

WALL STREET ACCESS - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2021

April 2021

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
94.85	66.86	16.50	16.60	0.05

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(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)
Virtu POSIT ATS	37.88	48.00	3.60	31.04	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	15.70	18.80	0.12	18.76	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	13.00	0.00	64.40	14.30	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	10.94	15.13	0.39	4.55	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Agency	8.16	12.08	0.12	0.35	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	7.47	4.19	14.65	13.56	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Virtu POSIT ATS:

Virtu POSIT ATS (ITGI)

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We do receive a customary rebate from this execution venue for executions that provide liquidity, and we pay the same venue execution fees for taking liquidity. The net amount of this payment, if positive, is included in our disclosures.

We pay \$0.0015 per share for execution fees.

Virtu Americas, LLC:

Virtu Americas, LLC (NITE)
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We pay \$0.001 to 0.0025 per share in execution fees for use of their execution algos and receive \$0.0023 for adding liquidity to their SMRT order router.

The Nasdaq Stock Market:
The Nasdaq Stock Market (NSDQ)
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The trading fee schedule that applies to the firm can be found by referring to this link: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

Pershing:
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Virtu Agency:
Virtu Agency (VALR)
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April 2021

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
87.99	50.22	21.99	27.76	0.04

Venues

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Virtu POSIT ATS	25.46	33.78	5.40	26.21	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	18.38	27.40	0.50	16.23	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	13.40	0.00	45.42	12.29	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	12.18	6.99	18.12	16.87	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	11.23	19.62	0.20	4.82	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
WALL STREET ACCESS	7.87	0.22	16.04	15.24	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Agency	5.14	9.51	0.58	0.86	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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April 2021

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	0.59	2.20	0.00	97.21

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)
DASH/ IMC	100.00	100.00	100.00	0.00	100.00	-63.99	-23.8759	-1,780.90	-17.7522	0.00	0.0000	-54,488.25	-16.6436

Material Aspects:

DASH/IMC:
Dash Financial Technologies LLC (DFIN)
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Wall Street Access is a brokerage client of Dash Financial Technologies; while Dash Financial does maintain a relationship with IMC, that relationship is not pertinent to the execution agreement between Wall Street Access and Dash.

May 2021

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
94.91	65.71	16.80	17.42	0.07

Venues

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Virtu Agency	36.59	54.41	1.21	3.23	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	26.49	27.13	0.40	49.36	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	12.46	0.00	56.42	17.13	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	9.50	13.41	0.12	3.81	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	7.27	3.78	17.68	10.43	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Virtu Agency:

Virtu Agency (VALR)

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May 2021

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
82.97	50.56	20.96	28.38	0.10

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)
Virtu Americas, LLC	26.69	33.35	0.32	34.40	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Agency	22.10	39.96	2.83	4.23	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	14.81	0.00	53.11	12.96	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	11.42	19.79	0.23	4.83	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	9.79	5.01	15.87	13.86	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
WALL STREET ACCESS	6.94	0.25	12.06	15.12	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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NYSE Arca, Inc. (ARCA)
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We do receive a customary rebate from this execution venue for executions that provide liquidity, and we pay the same venue execution fees for taking liquidity. The net amount of this payment, if positive, is included in our disclosures.

The trading fee schedule that applies to the firm can be found by referring to the Trading Fees PDF available at this link: <https://www.nyse.com/markets/nyse-arca/trading-info>

May 2021

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	2.16	0.42	0.00	97.41

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)
DASH/IMC	100.00	100.00	100.00	0.00	100.00	-165.53	-37.5357	-4,428.23	-27.2322	0.00	0.0000	-41,596.88	-12.3560

Material Aspects:

DASH/IMC:

Dash Financial Technologies LLC (DFIN)

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Wall Street Access is a brokerage client of Dash Financial Technologies; while Dash Financial does maintain a relationship with IMC, that relationship is not pertinent to the execution agreement between Wall Street Access and Dash.

June 2021

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
90.67	65.74	15.92	18.26	0.08

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)
Virtu Agency	41.75	62.40	0.79	2.89	91.67	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	20.42	17.85	0.09	47.51	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	12.51	0.01	54.93	20.59	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	10.65	15.73	0.13	1.56	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	6.73	2.92	18.47	10.24	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Virtu Agency:

Virtu Agency (VALR)
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We do receive a customary rebate from this execution venue for executions that provide liquidity, and we pay the same venue execution fees for taking liquidity. The net amount of this payment, if positive, is included in our disclosures.

We pay \$0.0015 per share for execution fees.

Virtu Americas, LLC:
Virtu Americas, LLC (NITE)
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We do receive a customary rebate from this execution venue for executions that provide liquidity, and we pay the same venue execution fees for taking liquidity. The net amount of this payment, if positive, is included in our disclosures.

We pay \$0.001 to 0.0025 per share in execution fees for use of their execution algos and receive \$0.0023 for adding liquidity to their SMRT order router.

The Nasdaq Stock Market:
The Nasdaq Stock Market (NSDQ)
Below is a discussion of the material aspects of Wall Street Access’ relationship with this Specified Venue including any terms, written or oral, of payment for order flow arrangements or profit-sharing relationships that may influence our order routing decisions. We do not receive incentives for equaling or exceeding an agreed upon order flow volume threshold, such as additional payments or a higher rate of payment; We do not receive disincentives for failing to meet an agreed upon minimum order flow threshold, such as lower payments or the requirement to pay a fee; We do not participate in volume-based tiered payment schedules; and We do not have any agreements regarding the minimum amount of order flow that the broker-dealer would send to a venue.

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The trading fee schedule that applies to the firm can be found by referring to this link: <http://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

Pershing:
Pershing (PERS)
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Pershing is the firm’s clearing agent.

NYSE Arca, Inc.:
NYSE Arca, Inc. (ARCA)
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June 2021

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
81.79	53.74	21.24	24.95	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)
Virtu Agency	25.86	44.38	3.02	5.26	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	23.50	25.24	0.10	39.74	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Pershing	14.96	25.05	0.27	5.75	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	13.29	0.01	44.58	15.29	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	9.89	3.63	20.23	14.59	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
WALL STREET ACCESS	6.93	0.15	17.49	12.56	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Virtu Agency:
Virtu Agency (VALR)
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The NASDAQ Stock Market (NSDQ)
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June 2021

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	0.19	0.37	0.00	95.95

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)
DASH/IMC	100.00	100.00	100.00	0.00	100.00	-1.40	-5.0000	-6,528.96	-22.7276	0.00	0.0000	-33,519.13	-10.6908

Material Aspects:

DASH/IMC:
Dash Financial Technologies LLC (DFIN)
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