PUMA - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2023

April 2023

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 |
|---|--|--|--|---|
| 0.00 | 0.00 | 0.00 | 0.00 | 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 | Net Payment Paid/Received for Marketable Limit | Net Payment Paid/ Received for Marketable Limit Orders(cents per | Net Payment Paid/Received for Non- Marketable Limit | Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cents per |
|------------------------------------|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|---|---|--|--|--|---|
| | (10) | | | (10) | | 0.0000000000000000000000000000000000000 | 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 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 |
|---|---|--|--|--|---|
| I | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Venues

| Venue - Non-directed Order Flow | Non- Directed 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) |
|------------------------------------|-----------------------------------|--|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
|------------------------------------|-----------------------------------|--|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|

Material Aspects:

April 2023

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 |
|---|--|--|--|---|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Venues

| Venue - Non-directed Order Flow | | der Flow Dir | Market Marketable Drders (%) (%) | 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) | |
|------------------------------------|--|--------------|-------------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|
|------------------------------------|--|--------------|-------------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|

Material Aspects:

May 2023

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 |
|---|--|--|--|---|
| 0.00 | 0.00 | 0.00 | 0.00 | 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 | Net Payment Paid/Received for Market | Net Payment Paid/Received for Marketable | Net Payment Paid/ Received for Marketable Limit | Net Payment Paid/Received for Non- | Net Payment Paid/ Received for Non- Marketable Limit | Net Payment Paid/Received for Other | Net Payment Paid/Received for Other |
|------------------------------------|----------------------------|-------------------------|-----------------------------------|------------------------------------|------------------------|--|--|--|---|--|--|---|---|
| | (%) | | | (%) | | Orders(USD) | Orders(cents per hundred shares) | Limit Orders(USD) | Orders(cents per hundred shares) | Marketable Limit Orders(USD) | Orders(cents per hundred shares) | Orders(USD) | Orders(cents per hundred shares) |

Material Aspects:

May 2023

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 |
|---|--|--|--|---|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

| 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 | Net Payment Paid/Received for Marketable Limit Ordero(USD) | Net Payment Paid/ Received for Marketable Limit Orders(cents per bundred charge) | Net Payment Paid/Received for Non- Marketable Limit Ordero(USD) | Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other 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 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 |
|---|--|--|--|---|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Venues

| Venue - Non-directed Order Flow | | Non-directed Order Flow Directed | 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) |
|------------------------------------|--|----------------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
|------------------------------------|--|----------------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|

Material Aspects:

June 2023

S&P 500 Stocks

Summary

| Non-Directed 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 | |
|--|------|--|--|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |

Venues

| Venue - Non-directed Order Flow Non- Directed Orders (%) Market Orders (%) Market Market (%) | | Net Payment Paid/Received for Market Net Payment Paid/Received Net Payment Paid/ Received for Net Payment Paid/ Paid/Rec Orders(cents per hundred shares) Image: Content of the payment Paid/ Paid/Received Net Payment Paid/ Received for Net Payment Paid/ Received for Orders(cents per hundred shares) Image: Content of the payment Paid/ Paid/Received Net Payment Paid/ Received for Net Payment Paid/ Paid/Received for | ved Received for Non- Marketable Limit for Other Other 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 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 | |
|--------------------|------|--|--|--|---|--|
| | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |

Venues

| Venue - Non-directed Order Flow | Non- Directed Orders (%) Market Orders (%) | Directe | 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) | |
|------------------------------------|--|---------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|
|------------------------------------|--|---------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|

Material Aspects:

June 2023

Options

Summary

| Non-Directed Orders As % of 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 | |
|---|------|--|--|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 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) |
|------------------------------------|---|--|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
|------------------------------------|---|--|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|

Material Aspects: