

ARETE WEALTH MANAGEMENT - Held NMS Stocks
and Options Order Routing Public Report
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1st Quarter, 2021

January 2021

S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
90	100.00	87	96.67	0	0.00	3	3.33	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	36		38.30		36	42.35	0		0.00		0		0		0		0	
VIRTU Americas LLC(NITE)	30		31.91		29	34.12	0		0.00		1	11.11	0		0		0	
JANE STREET CAPITAL, LLC(JNST)	12		12.77		12	14.12	0		0.00		0	0.00	0		0		0	
G1 Execution Services, LLC(ETMM)	7		7.45		7	8.24	0		0.00		0	0.00	0		0		0	
NASDAQ Execution Services, LLC(NSDQ)	6		6.38		0	0.00	0		0.00		6	66.67	0		0		0	
Choe EDGX US Equities Exchange(EDGX)	2		2.13		0	0.00	0		0.00		2	22.22	0		0		0	
Two Sigma Securities, LLC(SOHO)	1		1.06		1	1.18	0		0.00		0	0.00	0		0		0	

January 2021

Non-S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
296	100.00	294	99.32	0	0.00	1	0.34	1	0.34

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	154		51.16		154	52.38	0		0.00		0	0.00	0		0		0	
VIRTU Americas LLC(NITE)	99		32.89		98	33.33	0		0.00		0	0.00	1	25.00	0		0	
JANE STREET CAPITAL, LLC(JNST)	27		8.97		27	9.18	0		0.00		0	0.00	0		0		0	
G1 Execution Services, LLC(ETMM)	10		3.32		10	3.40	0		0.00		0	0.00	0		0		0	
Instinet	3		1.00		0	0.00	0		0.00		0	0.00	3	75.00	0		0	
BlockCross(BLCK)	3		1.00		0	0.00	0		0.00		0	0.00	0		0		0	
NASDAQ Execution Services, LLC(NSDQ)	3		1.00		0	0.00	0		0.00		3	100.00	0		0		0	
Two Sigma Securities, LLC(SOHO)	3		1.00		3	1.02	0		0.00		0	0.00	0		0		0	
UBS Securities, LLC(UBSS)	2		0.66		2	0.68	0		0.00		0	0.00	0		0		0	

January 2021

Option Contracts
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
0	0.00	0	0.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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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February 2021

S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
109	100.00	108	99.08	0	0.00	1	0.92	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	58		49.15		58	53.70	0		0.00		0	0.00	0		0		0	
VIRTU Americas LLC(NITE)	26		22.03		26	24.07	0		0.00		0	0.00	0		0		0	
NASDAQ Execution Services, LLC(NSDQ)	9		7.63		0	0.00	0		0.00		9	90.00	0		0		0	

JANE STREET CAPITAL, LLC(JNST)	8	6.78	8	7.41	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	6	5.08	6	5.56	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	6	5.08	6	5.56	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	4	3.39	4	3.70	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	1	0.85	0	0.00	0	0.00	1	10.00	0	0.00	0	0	0	0	0	0	0	0	0

February 2021

Non-S&P 500 Stocks Summary

Total Non-Directed Orders	2,504	100.00	Total Market Orders	2,495	Market Orders as % of Non-Directed Orders	99.64	Total Marketable Limit Orders	1	Marketable Limit Orders as % of Non-Directed Orders	0.04	Total Non-Marketable Limit Orders	6	Non-Marketable Limit Orders as % of Non-Directed Orders	0.24	Total Other Orders	2	Other Orders as % of Non-Directed Orders	0.08
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Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	1,266	50.54	1,264	50.66	1	100.00	1	16.67	0	0.00	0	0	0	0	0	0	0	0
VRTU Americas LLC(NITE)	615	24.55	613	24.57	0	0.00	0	0.00	2	66.67	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	329	13.13	329	13.19	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	100	3.99	100	4.01	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	98	3.91	98	3.93	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	91	3.63	91	3.65	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	2	0.08	0	0.00	0	0.00	2	33.33	0	0.00	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	1	0.04	0	0.00	0	0.00	1	16.67	0	0.00	0	0	0	0	0	0	0	0
Cboe BZX U.S. Equities Exchange(BATS)	1	0.04	0	0.00	0	0.00	1	16.67	0	0.00	0	0	0	0	0	0	0	0
Instinet	1	0.04	0	0.00	0	0.00	0	0.00	1	33.33	0	0	0	0	0	0	0	0
BlockCross(BLCK)	1	0.04	0	0.00	0	0.00	0	0.00	1	33.33	0	0	0	0	0	0	0	0

February 2021

Option Contracts Summary

Total Non-Directed Orders	4	100.00	Total Market Orders	2	Market Orders as % of Non-Directed Orders	50.00	Total Marketable Limit Orders	1	Marketable Limit Orders as % of Non-Directed Orders	25.00	Total Non-Marketable Limit Orders	1	Non-Marketable Limit Orders as % of Non-Directed Orders	25.00	Total Other Orders	0	Other Orders as % of Non-Directed Orders	0.00
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Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	2	50.00	1	50.00	1	100.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Dash Financial Technologies LLC(DASH)	1	25.00	0	0.00	0	0.00	1	100.00	0	0.00	0	0	0	0	0	0	0	0
Sosquelhanna Capital Group(SUSQ)	1	25.00	1	50.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

March 2021

S&P 500 Stocks Summary

Total Non-Directed Orders	72	100.00	Total Market Orders	71	Market Orders as % of Non-Directed Orders	98.61	Total Marketable Limit Orders	0	Marketable Limit Orders as % of Non-Directed Orders	0.00	Total Non-Marketable Limit Orders	1	Non-Marketable Limit Orders as % of Non-Directed Orders	1.39	Total Other Orders	0	Other Orders as % of Non-Directed Orders	0.00
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Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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(CDRG)	35	56.45	35	57.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
VRTU Americas LLC(NITE)	12	19.35	12	19.67	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	9	14.52	9	14.75	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	2	3.23	2	3.28	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	2	3.23	2	3.28	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	1	1.61	1	1.64	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	1	1.61	0	0.00	0	0.00	1	100.00	0	0.00	0	0	0	0	0	0	0	0

March 2021

Non-S&P 500 Stocks Summary

