

LPL - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2020

January 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	19.96	0.18	1.02	78.85

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 SECURITIES LLC (UBS)	40.12	38.92	38.18	42.90	40.39	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	30.47	30.76	34.95	29.25	30.40	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	10.68	8.42	5.91	8.06	11.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	8.17	9.28	6.45	10.88	7.86	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
G1 Execution Services LLC (ETMM)	5.48	3.73	8.60	3.28	5.94	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	2.61	4.02	2.15	1.50	2.27	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	2.47	4.87	3.76	4.13	1.84	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

UBS SECURITIES LLC (UBS):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

CITADEL SECURITIES (CIT):

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January 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	35.29	0.84	1.76	62.11

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)
G1 Execution Services LLC (ETMM)	59.72	61.58	33.30	31.91	59.82	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	21.37	18.85	24.81	38.65	22.26	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBS SECURITIES LLC (UBS)	8.71	9.57	6.18	11.42	8.18	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	8.44	7.59	33.92	13.79	8.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	1.52	2.05	1.44	3.54	1.16	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	0.13	0.20	0.23	0.50	0.08	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	0.11	0.16	0.12	0.19	0.08	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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January 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	47.44	7.96	30.26	14.33

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 EXECUTION SERVICE (CITO)	40.64	47.01	42.90	34.47	31.31	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITIGROUP GLOBAL MARKETS INC (ATDO)	36.89	33.97	35.70	44.19	31.79	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SUSQUEHANNA INVESTMENT GROUP (SUS)	14.72	14.47	16.92	15.84	11.96	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NYSE AMEX OPTIONS (AMXO)	5.02	4.55	4.48	5.50	5.87	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CBOE EDGX U.S (EDGX)	2.73	0.00	0.00	0.00	19.07	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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CBOE EDGX U.S (EDGX):

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February 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	22.29	0.18	1.30	76.24

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)
UBS SECURITIES LLC (UBS)	39.19	38.43	37.05	40.60	39.39	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	30.90	31.30	38.01	31.33	30.76	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	12.05	9.51	8.47	9.06	12.85	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	7.86	9.14	6.78	9.59	7.46	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
G1 Execution Services LLC (ETMM)	5.45	3.65	3.63	4.07	6.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	2.32	4.53	1.94	3.05	1.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	2.23	3.44	4.12	2.30	1.87	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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February 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	36.87	0.74	1.57	60.82

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)
G1 Execution Services LLC (ETMM)	58.96	60.38	37.45	33.38	59.02	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	22.13	19.74	17.09	33.21	23.35	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	8.79	7.37	37.08	16.78	9.10	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBS SECURITIES LLC (UBS)	8.28	9.92	6.39	12.31	7.21	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	1.58	2.22	1.39	3.13	1.16	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	0.14	0.22	0.48	0.86	0.07	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	0.12	0.15	0.12	0.33	0.09	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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February 2020

Options**Summary**

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100.00	45.07	8.58	29.50	16.85

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 EXECUTION SERVICE (CITO)	42.13	51.58	43.10	35.27	28.33	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITIGROUP GLOBAL MARKETS INC (ATDO)	36.43	33.06	38.78	46.85	26.01	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SUSQUEHANNA INVESTMENT GROUP (SUS)	13.75	12.79	15.47	14.95	13.34	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CBOE EDGX U.S (EDGX)	4.64	0.00	0.00	0.00	27.53	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NYSE AMEX OPTIONS (AMXO)	3.05	2.57	2.65	2.93	4.79	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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March 2020

S&P 500 Stocks

Summary

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100.00	27.35	0.27	2.20	70.18

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 SECURITIES LLC (UBS)	38.30	36.49	35.94	38.44	39.01	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	29.93	30.26	32.45	28.90	29.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	11.98	9.54	9.90	8.27	13.05	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	8.96	10.36	12.81	12.25	8.30	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
G1 Execution Services LLC (ETMM)	5.56	4.59	4.66	4.66	5.97	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	2.80	4.37	2.16	4.01	2.15	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	2.47	4.39	2.08	3.47	1.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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March 2020

Non-S&P 500 Stocks

Summary

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100.00	40.81	0.74	2.22	56.23

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)
G1 Execution Services LLC (ETMM)	58.76	60.89	45.20	38.69	58.18	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITADEL SECURITIES (CIT)	19.65	17.35	18.71	21.92	21.24	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VIRTU AMERICAS LLC (NITI)	11.52	10.22	22.55	23.65	11.85	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
UBS SECURITIES LLC (UBS)	8.41	9.51	10.76	12.39	7.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
TWO SIGMA SECURITIES LLC (SGMA)	1.06	1.29	2.09	2.36	0.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GTS SECURITIES LLC (GTSM)	0.45	0.49	0.56	0.68	0.41	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
FIS GLOBAL Vision Securities Inc. (VISN)	0.15	0.25	0.13	0.31	0.07	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

G1 Execution Services LLC (ETMM):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

CITADEL SECURITIES (CIT):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

VIRTU AMERICAS LLC (NITI):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

UBS SECURITIES LLC (UBS):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

TWO SIGMA SECURITIES LLC (SGMA):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

GTS SECURITIES LLC (GTSM):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

FIS GLOBAL Vision Securities Inc. (VISN):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

March 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	39.98	9.48	34.78	15.75

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 EXECUTION SERVICE (CITO)	45.90	51.15	44.46	43.68	38.38	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CITIGROUP GLOBAL MARKETS INC (ATDO)	35.00	31.63	40.40	37.60	34.59	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SUSQUEHANNA INVESTMENT GROUP (SUS)	14.40	15.57	11.74	15.32	10.98	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
NYSE AMEX OPTIONS (AMXO)	2.58	1.65	3.40	3.40	2.62	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CBOE EDGX U.S (EDGX)	2.12	0.00	0.00	0.00	13.43	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

CITADEL EXECUTION SERVICE (CITO):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

CITIGROUP GLOBAL MARKETS INC (ATDO):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

SUSQUEHANNA INVESTMENT GROUP (SUS):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

NYSE AMEX OPTIONS (AMXO):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.

CBOE EDGX U.S (EDGX):

For disclosure of material aspects of LPLs relationship with routing venues go to LPLs web site under Disclosures/Markets & Trading Disclosures/SEC 606 Report Disclosures/Material Aspects of Relationships with Routing Venues.