

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

October 2021

S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 612 | 100.00 | 471 | 76.96 | 4 | 0.65 | 136 | 22.22 | 1 | 0.16 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Cladel Securities LLC(CDRG) | 318 | 45.36 | 257 | 54.56 | 2 | 50.00 | 58 | 25.78 | 1 | 100.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(NITE) | 136 | 19.40 | 109 | 23.14 | 2 | 50.00 | 25 | 11.11 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(NSY) | 93 | 13.27 | 75 | 15.92 | 0 | 0.00 | 18 | 8.00 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 56 | 7.99 | 0 | 0.00 | 0 | 0.00 | 56 | 24.88 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 37 | 5.28 | 0 | 0.00 | 0 | 0.00 | 37 | 16.44 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 21 | 3.00 | 0 | 0.00 | 0 | 0.00 | 21 | 9.33 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SHO) | 17 | 2.43 | 11 | 2.34 | 0 | 0.00 | 6 | 2.67 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| GI Execution Services, LLC(TMM) | 15 | 2.14 | 13 | 2.76 | 0 | 0.00 | 2 | 0.89 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 8 | 1.14 | 6 | 1.27 | 0 | 0.00 | 2 | 0.89 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

October 2021

Non-S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 571 | 100.00 | 456 | 79.86 | 20 | 3.50 | 71 | 12.43 | 24 | 4.20 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 299 | 45.93 | 256 | 56.14 | 10 | 50.00 | 28 | 20.14 | 5 | 13.89 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(NITE) | 126 | 19.35 | 111 | 24.34 | 4 | 20.00 | 9 | 6.47 | 2 | 5.56 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(NSJ) | 68 | 10.45 | 61 | 11.38 | 3 | 15.00 | 4 | 2.88 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| INSDAQ Execution Services, LLC(NSDQ) | 43 | 6.63 | 0 | 0.00 | 0 | 0.00 | 43 | 30.94 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBS5) | 25 | 3.84 | 6 | 1.32 | 1 | 5.00 | 1 | 0.72 | 17 | 47.22 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 22 | 3.38 | 0 | 0.00 | 0 | 0.00 | 22 | 15.83 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 19 | 2.92 | 16 | 3.51 | 2 | 10.00 | 1 | 0.72 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 16 | 2.46 | 0 | 0.00 | 0 | 0.00 | 16 | 11.51 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NYSE Arca(ARCA) | 12 | 1.84 | 0 | 0.00 | 0 | 0.00 | 12 | 8.63 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLCK) | 12 | 1.84 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 12 | 33.33 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
 Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

October 2021

Option Contracts

Summary

| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 178 | 100.00 | 85 | 47.75 | 8 | 4.49 | 85 | 47.75 | 0 | 0.00 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 78 | 43.00 | 42 | 49.41 | 2 | 25.00 | 34 | 38.64 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(SUSQ) | 36 | 19.80 | 27 | 31.76 | 6 | 75.00 | 3 | 3.41 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXX) | 35 | 19.34 | 2 | 2.35 | 0 | 0.00 | 33 | 37.50 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 18 | 9.94 | 5 | 5.88 | 0 | 0.00 | 13 | 14.77 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 14 | 7.73 | 9 | 10.59 | 0 | 0.00 | 5 | 5.68 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

November 2021

S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 604 | 100.00 | 515 | 85.26 | 7 | 1.16 | 76 | 12.58 | 6 | 0.99 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 292 | 42.01 | 260 | 50.49 | 2 | 28.57 | 24 | 15.09 | 6 | 42.86 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(VITE) | 158 | 22.73 | 140 | 27.18 | 3 | 42.86 | 15 | 9.43 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 102 | 14.68 | 89 | 17.28 | 2 | 28.57 | 11 | 6.92 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSD) | 44 | 6.32 | 0 | 0.00 | 0 | 0.00 | 44 | 27.67 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 43 | 6.19 | 0 | 0.00 | 0 | 0.00 | 43 | 27.04 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 15 | 2.16 | 13 | 2.52 | 0 | 0.00 | 2 | 1.26 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Choe EDGX US Equities Exchange(EGSN) | 12 | 1.72 | 0 | 0.00 | 0 | 0.00 | 12 | 7.55 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SMOJ) | 12 | 1.73 | 9 | 1.75 | 0 | 0.00 | 3 | 1.89 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 9 | 1.29 | 4 | 0.78 | 0 | 0.00 | 5 | 3.14 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLCK) | 9 | 1.15 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 9 | 57.14 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

November 2021

Non-S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 665 | 100.00 | 521 | 78.35 | 38 | 5.71 | 102 | 15.34 | 4 | 0.60 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 300 | 36.67 | 261 | 50.10 | 21 | 55.26 | 16 | 6.78 | 2 | 8.70 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(NITE) | 154 | 18.83 | 131 | 25.14 | 8 | 21.05 | 13 | 5.51 | 2 | 8.70 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JSST) | 117 | 14.30 | 95 | 18.23 | 7 | 18.42 | 15 | 6.36 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 91 | 11.12 | 0 | 0.00 | 0 | 0.00 | 91 | 38.56 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 44 | 5.38 | 0 | 0.00 | 0 | 0.00 | 44 | 18.64 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 33 | 4.03 | 0 | 0.00 | 0 | 0.00 | 33 | 13.98 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 23 | 2.81 | 20 | 3.84 | 2 | 5.26 | 1 | 0.42 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NYSE Arca(ARCA) | 21 | 2.57 | 0 | 0.00 | 0 | 0.00 | 21 | 8.90 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Institnet BlockCross(BLCK) | 19 | 2.32 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 19 | 82.61 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(SHO) | 14 | 1.71 | 12 | 2.30 | 0 | 0.00 | 2 | 0.85 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

November 2021

Option Contracts

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 253 | 100.00 | 138 | 54.55 | 3 | 1.19 | 112 | 44.27 | 0 | 0.00 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 132 | 47.48 | 71 | 51.45 | 2 | 66.67 | 59 | 43.07 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(USQ) | 60 | 24.82 | 45 | 32.61 | 1 | 33.33 | 23 | 16.79 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXO) | 30 | 14.03 | 3 | 2.17 | 0 | 0.00 | 36 | 26.28 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 21 | 7.55 | 8 | 5.80 | 0 | 0.00 | 13 | 9.49 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 17 | 6.12 | 11 | 7.97 | 0 | 0.00 | 6 | 4.38 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

December 2021

S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 626 | 100.00 | 565 | 90.26 | 5 | 0.80 | 56 | 8.95 | 0 | 0.00 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders[%] | Market Orders | Market Orders[%] | Marketable Limit Orders | Marketable Limit Orders[%] | Non-Marketable Limit Orders | Non-Marketable Limit Orders[%] | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 277 | 44.50 | 252 | 44.60 | 2 | 40.00 | 23 | 20.54 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VRTU Americas, LLC(NITE) | 180 | 26.32 | 164 | 29.03 | 1 | 20.00 | 15 | 13.39 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(NSJ) | 126 | 18.42 | 122 | 21.59 | 1 | 20.00 | 3 | 2.68 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 31 | 4.53 | 0 | 0.00 | 0 | 0.00 | 31 | 27.68 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 27 | 3.95 | 0 | 0.00 | 0 | 0.00 | 27 | 24.11 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| GT Execution Services, LLC(TMM) | 15 | 2.19 | 13 | 2.30 | 1 | 20.00 | 1 | 0.89 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Two Sigma Securities, LLC(OHO) | 9 | 1.32 | 7 | 1.24 | 0 | 0.00 | 2 | 1.79 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 8 | 1.17 | 0 | 0.00 | 0 | 0.00 | 8 | 7.14 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 8 | 1.17 | 7 | 1.24 | 0 | 0.00 | 1 | 0.89 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLCK) | 2 | 0.29 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 2 | 100.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

December 2021

Non-S&P 500 Stocks

| Summary | | | | | | | | | |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
| 567 | 100.00 | 435 | 77.43 | 50 | 8.82 | 72 | 12.70 | 6 | 1.06 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--------------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(CDRG) | 270 | 39.88 | 215 | 48.97 | 32 | 64.00 | 20 | 12.82 | 3 | 9.38 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(NITE) | 138 | 20.38 | 119 | 27.11 | 10 | 20.00 | 6 | 3.85 | 3 | 9.38 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(NSJ) | 90 | 14.11 | 83 | 18.91 | 6 | 12.00 | 7 | 4.49 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| AKSDAO Execution Services, LLC(NSDQ) | 54 | 7.98 | 0 | 0.00 | 1 | 2.00 | 53 | 33.97 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| New York Stock Exchange(NYSE) | 33 | 4.87 | 0 | 0.00 | 0 | 0.00 | 33 | 21.15 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Echo EDGX US Equities Exchange(EDGX) | 30 | 4.43 | 0 | 0.00 | 0 | 0.00 | 30 | 39.23 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLCK) | 26 | 3.84 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 26 | 81.25 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| G1 Execution Services, LLC(TMM) | 18 | 2.66 | 16 | 3.64 | 1 | 2.00 | 1 | 0.64 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NYSE American(AMEX) | 5 | 0.74 | 0 | 0.00 | 0 | 0.00 | 5 | 3.21 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities, LLC(UBSS) | 4 | 0.59 | 4 | 0.91 | 0 | 0.00 | 0 | 0.00 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

COLLIERS SECURITIES LLC - Held NMS Stocks and Options Order Routing Public Report
Generated on Wed Jan 05 2022 04:32:21 GMT-5 EST

4th Quarter, 2021

December 2021

Option Contracts

Summary

| Total Non-Directed Orders | Non-Directed Orders as % of All Orders | Total Market Orders | Market Orders as % of Non-Directed Orders | Total Marketable Limit Orders | Marketable Limit Orders as % of Non-Directed Orders | Total Non-Marketable Limit Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Total Other Orders | Other Orders as % of Non-Directed Orders |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 257 | 100.00 | 126 | 48.60 | 16 | 6.19 | 117 | 45.17 | 0 | 0.00 |

Venues

| Venue - Non-directed Order Flow | Non-Directed Orders | Non-Directed Orders(%) | Market Orders | Market Orders(%) | Marketable Limit Orders | Marketable Limit Orders(%) | Non-Marketable Limit Orders | Non-Marketable Limit Orders(%) | Other 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) |
|--|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|--|---|--|---|--|---|---|--|
| Citadel Securities LLC(EDRG) | 120 | 47.01 | 61 | 48.41 | 10 | 55.56 | 55 | 44.35 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Susquehanna Capital Group(SUSG) | 56 | 20.90 | 45 | 35.71 | 7 | 38.89 | 4 | 3.23 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Wolverine Execution Services LLC(WEXX) | 47 | 17.54 | 4 | 3.17 | 0 | 0.00 | 43 | 34.68 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Dash Financial Technologies LLC(DASH) | 24 | 8.96 | 8 | 6.35 | 1 | 5.56 | 15 | 12.10 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Morgan Stanley & Company LLC(MSCO) | 15 | 5.60 | 8 | 6.35 | 0 | 0.00 | 7 | 5.65 | 0 | 0.00 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |