

# RQD Clearing - Held NMS Stocks and Options Order Routing Public Report

1st Quarter, 2024

January 2024

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## 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
60.19	60.00	9.23	26.15	4.62

## 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)
UBS FINANCIAL (UBSS)	75.38	60.00	1.54	9.23	4.62	7.77	24.9200	0.00	24.9200	0.01	24.9200	0.0000	24.9200
MERRILL LYNCH (MLCO)	24.62	0.00	7.69	16.92	0.00	0.00	-17.5918	-0.02	-17.5918	-0.01	-17.5918	0.0000	-17.5918

## Material Aspects:

UBS FINANCIAL (UBSS):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

MERRILL LYNCH (MLCO):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

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January 2024

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## 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
97.36	83.10	5.30	8.78	2.82

## 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)
UBS FINANCIAL (UBSS)	92.28	83.10	3.51	2.85	2.82	2,552.71	24.9200	80.70	24.9200	7.94	24.9200	1.8690	24.9200
MERRILL LYNCH (MLCO)	7.72	0.00	1.79	5.93	0.00	0.00	-17.5918	-5.58	-17.5918	-14.04	-17.5918	0.0000	-17.5918

**Material Aspects:**

UBS FINANCIAL (UBSS):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

MERRILL LYNCH (MLCO):

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## January 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
5.41	0.56	94.01	5.42	0.01

### 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)
NYSE-ARCA OPTIONS EXCHANGE (ARCO)	52.73	0.08	51.49	1.16	0.00	-311.70	-40.8739	-130,921.14	-40.8739	-35,606.79	-40.8739	0.0000	-40.8739
CBOE C2 EXCHANGE (C2)	9.33	0.01	9.13	0.19	0.00	6.24	2.3186	1,732.22	2.3186	1,250.43	2.3186	0.0000	2.3186
NASDAQ OPTIONS MARKET (NSDQ)	8.69	0.00	7.58	1.11	0.00	-12.90	-21.4479	-16,322.63	-21.4479	-6,045.98	-21.4479	0.0000	-21.4479
NASDAQ BX OPTIONS EXCHANGE (BX)	6.11	0.02	5.55	0.54	0.00	1.89	0.7223	334.81	0.7223	12.83	0.7223	0.0000	0.7223
NASDAQ ISE (ISE)	5.29	0.01	5.03	0.25	0.00	6.46	3.5736	4,169.87	3.5736	3,500.67	3.5736	0.0000	3.5736
NASDAQ PHLX (PHLX)	4.05	0.02	3.80	0.23	0.00	107.39	20.5652	10,808.20	20.5652	20,674.41	20.5652	1.8551	20.5652

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)
CHICAGO BOARD OPTIONS EXCHANGE (CBOE)	3.35	0.18	1.96	1.19	0.00	412.18	6.1810	8,059.55	6.1810	11,597.88	6.1810	1.1085	6.1810
CBOE BZX OPTIONS EXCHANGE (BATO)	2.48	0.01	2.02	0.45	0.00	-151.05	-35.8154	-16,869.50	-35.8154	-7,485.08	-35.8154	0.0000	-35.8154
CBOE EDGX OPTIONS EXCHANGE (EDGO)	1.85	0.09	2.06		0.00	-491.69	-25.4431	-12,725.46	-25.4431	-31,709.04	-25.4431	0.0000	-25.4431
MIAX EMERALD OPTIONS EXCHANGE (EMLD)	1.57	0.01	0.76	0.80	0.00	-32.08	-22.1071	-4,558.66	-22.1071	-3,676.00	-22.1071	0.0000	-22.1071
BOX OPTIONS MARKET (BOX)	1.34	0.05	0.91	0.38	0.00	-63.75	-7.0174	-2,066.86	-7.0174	-4,510.83	-7.0174	-0.0701	-7.0174
MIAX OPTIONS EXCHANGE (MIAX)	1.01	0.02	1.72		0.00	-76.55	-3.4871	-1,115.43	-3.4871	-812.63	-3.4871	0.0000	-3.4871

**Material Aspects:**

NYSE-ARCA OPTIONS EXCHANGE (ARCO):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

CBOE C2 EXCHANGE (C2):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ OPTIONS MARKET (NSDQ):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ BX OPTIONS EXCHANGE (BX):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ ISE (ISE):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ PHLX (PHLX):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

CHICAGO BOARD OPTIONS EXCHANGE (CBOE):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

CBOE BZX OPTIONS EXCHANGE (BATO):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

CBOE EDGX OPTIONS EXCHANGE (EDGO):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

MIAX EMERALD OPTIONS EXCHANGE (EMLD):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

BOX OPTIONS MARKET (BOX):

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MIAX OPTIONS EXCHANGE (MIAX):

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## February 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
60.34	94.29	4.29	1.43	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)
UBS FINANCIAL (UBSS)	97.14	94.29	2.86	0.00	0.00	48.48	20.1761	0.03	20.1761	0.00	20.1761	0.0000	20.1761
MERRILL LYNCH (MLCO)	2.86	0.00	1.43	1.43	0.00	0.00	-11.1986	-0.04	-11.1986	-0.01	-11.1986	0.0000	-11.1986

#### Material Aspects:

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## February 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
97.26	66.92	3.73	20.34	9.01

#### 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)
UBS FINANCIAL (UBSS)	90.94	66.82	2.32	12.79	9.01	1,241.99	20.1761	22.36	20.1761	19.31	20.1761	13.4130	20.1761
MERRILL LYNCH (MLCO)	9.06	0.10	1.41	7.55	0.00	0.00	-11.1986	-4.35	-11.1986	-11.10	-11.1986	0.0000	-11.1986

**Material Aspects:**

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**February 2024**

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**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
5.05	0.45	93.89	5.65	0.01

**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)
NYSE-ARCA OPTIONS EXCHANGE (ARCO)	55.52	0.09	54.57	0.86	0.00	-294.48	-40.6244	-135,719.80	-40.6244	-40,511.88	-40.6244	-1.1764	-40.6244
CBOE C2 EXCHANGE (C2)	8.83	0.01	8.43	0.40	0.00	-60.57	-8.9317	-5,854.02	-8.9317	-4,711.59	-8.9317	0.0000	-8.9317
NASDAQ OPTIONS MARKET (NSDQ)	7.99	0.01	6.95	1.03	0.00	-60.50	-23.9791	-15,427.93	-23.9791	-5,726.79	-23.9791	0.0000	-23.9791
NASDAQ BX OPTIONS EXCHANGE (BX)	5.69	0.01	5.34	0.34	0.00	7.52	2.4871	1,094.64	2.4871	40.74	2.4871	0.0000	2.4871
NASDAQ ISE (ISE)	5.63	0.02	5.40	0.21	0.00	3.70	2.1432	984.63	2.1432	2,117.12	2.1432	0.0000	2.1432
NASDAQ PHLX (PHLX)	3.80	0.03	3.55	0.22	0.00	144.53	30.0860	11,389.95	30.0860	36,197.26	30.0860	22.6365	30.0860
CHICAGO BOARD OPTIONS EXCHANGE (CBOE)	2.83	0.12	1.66	1.04	0.00	108.05	6.2175	5,478.35	6.2175	11,558.19	6.2175	4.7280	6.2175
CBOE BZX OPTIONS EXCHANGE (BATO)	2.81	0.01	2.28	0.53	0.00	-112.57	-34.8003	-15,180.83	-34.8003	-5,744.77	-34.8003	0.0000	-34.8003
MIAX EMERALD OPTIONS EXCHANGE (EMLD)	1.66	0.00	0.70	0.96	0.00	-5.83	-24.0926	-3,535.71	-24.0926	-2,962.25	-24.0926	0.0000	-24.0926

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)
CBOE EDGX OPTIONS EXCHANGE (EDGO)	1.46	0.06	1.48		0.00	-354.33	-24.6914	-9,572.02	-24.6914	-32,971.75	-24.6914	0.0000	-24.6914

### Material Aspects:

NYSE-ARCA OPTIONS EXCHANGE (ARCO):

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CBOE C2 EXCHANGE (C2):

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## March 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
30.53	41.38	17.24	34.48	6.90

#### 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)
UBS FINANCIAL (UBSS)	72.41	41.38	13.79	10.34	6.90	0.87	20.1761	0.28	20.1761	0.04	20.1761	0.0000	20.1761

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)
MERRILL LYNCH (MLCO)	27.59	0.00	3.45	24.14	0.00	0.00	-3.2698	-0.01	-3.2698	-0.01	-3.2698	0.0000	-3.2698

**Material Aspects:**

UBS FINANCIAL (UBSS):

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## March 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
84.51	29.38	11.32	54.99	4.31

**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)
UBS FINANCIAL (UBSS)	55.80	29.38	5.93	16.17	4.31	92.66	20.1761	12.54	20.1761	17.83	20.1761	2.9336	20.1761
MERRILL LYNCH (MLCO)	44.20	0.00	5.39	38.81	0.00	0.00	-3.2698	-0.97	-3.2698	-3.50	-3.2698	0.0000	-3.2698

**Material Aspects:**

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## March 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
6.22	0.42	94.66	4.91	0.01

## 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)
NYSE-ARCA OPTIONS EXCHANGE (ARCO)	59.02	0.06	57.91	1.04	0.00	-397.33	-41.7025	-249,177.60	-41.7025	-58,154.74	-41.7025	-9.9854	-41.7025
NASDAQ OPTIONS MARKET (NSDQ)	9.11	0.00	8.09	1.01	0.00	-23.05	-27.5618	-17,611.49	-27.5618	-7,403.97	-27.5618	0.0000	-27.5618
CBOE C2 EXCHANGE (C2)	8.41	0.00	8.21	0.20	0.00	17.13	3.1292	2,594.31	3.1292	2,648.19	3.1292	0.0000	3.1292
NASDAQ BX OPTIONS EXCHANGE (BX)	5.92	0.01	5.66	0.25	0.00	-4.65	-1.6734	-940.72	-1.6734	-39.18	-1.6734	0.0000	-1.6734
NASDAQ ISE (ISE)	3.37	0.01	3.19	0.17	0.00	18.94	8.7151	2,256.29	8.7151	6,686.90	8.7151	0.0000	8.7151
CHICAGO BOARD OPTIONS EXCHANGE (CBOE)	3.16	0.21	2.08	0.86	0.00	769.65	16.2664	14,605.62	16.2664	19,111.71	16.2664	0.0000	16.2664
NASDAQ PHLX (PHLX)	3.06	0.02	2.83	0.21	0.00	228.43	32.4162	10,634.92	32.4162	43,931.55	32.4162	27.9967	32.4162
CBOE BZX OPTIONS EXCHANGE (BATO)	2.09	0.01	1.65	0.43	0.00	-417.32	-53.0481	-21,867.72	-53.0481	-11,205.30	-53.0481	0.0000	-53.0481
CBOE EDGX OPTIONS EXCHANGE (EDGO)	1.36	0.04	1.31	0.01	0.00	-348.43	-19.9745	-6,392.78	-19.9745	-19,190.93	-19.9745	0.0000	-19.9745

## Material Aspects:

NYSE-ARCA OPTIONS EXCHANGE (ARCO):

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NASDAQ OPTIONS MARKET (NSDQ):

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CBOE C2 EXCHANGE (C2):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ BX OPTIONS EXCHANGE (BX):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

NASDAQ ISE (ISE):

RQD\* Clearing, LLC may receive payment for order flow from any of the counterparties that it directs order flow to.

CHICAGO BOARD OPTIONS EXCHANGE (CBOE):

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NASDAQ PHLX (PHLX):

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CBOE BZX OPTIONS EXCHANGE (BATO):

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CBOE EDGX OPTIONS EXCHANGE (EDGO):

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