StoneX Financial, Inc. - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2020

July 2020

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	77.63	4.43	11.32	6.61

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	79.28	83.77	67.22	59.59	68.40	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	11.92	10.70	18.16	17.16	13.11	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	3.55	0.24	7.55	19.10	13.11	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	2.23	2.48	3.77	0.92	0.47	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	2.20	2.46	0.47	0.65	3.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	0.40	0.13	0.94	1.29	1.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.31	0.11	1.65	1.20	0.32	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.07	0.09	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.03	0.01	0.24	0.09	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

StoneX Financial, Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

July 2020

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	42.13	11.63	42.00	4.25

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	36.50	65.31	24.28	8.67	59.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	29.74	0.18	5.01	68.94	3.17	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	25.90	31.06	57.45	12.34	22.44	3.24	0.0065	1,590.71	3.5863	9.98	0.0500	0.00	0.0000
Credit Suisse First Boston	2.43	0.05	7.03	3.77	0.30	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	1.78	0.10	2.69	3.22	1.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	1.58	0.05	2.75	2.94	0.15	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	1.49	2.43	0.00	0.05	10.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	0.41	0.72	0.11	0.01	2.14	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan	0.15	0.10	0.67	0.05	0.22	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)
Stanley & Co., LLC													
Virtu Americas, LLC	0.00	0.01	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did receive payment for order flow at a rate of $0.00265 per share in orders routed to this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow for Held Limit or Held Marketable Limit Orders during this period

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Virtu Americas, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

July 2020

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	56.74	18.86	24.40	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)
CITADEL SECURITIES LLC	71.34	92.65	59.26	31.11	0.00	169.30	10.0000	7,001.10	10.3568	2,033.05	12.2665	6,713.60	10.1888
Matrix	21.58	7.30	25.93	51.43	0.00	383.79	9.2725	-2,244.23	-3.9559	22,682.42	25.3670	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)
Executions, LLC													
BofA Securities, Inc.	7.05	0.04	14.69	17.46	0.00	1,052.21	2.1600	1,345.65	2.7600	269.14	0.5500	0.00	0.0000
Credit Suisse First Boston	0.02	0.00	0.12	0.00	0.00	0.00	0.0000	1.60	5.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options

Matrix Executions, LLC:
Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

BofA Securities, Inc.:
SFI received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options.

Credit Suisse First Boston:
SFI received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involing Index Options.

August 2020

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	81.36	3.54	10.04	5.06

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	81.82	85.04	67.32	63.88	75.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	9.33	9.04	14.25	9.45	10.35	0.00	0.0000	84.49	2.6129	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	3.13	3.32	1.40	2.36	2.93	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	2.01	0.11	5.03	14.27	6.05	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX	1.59	1.69	4.75	0.49	0.00	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)
Financial, Inc.													
Credit Suisse First Boston	0.92	0.17	5.03	5.51	0.98	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.75	0.32	1.12	3.44	2.15	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.24	0.17	1.12	0.20	0.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.21	0.15	0.00	0.39	0.98	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did receive payment for order flow at a rate of $0.00265 per share in orders routed to this venue for this period.

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

StoneX Financial, Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

August 2020

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	54.64	12.82	28.18	4.37

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	45.92	65.64	25.65	16.63	47.76	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	27.51	29.64	39.00	19.18	20.92	1.22	0.0029	740.30	2.1907	45.60	0.3221	0.00	0.0000
JP Morgan Securities, LLC	13.94	0.13	11.75	41.77	13.47	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	4.98	0.51	13.77	9.67	4.87	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	3.01	0.45	5.73	6.43	5.06	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	2.41	0.53	2.70	5.80	3.15	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	1.34	2.08	0.10	0.18	3.06	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.45	0.35	1.01	0.34	0.76	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	0.44	0.66	0.26	0.00	0.96	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Fidessa	0.00	0.00	0.03	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did receive payment for order flow at a rate of $0.00265 per share in orders routed to this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Clearpool Execution Services, LLC:
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BofA Securities, Inc.:
SFI did not receive payment for order flow for Held Limit or Held Marketable Limit Orders during this period

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

August 2020

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	59.56	13.09	27.35	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)
CITADEL SECURITIES LLC	70.67	93.70	53.92	28.55	0.00	62.25	10.0242	4,580.35	11.1850	1,805.35	13.1672	4,417.65	10.3446
Matrix Executions, LLC	24.42	5.21	39.96	58.83	0.00	-268.41	-5.0039	1,318.32	2.5553	23,036.49	30.2777	0.00	0.0000
BofA Securities, Inc.	4.70	1.09	4.59	12.63	0.00	179.53	0.9300	1,494.62	7.7201	797.65	4.1201	0.00	0.0000
Credit Suisse First Boston	0.20	0.00	1.53	0.00	0.00	0.00	0.0000	6.70	5.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options

Matrix Executions, LLC:
Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

BofA Securities, Inc.:
SFI received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options.

Credit Suisse First Boston:
SFI received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involing Index Options.

September 2020

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	77.03	4.16	13.57	5.24

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	73.70	78.21	61.75	54.69	66.18	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	15.15	15.36	14.29	13.55	17.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	3.24	0.29	5.53	18.91	4.20	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	2.54	2.80	2.76	1.06	2.38	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	1.72	2.04	2.07	0.35	0.37	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	1.43	0.55	2.30	5.08	4.20	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	1.11	0.21	3.46	4.52	3.66	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.65	0.24	5.30	1.55	0.73	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.45	0.31	2.53	0.28	1.28	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Citigroup Global Markets Inc.:
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Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

September 2020

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	55.02	13.32	27.76	3.90

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	41.58	59.76	20.24	15.72	42.03	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	32.11	34.19	53.84	18.67	24.32	2.22	0.0058	1,448.13	3.3193	8.25	0.0412	0.00	0.0000
JP Morgan Securities, LLC	12.95	0.34	8.97	40.32	9.64	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	4.57	0.36	8.45	11.15	3.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	3.48	0.27	5.77	8.96	2.10	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	2.10	0.51	1.72	4.79	6.81	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	2.02	3.27	0.06	0.09	4.72	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	0.75	0.89	0.52	0.04	4.51	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.44	0.42	0.43	0.27	1.99	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:
SFI did receive payment for order flow at a rate of $0.00265 per share in orders routed to this venue for this period.

JP Morgan Securities, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Credit Suisse First Boston:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Clearpool Execution Services, LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

BofA Securities, Inc.:
SFI did not receive payment for order flow for Held Limit or Held Marketable Limit Orders during this period

Citigroup Global Markets Inc.:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:
SFI did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

September 2020

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	64.72	14.27	20.95	0.06

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	79.56	92.44	67.26	48.40	0.00	26.55	10.5357	5,315.50	10.7562	2,585.55	11.8278	3,627.40	10.0393
Matrix Executions, LLC	14.88	6.38	27.80	32.06	100.00	-1,239.95	-8.4656	-3,032.78	-10.0300	16,167.53	25.3354	0.00	0.0000
BofA Securities, Inc.	5.57	1.19	4.93	19.54	0.00	13.33	0.0000	727.82	0.0700	1,345.55	0.1300	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
SFI received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options

Matrix Executions, LLC:
Matrix Executions, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

BofA Securities, Inc.:
SFI received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. SFI did not receive payment for order flow in trades involving Index Options.