

Citigroup Global Markets Inc. (Retail) - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2024

July 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	61.03	3.65	30.65	4.67

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)
CITADEL SECURITIES LLC	29.22	28.48	28.22	29.24	39.55	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	13.91	13.74	13.98	13.63	17.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	13.80	13.47	14.41	14.15	15.44	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	13.44	13.85	14.32	13.49	7.06	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	12.15	12.60	12.85	12.82	1.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	8.47	8.20	7.58	8.75	10.91	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	6.59	6.41	7.46	6.71	7.49	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Citadel Securities LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Citadel Securities LLC.

G1 Execution Services, LLC:

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Virtu Americas, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Virtu Americas, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Virtu Americas, LLC.

Jane Street Capital:
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Two Sigma Securities, LLC:
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UBS Securities, LLC:
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July 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
100.00	65.73	4.98	25.63	3.66

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)
CITADEL SECURITIES LLC	25.32	25.78	24.33	24.38	25.19	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	18.90	18.42	18.80	19.18	25.61	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	14.47	14.66	15.27	14.56	9.25	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	14.46	14.12	14.55	15.11	15.91	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	8.98	8.85	9.57	9.27	8.63	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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)
Two Sigma Securities, LLC	8.89	8.88	9.00	8.81	9.52	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	6.33	6.54	6.34	6.62	0.51	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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Virtu Americas, LLC:
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Two Sigma Securities, LLC:
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July 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	27.18	12.53	54.99	5.31

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)
CITADEL SECURITIES LLC	41.52	42.48	40.78	43.91	13.57	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	24.51	20.54	23.12	24.87	44.39	443.54	5.6315	27.62	0.2040	84.06	0.7421	0.00	0.0000
Wolverine Execution Services, LLC	19.15	17.50	17.87	18.34	39.03	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
DASH Financial Option ATS	14.35	18.28	17.45	12.80	3.02	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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Global Execution Brokers LP:
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Wolverine Execution Services, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Wolverine Execution Services, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Wolverine Execution Services, LLC.

DASH Financial Option ATS:
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August 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	57.33	3.94	34.44	4.30

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)
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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)
CITADEL SECURITIES LLC	28.51	28.23	28.83	27.92	36.74	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	13.63	13.93	14.70	13.80	7.17	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	13.46	13.34	13.58	13.52	14.53	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	13.11	13.15	12.58	14.19	4.50	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	11.32	10.97	11.74	11.59	13.50	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	8.15	7.97	7.79	7.92	12.73	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	6.95	6.64	7.11	7.35	7.76	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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Virtu Americas, LLC:
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August 2024

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	65.62	4.64	26.29	3.45

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)
CITADEL SECURITIES LLC	25.41	25.23	24.55	25.63	28.18	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	16.50	16.42	15.80	16.20	21.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	15.59	15.96	15.82	15.21	11.01	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	14.87	14.72	15.50	14.88	16.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	9.02	8.86	9.48	9.49	7.73	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	8.94	9.07	9.12	8.79	7.39	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	6.56	6.54	6.62	7.25	1.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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Virtu Americas, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Virtu Americas, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Virtu Americas, LLC.

UBS Securities, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from UBS Securities, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by UBS Securities, LLC.

Two Sigma Securities, LLC:

Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM’s retail business does not receive any sort of consideration from Two Sigma Securities, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Two Sigma Securities, LLC.

August 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	25.65	10.01	58.38	5.97

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)
CITADEL SECURITIES LLC	40.99	41.04	42.57	43.03	18.10	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	23.58	21.26	20.18	23.57	39.32	787.97	10.4243	628.50	8.4092	449.47	3.6085	24.50	6.7308
Wolverine Execution Services, LLC	20.13	17.57	19.73	19.23	40.50	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
DASH Financial Option ATS	14.64	18.61	16.46	13.86	2.08	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM’s retail business does not receive any sort of consideration from Citadel Securities LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Citadel Securities LLC.

Global Execution Brokers LP:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM’s retail business does not receive any sort of consideration from Global Execution Brokers LP. Nor does the CGWM Retail business receive any services or technologies subsidized by Global Execution Brokers LP.

Wolverine Execution Services, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM’s retail business does not receive any sort of consideration from Wolverine Execution Services, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Wolverine Execution Services, LLC.

DASH Financial Option ATS:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM’s retail business does not receive any sort of consideration from Dash Financial Option ATS. Nor does the CGWM Retail business receive any services or technologies subsidized by Dash Financial Option ATS.

September 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	57.99	3.47	34.62	3.92

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)
CITADEL SECURITIES LLC	26.14	25.07	25.41	27.01	35.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	15.63	15.94	16.90	15.94	7.23	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	12.96	13.23	13.59	13.58	3.03	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	12.58	12.66	13.19	12.07	15.23	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	11.93	11.87	12.34	11.72	14.42	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	7.39	7.08	7.02	7.57	10.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	6.26	7.07	5.20	5.12	5.11	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	5.96	5.77	5.71	5.94	9.21	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
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Jane Street Capital:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Jane Street Capital. Nor does the CGWM Retail business receive any services or technologies subsidized by Jane Street Capital.

G1 Execution Services, LLC:
Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for (“CGMI”) retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from G1 Execution Services, LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by G1 Execution Services, LLC.

Virtu Americas, LLC:

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Two Sigma Securities, LLC:
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UBS Securities, LLC:
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September 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
100.00	67.34	4.45	24.96	3.25

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)
CITADEL SECURITIES LLC	21.30	20.96	21.45	21.83	24.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	17.80	17.91	17.31	17.99	14.65	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	17.75	17.40	16.52	17.92	25.54	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	12.09	11.79	11.86	12.61	14.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Hudson River Trading (Hrt)	10.11	10.56	10.48	9.71	3.08	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	7.62	7.59	8.23	7.81	5.75	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	7.13	6.99	7.85	7.46	6.38	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:

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Jane Street Capital:
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G1 Execution Services, LLC:
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Virtu Americas, LLC:
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UBS Securities, LLC:
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Two Sigma Securities, LLC:
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September 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	30.54	9.04	53.32	7.09

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 Marketable Limit Orders(cent's per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent's per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent's per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent's per hundred shares)
CITADEL SECURITIES LLC	39.47	37.77	39.49	43.53	16.22	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	24.72	22.47	20.80	24.45	41.47	527.75	5.0687	8.12	0.1182	199.13	1.5902	0.00	0.0000
Wolverine Execution Services, LLC	18.81	16.48	18.47	17.60	38.36	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
DASH Financial Option ATS	16.39	21.95	20.46	14.32	2.82	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:**CITADEL SECURITIES LLC:**

Pursuant to a Fully Disclosed Clearing Agreement, Pershing LLC provides clearing and custody services for ("CGMI") retail accounts. There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the retail line of business, identified as market participant CGWM. CGWM routes retail customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGWM retail business does not receive or solicit payment for order flow for these orders, nor does CGWM share in any profits derived by Pershing for the execution of these orders. In addition, CGWM's retail business does not receive any sort of consideration from Citadel Securities LLC. Nor does the CGWM Retail business receive any services or technologies subsidized by Citadel Securities LLC.

Global Execution Brokers LP:

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Wolverine Execution Services, LLC:

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DASH Financial Option ATS:

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