---|---|---|--|
| 99.97                                  | 5.42                                      | 44.35   | 50.13   | 0.10                                     |

## 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| SOHO                            | 23.06                   | 23.89             | 22.54                       | 23.43                           | 25.00            | 171.39   | 0.1100  | 1,310.81   | 0.1100  | 1,540.76   | 0.3000  | 3.44  | 0.3000   |
| NITE                            | 27.29                   | 27.01             | 27.90                       | 26.80                           | 18.75            | 201.46   | 0.1500  | 1,686.89   | 0.1500  | 1,832.83   | 0.2900  | 2.69  | 0.2900   |
| CDRG                            | 27.29                   | 26.05             | 26.68                       | 27.97                           | 25.00            | 193.70   | 0.1200  | 1,608.53   | 0.1200  | 1,906.67   | 0.2800  | 3.57  | 0.2800   |
| UBSS                            | 22.23                   | 22.93             | 22.72                       | 21.70                           | 31.25            | 170.66   | 0.1200  | 1,370.67   | 0.1200  | 1,480.58   | 0.2900  | 4.47  | 0.2900   |

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### NITE:

ViewTrade receives payment from Virtu Financial Inc (Virtu) for directing order flow and varies based upon whether the order executed was a market or marketable-limit order for which the firm received 15 mils per share or a non-marketable limit order for which the firm receives 29 mils per share. In addition, the firm receives 50 cents per executed order for OTC securities priced between 1 cent and 1 dollar

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## November 2024

## 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                                 | 25.00                                     | 0.00  | 75.00   | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CDRG                            | 100.00                  | 100.00            | 0.00                        | 100.00                          | 0.00             | 6.84   | 0.1900  | 0.00   | 0.1900  | 27.36  | 0.1900  | 0.00  | 0.1900   |

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## December 2024

## 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                                 | 2.63                                      | 43.82   | 53.41   | 0.14                                     |

### 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                            | 23.98                   | 28.64             | 23.06                       | 24.52                           | 16.67            | 53.75  | 0.1100  | 718.33   | 0.1100  | 934.17   | 0.3000  | 1.71  | 0.3000   |
| NITE                            | 24.65                   | 25.91             | 24.82                       | 24.41                           | 41.67            | 53.95  | 0.1500  | 857.55   | 0.1500  | 1,031.71   | 0.2900  | 4.73  | 0.2900   |
| CDRG                            | 26.50                   | 19.55             | 26.79                       | 26.61                           | 25.00            | 38.63  | 0.1200  | 878.60   | 0.1200  | 1,067.26   | 0.2800  | 2.70  | 0.2800   |
| UBSS                            | 24.86                   | 25.91             | 25.31                       | 24.46                           | 16.67            | 52.03  | 0.1200  | 843.43   | 0.1200  | 996.78   | 0.2900  | 1.83  | 0.2900   |

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## December 2024

## 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 |
|--|---|---|---|--|
| 99.99                                  | 5.86                                      | 47.93   | 46.14   | 0.07                                     |

### 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

| 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                            | 23.63                   | 22.92             | 24.20                       | 23.15                           | 14.29            | 254.41   | 0.1100  | 2,175.60   | 0.1100  | 2,009.01   | 0.3000  | 1.81  | 0.3000   |
| NITE                            | 25.60                   | 25.45             | 25.95                       | 25.20                           | 57.14            | 308.98   | 0.1500  | 2,552.05   | 0.1500  | 2,392.61   | 0.2900  | 7.92  | 0.2900   |
| CDRG                            | 28.17                   | 26.02             | 27.59                       | 29.09                           | 0.00             | 296.16   | 0.1200  | 2,542.93   | 0.1200  | 2,589.35   | 0.2800  | 0.00  | 0.2800   |
| UBSS                            | 22.48                   | 25.61             | 22.13                       | 22.43                           | 28.57            | 305.27   | 0.1200  | 2,135.95   | 0.1200  | 2,090.26   | 0.2900  | 3.89  | 0.2900   |

#### Material Aspects:

SOHO:

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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 12 mils per share or a non-marketable limit order for which the firm receives 28 mils per share, in addition, the firm receives 19 cent/contract for option orders.

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## December 2024

### 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                                 | 0.00                                      | 28.57   | 71.43   | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CDRG                            | 100.00                  | 0.00              | 100.00                      | 100.00                          | 0.00             | 0.00   | 0.1900  | 8.37   | 0.1900  | 16.73  | 0.1900  | 0.00  | 0.1900   |

#### Material Aspects:

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