# **OGRU - Held NMS Stocks and Options Order Routing Public Report**

Generated on Mon Oct 30 2023 08:23:42 GMT-0400 (Eastern Daylight Time)

# 2nd Quarter, 2023

# April 2023

### S&P 500 Stocks

#### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

| Venue -<br>Non-directed Order Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per | Net Payment<br>Paid/Received<br>for Marketable<br>Limit | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per | Net Payment<br>Paid/Received<br>for Non-<br>Marketable Limit | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per |
|------------------------------------|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|---|---|--|--|--|---|
|                                    | (10)                              |                         |                                   | (10)                                      |                        | 0.0000  | hundred shares)  | Orders(USD)   | hundred shares)   | Orders(USD)  | hundred shares)  | 010010(002)  | hundred shares)   |

#### Material Aspects:

# April 2023

### Non-S&P 500 Stocks

#### Summary

|   | Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|---|--|--|--|---|
| I | 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

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

#### Material Aspects:

# April 2023

# Options

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

| Venue -<br>Non-directed Order Flow |  | der Flow Dir | Market Marketable<br>Drders (%) (%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per<br>hundred shares) |  |
|------------------------------------|--|--------------|-------------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|
|------------------------------------|--|--------------|-------------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|

# Material Aspects:

# May 2023

## S&P 500 Stocks

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

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

### Material Aspects:

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# May 2023

## Non-S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

| Venue -<br>Non-directed Order Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Ordero(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>bundred charge) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable Limit<br>Ordero(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per |
|------------------------------------|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|--|--|---|--|--|---|
|                                    |                                   |                         |                                   |   |                        | . ,   | hundred shares)  | Orders(USD)  | hundred shares)  | Orders(USD)   | hundred shares)  | . ,  | hundred shares)   |

### Material Aspects:

# May 2023

# Options

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### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

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

## Material Aspects:

# June 2023

## S&P 500 Stocks

### Summary

| Non-Directed Orders Market Orders as % of<br>Non-Directed Orders |      | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |  |
|--|------|--|--|---|--|
| 0.00   | 0.00 | 0.00   | 0.00   | 0.00  |  |

### Venues

| Venue -<br>Non-directed Order Flow Non-<br>Directed<br>Orders<br>(%) Market<br>Orders<br>(%) Market<br>Market<br>(%) |  | Net Payment<br>Paid/Received for<br>Market     Net Payment<br>Paid/Received     Net Payment Paid/<br>Received for     Net Payment Paid/<br>Paid/Rec       Orders(cents per<br>hundred shares)     Image: Content of the payment Paid/<br>Paid/Received     Net Payment Paid/<br>Received for     Net Payment Paid/<br>Received for       Orders(cents per<br>hundred shares)     Image: Content of the payment Paid/<br>Paid/Received     Net Payment Paid/<br>Received for     Net Payment Paid/<br>Paid/Received for | ved Received for Non-<br>Marketable Limit for Other Other<br>Limit Orders(cents per Orders(USD) Orders(cents per |
|--|--|--|--|
|--|--|--|--|

#### Material Aspects:

# June 2023

## Non-S&P 500 Stocks

### Summary

| as % of All Orders |      | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |  |
|--------------------|------|--|--|--|---|--|
|                    | 0.00 | 0.00   | 0.00   | 0.00   | 0.00  |  |

#### Venues

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

## Material Aspects:

# June 2023

# Options

## Summary

| Non-Directed Orders As % of Market Orders as % of Non-Directed Orders |      | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |  |
|---|------|--|--|---|--|
| 0.00  | 0.00 | 0.00   | 0.00   | 0.00  |  |

#### Venues

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

Material Aspects: